

**Board of Curators Meeting  
September 26,2019  
Public Session**



## Vision

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

## Missouri Compacts for Achieving Excellence

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



Excellence in Student Success



Excellence in Research and Creative Works



Excellence in Engagement and Outreach



Inclusive Excellence



Excellence in Planning, Operations and Stewardship

## Core Values

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



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

## Guiding Principles

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

## Strategic Investments

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

UNIVERSITY OF MISSOURI



**BOARD OF CURATORS  
MEETING AGENDA - REVISED**

**Thursday, September 26, 2019**  
Kansas City, Missouri

All public session meetings to be held in the Multipurpose Room 401 A & D of the Student Union, University of Missouri – Kansas City campus, Kansas City, Missouri unless otherwise noted.

Board Committee meetings were held September 17 and 18, 2019 in conjunction with the September 26, 2019 Board meeting.

**THURSDAY, SEPTEMBER 26**

**BOARD OF CURATORS MEETING – PUBLIC SESSION**

**10:00 A.M. Call to Order**

**Oath of Office for new Curator**

**General Business**

Information

1. University of Missouri Board Chair's Report
2. University of Missouri System President's State of the University Report
3. eLearning at the UM System – Matt Gunkel
4. Student Representative to the Board of Curators Report

Action

1. Approval of Board of Curators Executive Committee and Standing Committee Appointments, 2019
2. Resolution for Executive Session of the Board of Curators Meeting, September 26, 2019

Information

1. Review Consent Agenda

## Consent Agenda

### Action

1. Minutes, June 20-21, 2019 Board of Curators Meeting
2. Minutes, June 11 and 12, 2019 Board of Curators Committee Meetings held in conjunction with the June 20-21, 2019 Board Meeting
3. Minutes, August 8, 2019 Special Board of Curators Meeting
4. Degrees, Fall Semester 2019 for all Campuses
5. Amendment, Collected Rules and Regulations 220.020, Diplomas and Certificates
6. Sole Source – UMSL Public Radio Station Underwriting Representation Services
7. Naming, Gale Bullman Multipurpose Building, Student Recreation and Intramural Center, and Fitness Center, Missouri S&T
8. Naming, Public Media Commons, UMSL
9. Annual Approval, UM Investment Consultant
10. Approval of Energy Loan Program, Missouri Department of Economic Development/Division of Energy, Missouri S&T
11. Amendments to Collected Rules and Regulations Listed Below to Update Terminology and References in Conjunction with the Implementation of the Defined Contribution Plan effective October 1, 2019:
  - a. 230.070, Educational Assistance Program for University Employees
  - b. 320.050, Employee Status
  - c. 320.150, Discontinuance of Programs or Departments of Instruction
  - d. 340.090, Development Leave
  - e. 440.040, University Physicians Medical Practice Plan
  - f. 520.010, Benefit Programs
12. Amendments to the Collected Rules and Regulations 530.010 Retirement, Disability & Death Benefit Plan and Additional Retirement Plans to Provide Additional Points of Clarification as Identified During Implementation of the Defined Contribution Retirement Plan
13. Amendment, Collected Rules and Regulations 340.050, Vacation to Update Terminology in Alignment with CRR 340.030, Sick Leave approved in June 2018

### **11:00 A.M. FINANCE COMMITTEE**

(Curators Brncic, Chatman, Steelman, Williams)

Finance Committee Chair Brncic to provide an overview of information and action items.

### Information

1. UM FY19 Financial Status Report

### Action

1. Preliminary Five-Year Capital Plans for MU, MU Health Care, Missouri S&T, UMKC, and UMSL (Ryan Rapp)

**11:15 A.M. ACADEMIC, STUDENT AFFAIRS AND RESEARCH AND ECONOMIC DEVELOPMENT CHAIR REPORT**  
(Curators Chatman, Layman, Snowden, Williams)

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

Action

1. New Degree Program, Bachelor of Arts, Organizational Leadership, UMSL
2. New Degree Program, Masters of Science, Business, MU
3. New Degree Program, Bachelor of Science, Sport Management, UMSL
4. New Degree Program, Bachelor of Health Science, Occupational Therapy Assistant, MU
5. Collected Rules and Regulations Amendment 340.070, Faculty Leave

**11:25 A.M. EXTERNAL AFFAIRS, MARKETING AND ADVANCEMENT CHAIR REPORT**  
(Curators Graham, Layman, Williams)

External Affairs, Marketing and Advancement Committee Chair Graham to provide an overview of information items.

Information

1. Strategic Communications and Marketing Year-End Reports
2. Advancement Reports

**11:45 A.M. HEALTH AFFAIRS CHAIR REPORT**  
(Curators Graham, Snowden, Steelman, Mr. Ashworth and Mr. Phillips)

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

Information

1. MU Health Care Chief Executive Officer and School of Medicine Interim Dean Update (Jonathan Curtright and Interim Dean Zweig)
2. Update on Executive Vice Chancellor position
3. Quarterly Financial Update (Michael Blair)
4. Compliance and Corporate Integrity Agreement Report (Jennifer May)

Action

1. Resolution, Corporate Integrity Agreement for Health Affairs Committee Members
2. Minutes Approval, June 12, 2019 Health Affairs Committee Meeting

**11:55 A.M. AUDIT CHAIR REPORT**  
(Curators Layman, Brncic, Graham)

Audit Committee Chair Layman to provide an overview of information item.

Information

1. UM Internal Audit and Consulting Quarterly Report

**12:05 P.M. COMPENSATION AND HUMAN RESOURCES CHAIR REPORT**  
(Curators Snowden, Brncic, Chatman, Layman)

Compensation and Human Resources Committee Chair Snowden to provide an overview of action items.

Action

1. Resolution for Executive Session of the Compensation and Human Resources Committee

**12:15 P.M. Luncheon by Invitation for the Board of Curators, President,  
University of Missouri System Leaders, University of Missouri –  
Kansas City Faculty and Student Leaders**  
Location: Multipurpose Room 401 B & C, Student Union  
Topic: Education Through Discovery

**1:30 P.M. PUBLIC SESSION**

**General Business**

Information

6. University of Missouri – Kansas City Campus Highlights – Chancellor Agrawal
7. Strategic Theme Discussion – How to Improve Teaching and Learning
8. Good and Welfare of the Board

**3:00 PM Press Conference with Board of Curators Chair and UM System  
President** (time is approximate)  
Location: Room 302, Student Union

**3:10 P.M. BOARD OF CURATORS COMPENSATION AND HUMAN RESOURCES COMMITTEE MEETING - EXECUTIVE SESSION**  
(time is approximate)  
Location: Room 402, Student Union

The Compensation and Human Resources Committee will hold an executive session of the September 26, 2019 meeting, pursuant to Section 610.021(1), 610.021(3), 610.021(12) and 610.021(13) RSMo, for consideration of certain confidential or privileged communications with university counsel, contract and personnel items, as authorized by law and upon approval by resolution of the Compensation and Human Resources Committee.

**4:15 P.M. BOARD OF CURATORS MEETING-EXECUTIVE SESSION** (time is approximate)  
Location: Room 402, Student Union

The Board of Curators will hold an executive session of the September 26, 2019 meeting, pursuant to Sections 610.021(1), 610.021(2), 610.021(3), 610.021(12), 610.021(13) and 610.021(14) RSMo, for consideration of certain confidential or privileged communications with University Counsel, personnel, property, litigation, contract items, and records protected by law, all as authorized by law and upon approval by resolution of the Board of Curators.

**5:00 P.M. Recess for Board of Curators Working Dinner (limited to closed session topics)**

**5:05 P.M. Working Dinner for the Board of Curators, President, General Counsel and Board Secretary (others by invitation)**  
Time is approximate  
Location: Room 402, Student Union

Upcoming meetings of the Board of Curators:

November 21, 2019	University of Missouri – St. Louis
February 6, 2020	University of Missouri - Columbia
April 9, 2020	Missouri University of Science and Technology
June 18-19, 2020	University of Missouri System, Columbia, Missouri
September 23, 2020	Special Finance Committee Meeting, UMKC
September 24, 2020	University of Missouri – Kansas City
November 19, 2020	University of Missouri – St. Louis

# **GENERAL BUSINESS**



UNIVERSITY OF MISSOURI  
BOARD CHAIR'S REPORT

There are no materials for this information item.

## UM SYSTEM PRESIDENT'S REPORT

There are no materials for this information item.

## eLEARNING AT THE UM SYSTEM

There are no materials for this information item.

STUDENT REPRESENTATIVE TO THE  
BOARD OF CURATORS REPORT

There are no materials for this information item.

No. 1

Recommended Action - Approval of Revised Board of Curators Executive  
Committee and Standing Committee Appointments, 2019

It was recommended by Chair Sundvold, moved by Curator \_\_\_\_\_ and  
seconded by Curator \_\_\_\_\_, that the following Board of Curators Executive  
Committee and Standing Committees appointments be approved for the remainder of 2019:

**Executive Committee**

Jon T. Sundvold, Chair  
Julia G. Brncic  
Maurice B. Graham

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

Darryl M. Chatman, Chair  
Jeff L. Layman  
Michael A. Williams  
Phillip H. Snowden

**Audit Committee**

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

**Compensation and Human Resources Committee**

Phillip H. Snowden, Chair  
Julia G. Brncic  
Darryl M. Chatman  
Jeff L. Layman

**External Affairs, Marketing and Advancement Committee**

Maurice B. Graham, Chair  
Jeff L. Layman  
Michael A. Williams

September 26, 2019

**Finance Committee**

Julia G. Brncic, Chair  
Darryl M. Chatman  
David L. Steelman  
Michael A. Williams

**Governance, Resources and Planning Committee**

David L. Steelman, Chair  
Julia G. Brncic  
Michael A. Williams  
Jon T. Sundvold, ex officio  
Mun Y. Choi, ex officio

**Health Affairs Committee**

Maurice B. Graham, Chair  
Ronald G. Ashworth (non-curator member)  
John R. Phillips (non-curator member)  
Phillip H. Snowden  
David L. Steelman

Roll call vote: YES NO

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

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

September 26, 2019

No. 2

Recommended Action – Resolution for Executive Session of the Board of Curators Meeting September 26, 2019

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 26, 2019 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(2), RSMo**, relating to matters identified in that provision, which include leasing, purchase, or sale of real estate; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021 (13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment; and
- **Section 610.021 (14), RSMo**, relating to matters identified in that provision, which include records which are protected from disclosure by law.

Roll call vote of the Board: YES NO

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

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

September 26, 2019

## REVIEW CONSENT AGENDA

There are no materials for this information item.



# **CONSENT AGENDA**

CONSENT - REVISED

Recommended Action - Consent Agenda

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

**CONSENT AGENDA**

Action

1. Minutes, June 20-21, 2019 Board of Curators Meeting
2. Minutes, June 11 and 12, 2019 Board of Curators Committee Meetings held in conjunction with the June 20-21, 2019 Board Meeting
3. Minutes, August 8, 2019 Special Board of Curators Meeting
4. Degrees, Fall Semester 2019 for all Campuses
5. Amendment, Collected Rules and Regulations 220.020, Diplomas and Certificates
6. Sole Source – UMSL Public Radio Station Underwriting Representation Services
7. Naming, Gale Bullman Multipurpose Building, Student Recreation and Intramural Center, and Fitness Center, Missouri S&T
8. Naming, Public Media Commons, UMSL
9. Annual Approval, UM Investment Consultant
10. Approval of Energy Loan Program, Missouri Department of Economic Development/Division of Energy, Missouri S&T
11. Amendments to Collected Rules and Regulations Listed Below to Update Terminology and References in Conjunction with the Implementation of the Defined Contribution Plan effective October 1, 2019:
  - a. 230.070, Educational Assistance Program for University Employees
  - b. 320.050, Employee Status
  - c. 320.150, Discontinuance of Programs or Departments of Instruction
  - d. 340.090, Development Leave
  - e. 440.040, University Physicians Medical Practice Plan
  - f. 520.010, Benefit Programs
12. Amendments to the Collected Rules and Regulations 530.010 Retirement, Disability & Death Benefit Plan and Additional Retirement Plans to Provide Additional Points of Clarification as Identified During Implementation of the Defined Contribution Retirement Plan
13. Amendment, Collected Rules and Regulations 340.050, Vacation to Update Terminology in Alignment with CRR 340.030, Sick Leave approved in June 2018

September 26, 2019

Roll call vote of the Board:

YES

NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Layman

Curator Snowden

Curator Steelman

Curator Sundvold

Curator Williams

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

Consent 1

Recommended Action - Minutes, June 20-21, 2019 Board of Curators Meeting  
Minutes

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the June 20-21, 2019 Board of Curators meeting be approved as presented.

Roll call vote: YES NO

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

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

September 26, 2019

Consent 2

Recommended Action - Minutes, June 11-12, 2019 Board of Curators  
Committee Meeting Minutes

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the June 11-12, 2019 Board of Curators committee meetings, held in conjunction with the June 20-21, 2019 Board of Curators meeting, be approved as presented.

Roll call vote: YES NO

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

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

September 26, 2019

Consent 3

Recommended Action - Minutes, August 8, 2019 Board of Curators Special Meeting Minutes

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the August 8, 2019 Board of Curators special meeting be approved as presented.

Roll call vote:	YES	NO
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Curator Brncic

Curator Chatman

Curator Graham

Curator Layman

Curator Snowden

Curator Steelman

Curator Sundvold

Curator Williams

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

September 26, 2019

No. 4

Recommended Action - Approval of Degrees, Fall Semester 2019, 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 by 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 2019, 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 Layman

Curator Snowden

Curator Steelman

Curator Sundvold

Curator Williams

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

## **Amendment to Collected Rules and Regulations**

### **220.020 Diplomas and Certificates**

#### **Background:**

Over the past few months UM System and campus leaders have been working to revise the Collected Rule and Regulation (CR&R) 220.020 on Diplomas and Certificates. Throughout this process they have received input from various groups including the Intercampus Faculty Council, the UM Academic Officers, and the General Officers, all of whom have provided valuable feedback to enhance the proposed version. To highlight a few of the key changes included in this CR&R revisions:

1. Modified the certificate language to align with IPEDS definitions
2. Distinguished between the different types of certificates
3. Provides a clear structure for the certificate of completion

This revised rule will provide clearer guidance for the universities around certificates.



No. 5

Recommended Action – Amendments to Collected Rules and Regulations  
Section 220.020, Diplomas and Certificates

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

that Collected Rules and Regulations, Section 220.020, Diplomas and Certificates, be revised as attached.

Roll call vote of the Committee:    YES    NO

Curator Chatman

Curator Layman

Curator Snowden

Curator Williams

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

Roll call vote of Board:    YES    NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Layman

Curator Snowden

Curator Steelman

Curator Sundvold

Curator Williams

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

## 220.020 Diplomas and Certificates REDLINE VERSION

### Chapter 220: Degrees, Diplomas and Honors

Bd. Min. 1-13-50, 12-7-63, 11-20-64, 2-12-66, 1-19-68, 12-16-77, 2-24-78 and amended 3-25-83, 10-5-07, 11-29-07, 10-24-08, 11-21-13.

- A. **Diplomas**—The term “diploma” refers to documents issued to substantiate conferral of degrees awarded on the basis of academic credit granted.
1. There shall be only one form of diploma used for the University of Missouri on all campuses, with the form to indicate in the date line the campus where the degree is conferred.
  2. Names of candidates for diplomas shall be presented to and approved by the faculty body responsible for the instructional program which leads to the degree. Names of candidates recommended by faculty bodies are to be presented to the Board of Curators for approval.
  3. Diplomas are to be ordered by the Office of the Director of Admissions or Office of the Registrar at the campus where the degree is conferred and will include the signatures of the President of the Board of Curators, the President of the University, the Chancellor, and the Dean or on campuses with no schools or colleges, the Provost. In selected cases it may be appropriate for the signatures of two or more chancellors or deans to be included.
  4. Diplomas shall be distributed by the Director of Admissions or the Registrar of the campus where the degree is conferred and this officer shall make and keep an official record of the degree and degree program for which each diploma was issued.
  5. Upon completion of all requirements for a degree, a student shall receive a diploma for such degree dated the next issuance date.
  6. Holders of diplomas from the University of Kansas City may, when a replacement is needed, be issued a duplicate diploma of the University of Missouri with the notation “replacement for diploma of year 19 ” written on the diploma.
  7. A fee may be charged for issuing a duplicate or replacement diploma.
- B. **Diplomas for joint and collaborative degree programs** —The term “joint” refers to programs in which the University of Missouri and a partnering institution collaborate, and in which the contributions of both institutions to the delivery of the academic content of the program are approximately equal; and the term “collaborative” refers to programs in which the University of Missouri and a partnering institution collaborate and for which the University of Missouri is predominantly responsible for delivering the academic content of the program.
1. In addition to the requirements listed in Section A.2., candidates must also be approved by the person or body of the partner institution authorized to award degrees from that institution.
  2. Using the standard format and procedures for awarding of diplomas as indicated in Section A., diplomas for joint and collaborative graduate degree programs awarded pursuant to a cooperative agreement between the University of Missouri and other Missouri public four-year institutions of higher education who do not offer graduate degrees shall also include the name of the partner institution. (See section 173.005.2 (2) Missouri Revised Statutes Cum. Supp. 2007)

3. For institutions of higher education and/or collaborative degrees not covered by Section 220.020B.2, the following rule shall apply. Using the standard format and procedures for awarding of diplomas as indicated in Section A, diplomas for collaborative degree programs awarded pursuant to a cooperative agreement between the University of Missouri and other four-year ~~institutions~~institutions of higher education shall include the words, "in cooperation with" followed by the name of the partner institution only if the quality of the partnering institution has been validated and approved by a campus screening committee, the Provost, the Chancellor, and the President or designee, applying the process and criteria established by the President after consultation with the Intercampus Faculty Council, with such consultation to take place prior to the original establishment of such process and criteria and prior to any amendment of said process and criteria.
  4. The format of the diploma issued for joint or collaborative degrees shall be approved by the President.
- C. **Certificates**—The term "certificate" refers to ~~documents attesting completion of non-degree academic programs of study; a formal award certifying the satisfactory completion of a postsecondary education program.~~
1. Certificates may be awarded ~~on the basis of~~as:
    - (a) Postsecondary award certificate (less than one year) - an award that requires completion of an organized program of study at the postsecondary level (below the baccalaureate degree) in less than 1 academic year (2 semesters or 3 quarters), or designed for completion in less than 30 semester credit hours. Usually, this award is completed in conjunction with a Bachelor's degree.
    - (b) Post baccalaureate certificate - An award that requires completion of an organized program of study beyond the bachelor's. It is designed for persons who have completed a baccalaureate degree, but does not meet the requirements of a master's degree.
    - (c) Post-master's certificate - An award that requires completion of an organized program of study beyond the master's degree, but does not meet the requirements of academic degrees at the doctor's level. Academic credit granted;
    - (b) ~~Participation in or satisfactory completion of educational conferences, short courses, or non-credit courses of sixteen (16) or more contact hours of instruction;~~
    - (c) ~~Satisfactory completion of programs of residency training in the health sciences; and~~
    - (d) ~~Attendance at selected University-sponsored non-credit educational activities of at least six (6) but not more than fifteen (15) contact hours of instruction.~~
  2. ~~The awarding of certificates shall be approved by the faculty body or member responsible for the educational program which leads to the certificate. Names of candidates for certificates awarded for academic credit shall be acted on as in Section 220.030 A.2.~~
  3. ~~2.~~The format of each certificate will be approved by the President. Certificates will include the signatures of University officials authorized by the President or a Chancellor.

~~4.3.~~ The Director of Admissions or Registrar of the campus where the certificate is issued ~~or the dean of the school or college in the case of certificates for residency training~~ will make and keep an official record of each certificate issued, including the date issued and a description of the program of instruction for which the certificate is issued.

~~4.~~ A fee may be charged for issuing a duplicate certificate.

~~5.~~

~~D. Certificate of Completion – documents attesting to completion of non-degree academic program of study.~~

~~1. Participation in or satisfactory completion of educational conferences, short courses, or non-credit courses of sixteen (16) or more contact hours of instruction.~~

~~2. Satisfactory completion of programs of residency training in the health sciences, and~~

~~3. Attendance at selected University-sponsored non-credit educational activities of at least six (6) but not more than fifteen (15) contact hours of instruction.~~

~~4. The Executive Director of Non-credit programs or the dean of the school or college in the case of certificates for residency training will make and keep an official record of each certificate issued.~~

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# 220.020 Diplomas and Certificates CLEAN VERSION

## Chapter 220: Degrees, Diplomas and Honors

Bd. Min. 1-13-50, 12-7-63, 11-20-64, 2-12-66, 1-19-68, 12-16-77, 2-24-78 and amended 3-25-83, 10-5-07, 11-29-07, 10-24-08, 11-21-13.

- A. **Diplomas**—The term “diploma” refers to documents issued to substantiate conferral of degrees awarded on the basis of academic credit granted.
1. There shall be only one form of diploma used for the University of Missouri on all campuses, with the form to indicate in the date line the campus where the degree is conferred.
  2. Names of candidates for diplomas shall be presented to and approved by the faculty body responsible for the instructional program which leads to the degree. Names of candidates recommended by faculty bodies are to be presented to the Board of Curators for approval.
  3. Diplomas are to be ordered by the Office of the Director of Admissions or Office of the Registrar at the campus where the degree is conferred and will include the signatures of the President of the Board of Curators, the President of the University, the Chancellor, and the Dean or on campuses with no schools or colleges, the Provost. In selected cases it may be appropriate for the signatures of two or more chancellors or deans to be included.
  4. Diplomas shall be distributed by the Director of Admissions or the Registrar of the campus where the degree is conferred and this officer shall make and keep an official record of the degree and degree program for which each diploma was issued.
  5. Upon completion of all requirements for a degree, a student shall receive a diploma for such degree dated the next issuance date.
  6. Holders of diplomas from the University of Kansas City may, when a replacement is needed, be issued a duplicate diploma of the University of Missouri with the notation “replacement for diploma of year 19 ” written on the diploma.
  7. A fee may be charged for issuing a duplicate or replacement diploma.
- B. **Diplomas for joint and collaborative degree programs** —The term “joint” refers to programs in which the University of Missouri and a partnering institution collaborate, and in which the contributions of both institutions to the delivery of the academic content of the program are approximately equal; and the term “collaborative” refers to programs in which the University of Missouri and a partnering institution collaborate and for which the University of Missouri is predominantly responsible for delivering the academic content of the program.
1. In addition to the requirements listed in Section A.2., candidates must also be approved by the person or body of the partner institution authorized to award degrees from that institution.
  2. Using the standard format and procedures for awarding of diplomas as indicated in Section A., diplomas for joint and collaborative graduate degree programs awarded pursuant to a cooperative agreement between the University of Missouri and other Missouri public four-year institutions of higher education who do not offer graduate degrees shall also include the name of the partner institution. (See section 173.005.2 (2) Missouri Revised Statutes Cum. Supp. 2007)

3. For institutions of higher education and/or collaborative degrees not covered by Section 220.020B.2, the following rule shall apply. Using the standard format and procedures for awarding of diplomas as indicated in Section A, diplomas for collaborative degree programs awarded pursuant to a cooperative agreement between the University of Missouri and other four-year institutions of higher education shall include the words, "in cooperation with" followed by the name of the partner institution only if the quality of the partnering institution has been validated and approved by a campus screening committee, the Provost, the Chancellor, and the President or designee, applying the process and criteria established by the President after consultation with the Intercampus Faculty Council, with such consultation to take place prior to the original establishment of such process and criteria and prior to any amendment of said process and criteria.
4. The format of the diploma issued for joint or collaborative degrees shall be approved by the President.

C. **Certificates**—The term "certificate" refers to a formal award certifying the satisfactory completion of a postsecondary education program.

1. Certificates may be awarded as:

(a) Postsecondary award certificate (less than one year) - an award that requires completion of an organized program of study at the postsecondary level (below the baccalaureate degree) in less than 1 academic year (2 semesters or 3 quarters), or designed for completion in less than 30 semester credit hours. Usually, this award is completed in conjunction with a Bachelor's degree.

(b) Post baccalaureate certificate - An award that requires completion of an organized program of study beyond the bachelor's. It is designed for persons who have completed a baccalaureate degree, but does not meet the requirements of a master's degree.

2. (c) Post-master's certificate - An award that requires completion of an organized program of study beyond the master's degree, but does not meet the requirements of academic degrees at the doctor's level. The awarding of certificates shall be approved by the faculty body or member responsible for the educational program which leads to the certificate. The format of each certificate will be approved by the President. Certificates will include the signatures of University officials authorized by the President or a Chancellor.
3. The Director of Admissions or Registrar of the campus where the certificate is issued will make and keep an official record of each certificate issued, including the date issued and a description of the program of instruction for which the certificate is issued.
4. A fee may be charged for issuing a duplicate certificate.

D. Certificate of Completion – documents attesting to completion of non-degree academic program of study.

1. Participation in or satisfactory completion of educational conferences, short courses, or non-credit courses of sixteen (16) or more contact hours of instruction,
2. Satisfactory completion of programs of residency training in the health sciences, and

3. Attendance at selected University-sponsored non-credit educational activities of at least six (6) but not more than fifteen (15) contact hours of instruction.

4. The Executive Director of Non-credit programs or the dean of the school or college in the case of certificates for residency training will make and keep an official record of each certificate issued.

Sole Source Purchase  
UMSL Public Radio Station Underwriting Representation Services

In accordance with the Collected Rules and Regulations 80.010, the University of Missouri-St. Louis (UMSL) and St. Louis Public Radio (KWMU) request approval for the sole source purchase of Underwriting Representation Services, with Market Enginuity, Inc. (Enginuity), Phoenix, Arizona, for an estimated total cost of \$3,700,000 for a five-year term.

KWMU has outsourced administration and management of local public radio media underwriting sales to Enginuity for the past five years and desire to enter into another five-year contract. Enginuity is an integral part of daily operations of KWMU. They employ a sales manager and five account representatives whose offices are located at UMSL in the Grand Center building, the home of KWMU, alongside radio station staff.

Enginuity expects to generate \$2.3M in FY 20, which is 27% of total KWMU development revenue. The fee paid to Enginuity is 32% of underwriting and sponsorship sales obtained. Based on industry experience from KWMU leadership, this fee is a reasonable percentage of raising development revenue and is similar to some large and successful public radio stations in the country, including Chicago, Southern California and Washington, DC. It covers the six Enginuity employees, as well as industry specific marketing expertise of several corporate office staff, marketing and sales collateral, and benefits of Enginuity's leadership in specialized knowledge of public media underwriting marketing and sales.

At present, no other company can fulfill the unique public media niche provided by Enginuity. Their expertise has been gained through extensive experience in the public media industry that currently does not have competition. KWMU leadership consulted with Greater Public, a public media industry leader in providing innovative strategies for public media development, as to other firms available who can provide the same service as Enginuity. Greater Public confirmed no other firms currently exist that support public radio media underwriting sales.

Total estimated expenditure of \$3,700,000 for the five-year term will be paid from expected KWMU underwriting revenue of \$11,600,000. It is important to note the expenditure is directly related to the amount of underwriting and sponsorship sales. This source of development revenue is vitally important to sustaining KWMU station operations.

September 26, 2019





Naming  
Gale Bullman Multipurpose Building, Student Recreation  
and Intramural Center, and Fitness Center  
Missouri S&T

Pursuant to CRR 110.080, naming of buildings and exterior areas requires Board approval. Missouri S&T requests approval to name the complex currently comprised of the Gale Bullman Multipurpose Building, the Student Recreation and Intramural Center, and the Fitness Center the “Gale Bullman Building”.

With the recent addition of the fitness center, a new south entrance was created. This entrance serves the Gale Bullman Multipurpose Building, Student Recreation and Intramural Center, and Fitness Center. Exterior signage is confusing for visitors to the facility. After considerable discussion regarding the fondness of the Gale Bullman name to Alumni groups and timing of the upcoming sesquicentennial, Missouri S&T proposes changing buildings named Gale Bullman Multipurpose Building and Student Recreation and Intramural Center to the “Gale Bullman Building.” All exterior signage would be changed to this name. Interior signage would be installed directing people to the Multipurpose Center (currently referred to as Gale Bullman Multipurpose Building), Student Recreation Center (currently referred to as Student Recreation and Intramural Center), and Fitness Center.

The following paragraphs from the book, *UM-Rolla: A History of MSM/UMR* by Lawrence O. Christensen and Jack B. Ridley, may best describe why the building complex should be named after Gale Bullman:

“Discuss Miner athletics with anyone familiar with the School of Mines and before the conversation goes far, the discussion will center on Gale Bullman. The most famous and beloved coach in the history of the institution did not like to be called ‘Coach.’ Known to all as Gale, Bullman earned a law degree at Washington University before accepting the job of head football coach at MSM in 1937. His tenure was interrupted by a tour in the Navy during World War II, but he returned to Rolla in 1946 and remained in the athletic department until his retirement in 1970.

In addition to his role as head football coach and later as athletic director, Bullman should be credited with developing the intramural program. In 1945, intramurals included football, basketball, wrestling, boxing, cross country, swimming and volleyball. By the 1950s, softball, handball, horseshoes, golf and table tennis had been added to the list, altogether an impressive variety for a small school.”

University of Missouri President Mun Choi, Missouri S&T Chancellor Mohammad Dehghani, Missouri S&T Vice Chancellor of University Advancement Joan Nesbitt, and Missouri S&T Interim Vice Chancellor for Finance and Operations Cuba Plain are all in support of this naming.

September 26, 2019

No. 7

Recommended Action - Naming, Missouri S&T Gale Bullman Multipurpose Building, Student Recreation and Intramural Center, and Fitness Center

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

that the Gale Bullman Multipurpose Building, Student Recreation and Intramural Center, and Fitness Center be named the Gale Bullman Building.

Roll call vote of the Committee: YES NO

Curator Brncic  
Curator Chatman  
Curator Steelman  
Curator Williams

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

Roll call vote: YES NO

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

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

September 26, 2019

Naming Opportunity  
Public Media Commons  
UMSL

Pursuant to CRR 110.080, naming of buildings and exterior areas requires Board approval. University of Missouri–St. Louis (UMSL) and St. Louis Regional Public Media, Inc. (dba Nine Network of Public Media) request approval to rename the Public Media Commons in the Grand Center district of St. Louis to honor Jack Galmiche, the former president and CEO of the Nine Network.

The Public Media Commons, located between UMSL at Grand Center and the Nine Network, is a shared ownership space with approximately one-third of the property owned by the University of Missouri System and the remaining two-thirds owned by the Nine Network. An agreement currently exists between the University of Missouri and Nine Network to jointly operate the space as the Public Media Commons.

In 2011, Jack Galmiche and UMSL leaders created a vision for the Public Media Commons that has grown in to the vibrant community space it is now; an outdoor place for culture, education, and civic engagement offering multiple media experiences.

Jack Galmiche passed away on April 16, 2019. The Nine Network Board of Directors, with support of the leadership of St. Louis Public Radio and UMSL, seek to honor him by renaming the space the “Jack Galmiche Public Media Commons.”

There would be no financial impact to the University of Missouri System to enact this change. However, the renaming will initiate the kickoff to raise \$250,000 for the Jack Galmiche Fund at the Nine Network. A portion of the funds raised will be placed into a restricted fund to help support the operating and capital expenses of the Public Media Commons. These funds would be identified as “Commons Revenues” under 4.6 of the management agreement, to reduce both parties’ expenditures in future years.

Tim Eby, Director and General Manager of St. Louis Public Radio, indicates this proposal has support from friend and supporters of the radio station.

September 26, 2019

No. 8

Recommended Action - Naming, UMSL Public Media Commons

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

that the Public Media Commons at Grand Center be named the Jack Galmiche Public Media Commons in recognition of Jack Galmiche.

Roll call vote of the Committee: YES NO

- Curator Brncic
- Curator Chatman
- Curator Steelman
- Curator Williams

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

Roll call vote: YES NO

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

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

Annual Approval  
Investment Consultant  
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. As has been past practice, the Board of Curators approves the appointment of the general investment consultant on an annual basis. The annual fee is \$400,000 with annual adjustments for CPI inflation going forward. Attached is an overview of Verus for your review.

No 9

Recommended Action - Annual Approval, UM Investment Consultant

It was recommended by Vice President Rapp, endorsed by President 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 Brncic  
Curator Chatman  
Curator Steelman  
Curator Williams

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

Roll call vote of The Board of Curators: YES NO

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

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



**PERSPECTIVES  
THAT DRIVE  
ENTERPRISE  
SUCCESS**

**AUGUST 2019**

**Verus Overview**

**VERUSINVESTMENTS.COM**

**SEATTLE 206-622-3700**

**LOS ANGELES 310-297-1777**

**SAN FRANCISCO 415-362-3484**

September 26, 2019



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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 and San Francisco, our professionals advise \$416 billion in client assets for 153 clients. The firm has 18 shareholders and employs 81 people, 69 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 four new shareholders as part of our effort to broaden the breadth of ownership among our key employees. Senior Private Markets Consultant Faraz Shooshani has also been appointed as the newest member of the firm’s Management Committee. 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
Consulting	27			●	●
Manager research	12			●	●
Strategic research	3			●	●
Risk advisory & portfolio management	7		●		●
Performance analytics	13		●	●	
Finance, operations and administration	16			●	●
Information technology	3			●	●
Total	81			●	●

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
- Solovis                                       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 153 retainer clients with total of more than \$415 billion in assets under advisement. \$413 billion in traditional consulting services, and \$3.6 billion in discretionary services. Below is a representative client list.

NOT-FOR-PROFIT		CORPORATE		PUBLIC		MULTI-EMPLOYER
American University of Cairo	Hospice Foundation	Allergan, Inc.	LaCrosse Footwear	Contra Costa County Employees' Retirement Association		Alaska Teamsters-Employer Pension Trust
Archdiocese of Seattle	Huntington Memorial Hospital	Apria Healthcare 401K Savings Plan	Moss-Adams LLP	Fresno County Employees' Retirement Association		Arizona Bricklayers' Pension Trust Fund
Barry Foundation	Idaho Community Foundation	Avista Corporation	Mutual of Enumclaw Insurance Company	Imperial County Employees' Retirement System		Laborers Pension Trust Fund for N. California
Blood Centers of the Pacific Pension Plan	Puget Sound Energy Foundation	Barrick Gold Corporation	The Seattle Times	Indiana Public Retirement System		Northern California Pipe Trades
Blood Systems Inc.	Riverside Community Foundation	Boise Cascade	Southwest Airlines Pilots' Association	Kern County Employees' Retirement Association		Oregon Retail Employees Pension Trust
Campanile Foundation	The Salvation Army – Western Division	Carnival Corporation	Westfield Corporation	Los Angeles Metropolitan Transportation Authority		Oregon and Southwest Washington Painters Pension Trust
Carroll College	Sisters of St. Dominic	Castle & Cooke		Oklahoma Public Employees' Retirement System		Signatory Employers – Idaho Laborers Pension Plan
Catholic Community Foundation of San Diego	Skagit Valley Regional Health	Carollo Engineers		Pasadena Fire and Police Retirement System		Southern CA Cement Masons Trust Funds
College Spark	University of Colorado Health	Cox Enterprises		San Jose Retirement System		Southern California Floor Covering Pension and Health & Welfare Fund
Community Foundation for Monterey County	University of Missouri	Eastside Retirement Association		San Luis Obispo County Pension Trust		Utah Laborers
Community Foundation of Southern Arizona	University Physicians, Inc.	Forever Living Products		Stanislaus County Employees' Retirement Association		Washington State Plumbers
Confluence Health	UCSD Foundation	Group Health Cooperative		Tulare County Employees' Retirement Association		Western States OPEIU H&W Trust and 401k Plan
Diocese of San Diego	Virginia Mason Medical Center	Hanford Site		West Virginia Investment Management Board		
Foundation for CSJ Monterey Bay	Whitworth University	Harnish Group		Wisconsin State Investment Board		
Gonzaga University		Jack in the Box, Inc.				
Group Health Foundation		Karsten Manufacturing				
		Kinross Gold Corporation				

## 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 148 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

## Professional Biographies



**Mr. Barry Dennis**  
Managing Director

Mr. Dennis has over 35 years of institutional investment experience, over 30 years of which include direct consulting to institutional plan sponsor clients, including multi-generational family trusts and foundations. He joined Verus January 1, 2016 pursuant to a merger between Verus and Strategic Investment Solutions.

Mr. Dennis co-founded Strategic Investment Solutions and served as its chairman and chief executive officer before merging with Verus. After earning a bachelor of arts (BA) in English from the University of Wisconsin and earning a master's degree in business administration (MBA) in Finance from The Keller Graduate School of Management, he joined Continental Illinois National Bank and Trust Company of Chicago. His seven years at the bank were focused on investment systems, index fund management, performance measurement, asset/liability modeling and portfolio manager/investment analyst evaluation. In 1983, Mr. Dennis joined Callan Associates Inc. as a senior consultant in the firm's Chicago Office. In 1988, he moved west to manage the San Francisco Consulting Office of Callan. He was appointed chairman of Callan's manager search committee in 1992, a position he held until his resignation in 1994. He was also a member of the firm's management committee and served as the primary consultant to many of the firm's largest and most prominent clients.

Since 2003 Mr. Dennis has served on the Board of Directors of the Stern Grove Festival Association, a non-profit cultural organization that sponsors America's longest-running admission-free concert series.



**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 25 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 also chairs the firm's management committee.

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 and 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, 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 a member of Verus' Management Committee. He 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.



**Mr. 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.

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).



**Mr. Marc Gesell, CFA**

Senior Associate Director, Risk

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 is 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.

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Energy Loan Program of the Missouri Department of Economic Development/  
Division of Energy  
Missouri S&T

The Missouri University of Science and Technology (Missouri S&T) requests approval of a resolution authorizing participation in the State of Missouri's Department of Economic Development/Division of Energy (DED/DE) energy loan program. Missouri S&T has one energy conservation initiative it will be implementing and is requesting funds from this program for these energy conservation projects. The DED/DE has approved this request for \$528,370.00 at an annual interest rate of 2.0% and a 1% loan origination fee. The loan will be paid back over a ten-year time period. The project is projected to reduce energy cost by \$62,419 annually.

The project covered by the loan is lighting upgrades in Butler Carlton Civil Engineering Building, Curtis Laws Wilson Library, Humanities and Social Sciences Building and Toomey Hall.

September 26, 2019

No. 10

Recommended Action - Approval of a resolution authorizing participation in the State of Missouri's Energize Missouri Loan program and authorization of the Vice President for Finance and Chief Finance Officer to execute associated loan agreement and promissory note.

Loan Amount: \$480,625.00

Interest Rate: 2.00%

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

This Loan Agreement ("Agreement") is entered into between the Missouri Department of Economic Development – Division of Energy ("Department") and THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY, a university, ("Public Entity") located in Phelps County, Missouri.

WHEREAS, the Department has approved the Public Entity's financing application pursuant to Sections 640.651 to 640.686 of the Missouri Revised Statutes, as amended, up to the maximum amount specified in Paragraph 1 of this Agreement, provided that Borrower complies with the various terms and conditions set forth in this Agreement, and

WHEREAS, the Department may choose to fund amounts loaned pursuant to its *Energize Missouri Loan Program* (the "Program") from the proceeds of revenue bonds issued or to be issued by the State Environmental Improvement and Energy Resources Authority (the "Authority") pursuant to a Bond Indenture authorizing such Authority bonds (the "Bond Indenture") among the Authority, the Department, and the bond trustee named therein (the "Bond Trustee"). Capitalized terms used in this Agreement and not defined herein shall have the meanings contained in the Bond Indenture, or if no Bond Indenture, such terms shall have the meanings contained in 4 CSR 340-2.010.

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 26, 2019

**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 Revised Statutes of Missouri, as amended. The total Loan amount is hereby authorized in the amount of **\$528,370.00**, 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 Public Entity promises to repay the Project Costs Loan made to the Public Entity, plus loan origination fee and accrued interest from the date of Project Completion (defined below) at a simple annual rate of **two percent (2.00%)**. The receipt by the Public Entity or its designee of amounts under the Agreement creates an obligation of the Public Entity, and constitutes its promise to repay the amounts described in this paragraph.

**Section 2:** That the Public Entity hereby approves the form of the Loan Agreement, which is attached to this Resolution as Exhibit A, the blank form of Promissory Note, attached hereto as Exhibit C, which 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 as Exhibit D.

**Section 3:** That the superintendent, city manager, chief administrative officer and/or chief financial officer of the Public Entity ("Public Entity 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 C Promissory Note;  
Exhibit D Public Entity's Closing Certificate.

**Section 4:** That the governing Body of the Public Entity hereby approves the Project and authorizes the Public Entity Representative and such officers and employees as the Public Entity 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 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 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

September 26, 2019

such Public Entity Representative constituting the conclusive evidence of his or her approval and the approval of the Public Entity to any such changes.

**Section 5:** That the amounts due under the Loan Agreement and the Promissory Note shall be limited obligations of the Public Entity payable solely from energy costs savings derived from the Project. Amounts due under the Loan Agreement and the Promissory Note shall not constitute a debt or liability of the Public Entity or of the State of Missouri or of any political subdivision thereof and such amounts shall not constitute an indebtedness within the meaning of any constitutional or statutory debt limitation or restriction.

**Section 6:** That the Public Entity recognizes that DED/DE may choose to fund the Loan under its *Energize Missouri Loan Program* in cooperation with Authority through the issuance and sale of tax-exempt bonds by the Authority, and that a portion of the proceeds of the Bonds may be used to reimburse the Public Entity for any advances made by Public Entity in connection with the Project.

Roll call vote of the Committee: YES NO

- Curator Brncic
- Curator Chatman
- Curator Steelman
- Curator Williams

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

Roll call vote: YES NO

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

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

Michael L. Parson  
Governor



Robert B. Dixon  
Director

DIVISION OF ENERGY

MAY 09 2019

Mr. Robert Armstrong  
Senior Staff Engineer  
Missouri University of Science  
and Technology  
901 Facilities Avenue  
Rolla, MO 65409-6514

RE: Loan Number NTSGHAD2

Dear Mr. Armstrong:

I am pleased to inform you that your application for a loan to finance your energy-efficiency project has been approved for **\$480,625.00** at **2.00%** interest plus a loan origination fee of **1.00%** of the principal loan amount.

Enclosed you will find two copies of the loan agreement. Also enclosed is a resolution, closing certificate, certifications regarding debarment and lobbying, draft amortization, Borrower Information Form, and Federal Work Authorization Program Affidavit. Please read them carefully. If you accept the loan under the terms outlined in the agreement, complete and sign all the originals (**blue forms**) and return them to the Missouri Department of Economic Development – Division of Energy, Attn: Loan Program Clerk, P.O. Box 1766, Jefferson City, MO 65102, **within four weeks** of the date of this letter. Retain the white copy of the loan agreement for your records.

The review of your application by the Missouri Department of Economic Development – Division of Energy (DED – DE) included the review of potential energy cost savings and is based on information provided by the applicant and/or reasonable engineering judgment. No engineering services have been performed by DED – DE to evaluate or confirm the appropriateness of the energy conservation measures and/or designs proposed in the application. The loan approval shall not limit architectural or engineering services, which may be necessary for the project.

During the term of your loan, if you need to request changes to the approved scope of work contained in your application, you must submit a written request immediately upon making changes with your contractor. Should you need to request an extension to completion date, a written request must be submitted, reviewed, and approved before the project's original completion date. DED – DE will respond to all requests in writing. Verbal agreements are not valid except with written confirmation.

OPEN - CONSENT - 10-5

September 26, 2019

Also enclosed are a sample copy of the Promissory Note, *Energize Missouri Loan Program Requirements and Terms and Conditions*, Appendix A, Davis Bacon Fact Sheet, Section 1605 Buy American, Buy American Certification Form, Sample Buy American Equipment List, Loan Rule, Public Law 101-166.511, Requirements Reminders, a Reimbursement Request form, and a Final Project Cost Report form. Please be aware that we require supporting documentation to be submitted in accordance with the U.S. Department of Energy regulations 10 CFR (Code of Federal Regulations) 600 and 10 CFR 420, with each reimbursement request. Documentation must consist of clear, readable copies of the following:

- ✓ Itemized Energy Loan Fund Reimbursement Request signed by an authorized official
- ✓ Invoices/receipts for goods and services purchased for the project
- ✓ Copies of canceled checks (front and back)
- ✓ Itemized accounting
- ✓ Buy American Certification and Equipment list
- ✓ Davis Bacon and Related Acts compliance

DED – DE may withhold payment of reimbursement requests until all the terms and conditions of the loan are met, the project is completed, and the final report is submitted.

After our receipt of the signed originals of the loan agreement, resolution, closing certificate, certifications regarding debarment and lobbying, Borrower Information Form, and Federal Work Authorization Program Affidavit, reimbursement requests may be submitted for costs incurred on your project after December 17, 2018, the date this cycle was announced. All reimbursement request(s) under the loan agreement from Missouri University of Science and Technology should be made by the project completion date of October 31, 2020.

Please note that you may request multiple loan payments throughout the period of project construction to cover construction costs as you incur them; however, the draft amortization provided in this packet is based upon the following assumptions:

1. You would request a single loan payment from DED – DE at the end of project construction, and
2. The DED – DE loan disbursement to you occurs no more than 150 days before the due date of your first loan repayment.

Please note, multiple reimbursement requests will initiate the accrual of interest (i.e. construction interest) which will negatively impact the total loan amount available for reimbursement. This ensures that the savings of the energy conservation measures repay the loan.

Once construction is complete, the department will conduct a final inspection and complete all project “close-out” documentation. Once this process is complete a final payment/amortization schedule will be sent to you.

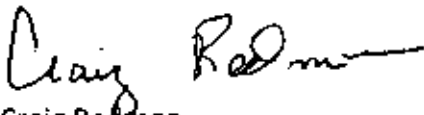


Mr. Robert Armstrong  
Senior Staff Engineer  
Page 3

Thank you for the opportunity to be of assistance in financing your energy and cost-saving project. If you have any questions about the terms of the loan or the project, please contact Daniel Dahler at 573-522-9371 or Daniel.Dahler@ded.mo.gov. We look forward to working with you to ensure a successful project.

Sincerely,

DIVISION OF ENERGY

A handwritten signature in black ink that reads "Craig Bedmon". The signature is written in a cursive style with a long horizontal flourish at the end.

Craig Bedmon  
Director

CR/tp

Enclosures

**ENERGIZE MISSOURI LOAN PROGRAM  
LOAN AGREEMENT**

This Loan Agreement ("Agreement") is entered into between the Missouri Department of Economic Development – Division of Energy ("Department") and **THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY**, a university, ("Borrower") located in Phelps County, Missouri.

WHEREAS, 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 Agreement, provided that Borrower complies with the various terms and conditions set forth in this Agreement, and

WHEREAS, the Department may choose to fund amounts loaned pursuant to its *Energize Missouri Loan Program* (the "Program") from the proceeds of revenue bonds issued or to be issued by the State Environmental Improvement and Energy Resources Authority (the "Authority") pursuant to a Bond Indenture authorizing such Authority bonds (the "Bond Indenture") among the Authority, the Department, and the bond trustee named therein (the "Bond Trustee"). Capitalized terms used in this Agreement and not defined herein shall have the meanings contained in the Bond Indenture, or if no Bond Indenture, such terms shall have the meanings contained in 4 CSR 340-2.010.

THEREFORE, in consideration of the mutual promises set forth in the numbered paragraphs below, the Department and Borrower mutually agree as follows:

1. The Borrower shall execute a promissory note, which evidences loans from the Department: the Project Costs Loan and/or the Reserve Loan (collectively the Project Costs Loan and the Reserve Loan are referred to herein as the "Loan"). The Project Costs Loan shall be in a maximum total loan amount of **\$528,370.00**, 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 origination fee and accrued interest from the date of Project Completion (defined below) at a simple annual rate of **two percent (2.00%)**. The receipt by the Borrower or its designee of amounts under this Agreement creates an obligation of the Borrower, and constitutes its promise to repay the amounts described in this paragraph.

2. The proceeds of the Project Costs Loan shall be used to implement Energy Conservation Measures (ECM's) designated as approved by the Department through the "Approved Measures List." The approved ECM's related to the Project are described in the Borrower's loan application, Technical Assistance Report ("TAR") and associated Department review documents approved by the

Department. The Borrower's approved loan application, TAR Worksheets and associated Department review documents are made part of this Agreement by reference.

3. The Borrower will not pay interest on the Reserve Loan, if applicable, the proceeds of which will be deposited into the Program's Debt Service Reserve Fund. The Borrower has no monetary obligation to repay the principal amount of the Reserve Loan except through the release of amounts deposited in the Debt Service Reserve Fund as more fully described in the Bond Indenture and other bond documents.

4. The Borrower acknowledges that its Project Costs Loan may be funded in part from the proceeds of tax-exempt bonds issued by the Authority under the Program ("Program Bonds") and therefore covenants and agrees that neither the Borrower nor any related party (within the meaning of Section 1.150-1(a) of the federal income tax regulations) will:

(a) buy Program Bonds; or

(b) allow more than five percent (5%) of the proceeds of the Project Costs Loan to be used in any trade or business carried on by any person other than a governmental unit (within the meaning of Section 141(b)(6) of the Internal Revenue Code) unless the Borrower has first obtained written approval of such use from the department; or

(c) enter into any management contract or service contract with respect to the Project with any person other than a governmental unit unless the contract meets the advance ruling guidelines published by the Internal Revenue Service (currently set forth in Revenue Procedure 97-13, 1997-1 C.B. 632) unless the Borrower has first obtained written approval of such contract from the Department.

5. Borrower shall obtain any and all permits and licenses required to install or operate the Project and shall comply with all local, state, and federal laws, rules and codes concerning the Project.

6. 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.

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.

8. The completion date of the Project shall be no later than **October 31, 2020**, unless an extension is approved in writing by the Department. The Borrower shall notify the Department when the Project has been completed and it is making its final disbursement request. 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").

9. All equipment and material acquired under this Agreement shall become the property of the Borrower at time of purchase.

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 a 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 Agreement have been satisfied. If loan funding is provided through the issuance of bonds, and the Bond Trustee receives an approved Requisition no later than two Business Days prior to the 5th or the 20th day of any month (each a "Reimbursement Submission Date"), the Bond Trustee is required to pay the Borrower by the next Reimbursement Submission Date. The Department will not approve any Requisitions upon a default by the Borrower or the issuance of a stop-work order by the Department.

12. Borrower shall submit an annual report within thirty (30) days of receipt of the reporting form provided by the Department. The 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 by the Authority in connection with the issuance of Program bonds. Borrower further agrees that if it is notified by the Department that its Project Costs Loans outstanding equal or exceed ten percent (10%) of the aggregate principal amount of Project Costs Loans outstanding for all Borrowers under the Program on the date of issuance of any series of Program Bonds, it will execute an agreement to provide annual information and other information concerning its operations as required by the Department.

13. The Borrower agrees to provide a Final Project Cost Report on a form provided by the Department no later than thirty (30) days following Project 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 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 Agreement.

14. The Borrower shall establish and maintain on its books an Energy Conservation Loan Account and the Borrower shall annually budget an amount sufficient to meet the repayment obligation imposed by this 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 all records for the loan application and Project for a period of three (3) years following the final repayment of the Loan.

16. The Borrower shall not raise the funds needed to meet its annual repayment obligation under this 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 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 Agreement, this 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 shall initiate available remedies pursuant to Section 640.660 or 640.672 RSMo and other applicable law, and the Borrower agrees to and acknowledges the right of the Department to collect amounts owed under the Loan pursuant to such procedures and agrees to cooperate with the Department to obtain payment thereby.

18. The Borrower shall maintain the Project in good working order for the length of the Loan and shall ensure that staff members are provided appropriate training on the operation and maintenance of the Project. The Borrower shall provide insurance on the Project and, in the event of any casualty loss covered by such insurance policy, apply the proceeds to the repair of the Project or, with the approval of the Department, may use the insurance proceeds to install alternate ECM's to generate alternative energy cost savings to repay the Loan.

19. If, prior to final repayment of the Loan, the Borrower sells the equipment or material 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 Agreement in full at the time of such sale.

20. 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, the Authority, 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.

21. No officer or employee of the Borrower shall participate in any decisions relating to this 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 Agreement or the proceeds thereof.

22. 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 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.

23. During the term of this Agreement, the Borrower and its contractors and subcontractors shall not engage in discriminatory practices based upon race, color, religion, national origin, sex, handicap or age with respect to recipients of services, employees or applicants for employment.

24. Any amendments to the Agreement shall be in writing and duly executed by both parties.

25. The provisions of this 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 Agreement shall continue to be binding upon the parties.

26. The Borrower's failure to comply with any of the terms of this Agreement shall constitute a breach of this 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 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 Bond Trustee, as assignee of the Authority, and the Department will have the right to take whatever action at law or in equity they deem necessary or appropriate to secure such repayment, including all remedies available to the Bond Trustee under the Bond Indenture.

27. 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 Agreement.

28. This 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.

29. The Borrower represents that this 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 Agreement; nor does this Agreement violate any debt limit imposed by any ordinances, charter, by-laws, law or otherwise, that is applicable to the Borrower.

30. The Borrower certifies that it has full power and authority to enter into this Agreement, and this 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 Agreement also authorizes such further acts as are necessary, including execution of the promissory note, to implement and further the intent of this Agreement.

31. The Borrower acknowledges that the Department may choose to assign its rights under this Agreement to the Authority and that the Authority may assign its rights to the Bond Trustee, and Borrower approves and consents to these assignments. If the Department chooses to fund this loan through the proceeds of revenue bonds, Borrower assigns all of its right, title and interest in the Loan to the Bond Trustee, as assignee of the Authority, to secure the obligations of the Borrower to make payments under this Agreement.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed.

\_\_\_\_\_  
Type/print name of Borrower

MISSOURI DEPARTMENT OF ECONOMIC  
DEVELOPMENT – DIVISION OF ENERGY

\_\_\_\_\_  
Signature Date

Craig Redmon 4-24-19  
Signature Date

\_\_\_\_\_  
Type/print name of Authorized Official

Craig Redmon  
Authorized Official

Title: \_\_\_\_\_

Title: Division Director

Approved as to  
Legal Form



KRM

Aug 29, 2019

**ENERGY LOAN PROGRAM & ENERGIZE MISSOURI LOAN PROGRAM**  
**APPROVED MEASURE(S) LIST**

LOAN NUMBER		LOAN RECIPIENT			BUILDING, FACILITY, OR SYSTEM		
NTSGHAD2		Missouri University of Science and Technology			Butler Carlton Hall, Curtis Laws Wilson Library, Humanities and Social Sciences Building, Toomey Hall		
APPROVED MEASURES FROM LOAN APPLICATION RECEIVED					AMENDED		
February 15, 2019							
ECM NO.	ECM CODE	ECM DESCRIPTION	TOTAL EST. COSTS	MAX. CONST. COSTS	ESTIMATED SAVINGS \$/YR	EST. MMBtu SAVINGS/YR	
1	ECX	Lighting Upgrades	480,625	480,625	62,419	2,662 - E 0 - G	
<b>TOTAL</b>			<b>\$ 480,625</b>	<b>\$ 480,625</b>	<b>\$ 62,419</b>	<b>2,662 - E 0 - G</b>	
REMARKS (OFFICE USE ONLY)							
8.5 year loan at 2% interest rate and 1% loan origination fee.							



**ENERGIZE MISSOURI LOAN PROGRAM  
LOAN AGREEMENT**

This Loan Agreement ("Agreement") is entered into between the Missouri Department of Economic Development – Division of Energy ("Department") and **THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY**, a university, ("Borrower") located in Phelps County, Missouri.

WHEREAS, 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 Agreement, provided that Borrower complies with the various terms and conditions set forth in this Agreement, and

WHEREAS, the Department may choose to fund amounts loaned pursuant to its *Energize Missouri Loan Program* (the "Program") from the proceeds of revenue bonds issued or to be issued by the State Environmental Improvement and Energy Resources Authority (the "Authority") pursuant to a Bond Indenture authorizing such Authority bonds (the "Bond Indenture") among the Authority, the Department, and the bond trustee named therein (the "Bond Trustee"). Capitalized terms used in this Agreement and not defined herein shall have the meanings contained in the Bond Indenture, or if no Bond Indenture, such terms shall have the meanings contained in 4 CSR 340-2.010.

THEREFORE, in consideration of the mutual promises set forth in the numbered paragraphs below, the Department and Borrower mutually agree as follows:

1. The Borrower shall execute a promissory note, which evidences loans from the Department: the Project Costs Loan and/or the Reserve Loan (collectively the Project Costs Loan and the Reserve Loan are referred to herein as the "Loan"). The Project Costs Loan shall be in a maximum total loan amount of **\$528,370.00**, 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 origination fee and accrued interest from the date of Project Completion (defined below) at a simple annual rate of **two percent (2.00%)**. The receipt by the Borrower or its designee of amounts under this Agreement creates an obligation of the Borrower, and constitutes its promise to repay the amounts described in this paragraph.

2. The proceeds of the Project Costs Loan shall be used to implement Energy Conservation Measures (ECM's) designated as approved by the Department through the "Approved Measures List." The approved ECM's related to the Project are described in the Borrower's loan application, Technical Assistance Report ("TAR") and associated Department review documents approved by the

Department. The Borrower's approved loan application, TAR Worksheets and associated Department review documents are made part of this Agreement by reference.

3. The Borrower will not pay interest on the Reserve Loan, if applicable, the proceeds of which will be deposited into the Program's Debt Service Reserve Fund. The Borrower has no monetary obligation to repay the principal amount of the Reserve Loan except through the release of amounts deposited in the Debt Service Reserve Fund as more fully described in the Bond Indenture and other bond documents.

4. The Borrower acknowledges that its Project Costs Loan may be funded in part from the proceeds of tax-exempt bonds issued by the Authority under the Program ("Program Bonds") and therefore covenants and agrees that neither the Borrower nor any related party (within the meaning of Section 1.150-1(a) of the federal income tax regulations) will:

(a) buy Program Bonds; or

(b) allow more than five percent (5%) of the proceeds of the Project Costs Loan to be used in any trade or business carried on by any person other than a governmental unit (within the meaning of Section 141(b)(6) of the Internal Revenue Code) unless the Borrower has first obtained written approval of such use from the department; or

(c) enter into any management contract or service contract with respect to the Project with any person other than a governmental unit unless the contract meets the advance ruling guidelines published by the Internal Revenue Service (currently set forth in Revenue Procedure 97-13, 1997-1 C.B. 632) unless the Borrower has first obtained written approval of such contract from the Department.

5. Borrower shall obtain any and all permits and licenses required to install or operate the Project and shall comply with all local, state, and federal laws, rules and codes concerning the Project.

6. 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.

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.

8. The completion date of the Project shall be no later than **October 31, 2020**, unless an extension is approved in writing by the Department. The Borrower shall notify the Department when the Project has been completed and it is making its final disbursement request. 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").

9. All equipment and material acquired under this Agreement shall become the property of the Borrower at time of purchase.

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 a 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 Agreement have been satisfied. If loan funding is provided through the issuance of bonds, and the Bond Trustee receives an approved Requisition no later than two Business Days prior to the 5th or the 20th day of any month (each a "Reimbursement Submission Date"), the Bond Trustee is required to pay the Borrower by the next Reimbursement Submission Date. The Department will not approve any Requisitions upon a default by the Borrower or the issuance of a stop-work order by the Department.

12. Borrower shall submit an annual report within thirty (30) days of receipt of the reporting form provided by the Department. The 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 by the Authority in connection with the issuance of Program bonds. Borrower further agrees that if it is notified by the Department that its Project Costs Loans outstanding equal or exceed ten percent (10%) of the aggregate principal amount of Project Costs Loans outstanding for all Borrowers under the Program on the date of issuance of any series of Program Bonds, it will execute an agreement to provide annual information and other information concerning its operations as required by the Department.

13. The Borrower agrees to provide a Final Project Cost Report on a form provided by the Department no later than thirty (30) days following Project 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 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 Agreement.

14. The Borrower shall establish and maintain on its books an Energy Conservation Loan Account and the Borrower shall annually budget an amount sufficient to meet the repayment obligation imposed by this 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 all records for the loan application and Project for a period of three (3) years following the final repayment of the Loan.

16. The Borrower shall not raise the funds needed to meet its annual repayment obligation under this 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 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 Agreement, this 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 shall initiate available remedies pursuant to Section 640.660 or 640.672 RSMo and other applicable law, and the Borrower agrees to and acknowledges the right of the Department to collect amounts owed under the Loan pursuant to such procedures and agrees to cooperate with the Department to obtain payment thereby.

18. The Borrower shall maintain the Project in good working order for the length of the Loan and shall ensure that staff members are provided appropriate training on the operation and maintenance of the Project. The Borrower shall provide insurance on the Project and, in the event of any casualty loss covered by such insurance policy, apply the proceeds to the repair of the Project or, with the approval of the Department, may use the insurance proceeds to install alternate ECM's to generate alternative energy cost savings to repay the Loan.

19. If, prior to final repayment of the Loan, the Borrower sells the equipment or material 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 Agreement in full at the time of such sale.

20. 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, the Authority, 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.

21. No officer or employee of the Borrower shall participate in any decisions relating to this 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 Agreement or the proceeds thereof.

22. 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 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.

23. During the term of this Agreement, the Borrower and its contractors and subcontractors shall not engage in discriminatory practices based upon race, color, religion, national origin, sex, handicap or age with respect to recipients of services, employees or applicants for employment.

24. Any amendments to the Agreement shall be in writing and duly executed by both parties.

25. The provisions of this 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 Agreement shall continue to be binding upon the parties.

26. The Borrower's failure to comply with any of the terms of this Agreement shall constitute a breach of this 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 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 Bond Trustee, as assignee of the Authority, and the Department will have the right to take whatever action at law or in equity they deem necessary or appropriate to secure such repayment, including all remedies available to the Bond Trustee under the Bond Indenture.

27. 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 Agreement.

28. This 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.

29. The Borrower represents that this 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 Agreement; nor does this Agreement violate any debt limit imposed by any ordinances, charter, by-laws, law or otherwise, that is applicable to the Borrower.

30. The Borrower certifies that it has full power and authority to enter into this Agreement, and this 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 Agreement also authorizes such further acts as are necessary, including execution of the promissory note, to implement and further the intent of this Agreement.

31. The Borrower acknowledges that the Department may choose to assign its rights under this Agreement to the Authority and that the Authority may assign its rights to the Bond Trustee, and Borrower approves and consents to these assignments. If the Department chooses to fund this loan through the proceeds of revenue bonds, Borrower assigns all of its right, title and interest in the loan to the Bond Trustee, as assignee of the Authority, to secure the obligations of the Borrower to make payments under this Agreement.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed.

\_\_\_\_\_  
Type/print name of Borrower

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Type/print name of Authorized Official

Title: \_\_\_\_\_

MISSOURI DEPARTMENT OF ECONOMIC  
DEVELOPMENT – DIVISION OF ENERGY

Craig Redmon                      4-24-19  
Signature                                      Date

Craig Redmon  
Authorized Official

Title: Division Director

Approved as to  
Legal Form



KKM

Aug 29, 2019



**ENERGY LOAN PROGRAM & ENERGIZE MISSOURI LOAN PROGRAM**  
**APPROVED MEASURE(S) LIST**

LOAN NUMBER <b>NTSGHAD2</b>	LOAN RECIPIENT <b>Missouri University of Science and Technology</b>	BUILDING, FACILITY, OR SYSTEM Butler Carlton Hall, Curtis Laws Wilson Library, Humanities and Social Sciences Building, Toomey Hall
APPROVED MEASURES FROM LOAN APPLICATION RECEIVED  February 15, 2019		AMENDED

ECM NO.	ECM CODE	ECM DESCRIPTION	TOTAL EST. COSTS	MAX. CONST. COSTS	ESTIMATED SAVINGS \$/YR	EST. MMBtu SAVINGS/YR
1	ECX	Lighting Upgrades	480,625	480,625	62,419	2,662 - E 0 - G
<b>TOTAL</b>			<b>\$ 480,625</b>	<b>\$ 480,625</b>	<b>\$ 62,419</b>	<b>2,662 - E 0 - G</b>

REMARKS (OFFICE USE ONLY)  
 8.5 year loan at 2% interest rate and 1% loan origination fee.

RESOLUTION OF THE GOVERNING BODY OF MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY AUTHORIZING THE PARTICIPATION IN THE *ENERGIZE MISSOURI LOAN PROGRAM* OF THE MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT – DIVISION OF ENERGY 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 MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY, an authorized Borrower under the *Energize Missouri 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 Economic Development – Division of Energy ("Department") 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 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 4 Code of State Regulations 340-2.010 *et seq.*, as amended (the "Regulations"); and

WHEREAS, the Department may fund this Loan pursuant to its *Energize Missouri Loan Program* (the "Program") from the proceeds of revenue bonds issued by the State Environmental Improvement and Energy Resources Authority (the "Authority") pursuant to a Bond Indenture authorizing the Authority bonds used to fund the Loan (the "Bond Indenture") among the Authority, the Department, and the bond trustee named therein (the "Bond Trustee"); 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



**EXHIBIT B**  
**LOAN NO. NTSGHAD2**

Section 640.653.2 RSMo, as amended. The total Loan amount is hereby authorized in the amount of **\$528,370.00**, which amount shall include (i) estimated maximum construction costs of **\$480,625.00**, 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 percent (2.00%)**, and (iii) a loan origination fee of **one percent (1.00%)** of the principal amount of the Loan. Under the Loan Agreement, the Public Entity agrees to make semiannual 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 as Exhibit A, the blank form of Promissory Note, attached hereto as Exhibit C, which 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 as Exhibit D.

**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;
- C. Promissory Note;
- D. 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

**EXHIBIT B  
LOAN NO. NTSGHAD2**

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.

**Section 5.** That the Public Entity recognizes that the Department may choose to fund the Loan under its *Energize Missouri Loan Program* in cooperation with Authority through the issuance and sale of tax-exempt bonds by the Authority, and that a portion of the proceeds of the Bonds may be used to reimburse the Public Entity for any advances made by the Public Entity in connection with the Project.

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 MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY**, (the "Public Entity"), hereby certify in connection with its application for participation in the *Energize Missouri Loan Program* (the "Program") and its execution of a Loan Agreement (the "Loan Agreement") with the Missouri Department of Economic Development – Division of Energy ("Department"), 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 as Exhibit A, 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

**EXHIBIT D**  
**LOAN NO. NTSGHAD2**

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 to 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 or the Authority 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.

9. Appropriation of Payments for Original Term. The Public Entity has, in accordance with the requirements of law, fully budgeted and appropriated sufficient funds for the current fiscal year to make the Loan Repayments scheduled to come due during the current fiscal year and to meet its other obligations for the current fiscal year, and such funds have not been 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. Continuing Disclosure. Upon notification by the Authority that the Public Entity has Project Costs that equal or exceed ten percent (10%) of the aggregate principal amount of Project Costs Loans outstanding for all Borrowers under the Program, the Public Entity agrees to provide continuing disclosure of information required by Rule 15c2-12 adopted by the Securities and Exchange Commission under the Securities and Exchange Act of 1934 as the same may be amended from time to time.

**EXHIBIT D  
LOAN NO. NTSGHAD2**

14. 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.

15. 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.

WITNESS our hands and the seal of the Public Entity as of the \_\_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_.

**CURATORS OF THE UNIVERSITY OF  
MISSOURI ON BEHALF OF THE  
MISSOURI UNIVERSITY OF SCIENCE  
AND TECHNOLOGY**

By: \_\_\_\_\_  
Title: \_\_\_\_\_  
Authorized Official

ATTEST:

By: \_\_\_\_\_  
Title: Secretary/Clerk

Approved as to  
Legal Form



*KRM*

Aug 29, 2019

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
DIVISION OF ENERGY  
ENERGIZE MISSOURI LOAN PROGRAM  
BORROWER INFORMATIONAL FORM  
Federal Funding Accountability and Transparency Act 2006**

Borrower Name: _____ Address: _____ City: _____ State: _____ Zip + 4: _____ Congressional District: _____ DUNS #: _____ CCR Expiration Date: _____	
Name of Parent Entity: _____ Parent Entity DUNS #: _____	
Primary Location of Performance: Address: _____ City: _____ State: _____ Zip + 4: _____ Congressional District: _____	
Borrower's annual gross revenues exceed 80% or more in federal funding	<input type="checkbox"/> Yes <input type="checkbox"/> No
Borrower's annual gross revenues equal or exceed \$25,000,000 in federal funding	<input type="checkbox"/> Yes <input type="checkbox"/> No
Public does not have access to information about the compensation of the senior executive through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a) or section 6104 of the Internal Revenue Code of 1986.	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the answer to all the above was "Yes", provide the five most highly compensated officers' names and compensation for the calendar year in which this loan is being made. Compensation is defined as the cash and noncash dollar value earned by the executive during the Borrower's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):	
(1) salary and bonus (2) awards of stock, stock options, and stock appreciation rights (use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R) (3) earnings for services under non-equity incentive plans (this does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees) (4) change in pension value (this is the change in present value of defined benefit and actuarial pension plans) (5) above-market earnings on deferred compensation which are not tax-qualified (6) other compensation (examples: severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the aggregate value for the executive exceeds \$10,000)	

Borrower's Highly Compensated Officers	Officer's Names	Officer's Compensation
	1.	
	2.	
	3.	
	4.	
	5.	
Comments:		
Prepared by:		
Name: _____		
Title: _____		
Email: _____		
Phone Number: _____		
Authorized Signature:		Date:
Printed Name:		

A fillable version of this form may be found on our website: <https://energyloan.mo.gov>



Loan Number: NTSGHAD2

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
DIVISION OF ENERGY**

**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.

Revised 7-31-15

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
DIVISION OF ENERGY**

**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



**ENERGY LOAN PROGRAM &  
ENERGIZE MISSOURI LOAN PROGRAM**

Department of Economic Development  
Division of Energy

**DRAFT AMORTIZATION WORKSHEET**

<b>Loan Amortization Schedule for</b>	<b>Missouri University of Science and Technology</b>
---------------------------------------	--

<b>Loan Number</b>	<b>NTSGHAD2</b>	<b>Actual Loan Amount Totals</b>
Total Loan Amount (Page 1 of the Resolution) *	\$ 528,370.00	\$ 528,368.02
Maximum Construction Costs (Page 1 of the Resolution)	\$ 480,625.00	
Maximum Project Costs Loan (Page 1 of the Loan Agreement)	\$ 528,370.00	
Reserve Amount (available upon completion of ECM's)	\$ -	
Annual Interest Rate (enter as a %)	2.00%	
Construction Interest Rate (enter as a %)	2.00%	
Point (if applicable - enter as a %)	1.00%	
Estimated Savings Per Year	\$ 62,419.00	
Term of Loan in Years	8.5	
Payments per year (enter 2, 4, or 12)	2	
Closing Date (Date the closeout procedure completed) (mm/dd/yyyy)	9/1/2020	
First Payment Due Date (always enter as 1st of month) (mm/dd/yyyy)	1/1/2021	
Total Draws to Date	\$ 480,625.00	
Total Construction Interest to Date	\$ -	
Total Point Amount to Date	\$ 4,806.25	
Total Construction Loan Amount	\$ 485,431.25	

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	\$ 480,625.00	09/01/20	\$ -
Draw #2	\$ -		\$ -
Draw #3	\$ -		\$ -
Draw #4	\$ -		\$ -
Draw #5	\$ -		\$ -
Draw #6	\$ -		\$ -
Draw #7	\$ -		\$ -

Pmt #	Payment Due Date	Principal	Interest + Point + Construction Interest	Interest	Construction Interest	Point	Total Payment Amount	Ending Balance
1	01/01/21	\$ 27,687.55	\$ 27,964.43	\$ 3,245.07	\$ -	\$ 276.88	\$31,209.60	\$ 457,466.82
2	07/01/21	\$ 26,371.12	\$ 26,634.83	\$ 4,574.67	\$ -	\$ 263.71	\$31,209.60	\$ 430,831.99
3	01/01/22	\$ 26,634.83	\$ 26,901.18	\$ 4,308.32	\$ -	\$ 266.35	\$31,209.60	\$ 403,930.81
4	07/01/22	\$ 26,901.18	\$ 27,170.19	\$ 4,039.31	\$ -	\$ 269.01	\$31,209.60	\$ 376,760.62
5	01/01/23	\$ 27,170.19	\$ 27,441.89	\$ 3,767.61	\$ -	\$ 271.70	\$31,209.60	\$ 349,318.73
6	07/01/23	\$ 27,441.89	\$ 27,716.31	\$ 3,493.19	\$ -	\$ 274.42	\$31,209.60	\$ 321,602.42
7	01/01/24	\$ 27,716.32	\$ 27,993.48	\$ 3,216.02	\$ -	\$ 277.16	\$31,209.60	\$ 293,608.94
8	07/01/24	\$ 27,993.48	\$ 28,273.41	\$ 2,936.09	\$ -	\$ 279.93	\$31,209.60	\$ 265,335.53
9	01/01/25	\$ 28,273.41	\$ 28,556.14	\$ 2,653.36	\$ -	\$ 282.73	\$31,209.60	\$ 236,779.39
10	07/01/25	\$ 28,556.15	\$ 28,841.71	\$ 2,367.79	\$ -	\$ 285.56	\$31,209.60	\$ 207,937.68
11	01/01/26	\$ 28,841.70	\$ 29,130.12	\$ 2,079.38	\$ -	\$ 288.42	\$31,209.60	\$ 178,807.56
12	07/01/26	\$ 29,130.12	\$ 29,421.42	\$ 1,788.08	\$ -	\$ 291.30	\$31,209.60	\$ 149,386.14
13	01/01/27	\$ 29,421.43	\$ 29,715.64	\$ 1,493.86	\$ -	\$ 294.21	\$31,209.60	\$ 119,670.50
14	07/01/27	\$ 29,715.64	\$ 30,012.80	\$ 1,196.70	\$ -	\$ 297.16	\$31,209.60	\$ 89,657.70
15	01/01/28	\$ 30,012.79	\$ 30,312.92	\$ 896.58	\$ -	\$ 300.13	\$31,209.60	\$ 59,344.78
16	07/01/28	\$ 30,312.92	\$ 30,616.05	\$ 593.45	\$ -	\$ 303.13	\$31,209.60	\$ 28,728.73
17	01/01/29	\$ 28,444.28	\$ 28,728.73	\$ 287.29	\$ -	\$ 284.45	\$28,016.02	\$ -
18	07/01/29	\$ -	\$ -	\$ -	\$ -	\$ -	\$0.00	\$ -
19	01/01/30	\$ -	\$ -	\$ -	\$ -	\$ -	\$0.00	\$ -
20	07/01/30	\$ -	\$ -	\$ -	\$ -	\$ -	\$0.00	\$ -
<b>Totals</b>		\$ 480,625.00	\$ 486,431.25	\$ 42,938.77	\$ -	\$ 4,806.26	\$528,368.02	

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.**



Department of Economic Development  
Division of Energy

**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.



Department of Economic Development  
Division of Energy

FEDERAL WORK AUTHORIZATION PROGRAM AFFIDAVIT

STATE OF MISSOURI )  
 ) ss  
COUNTY OF Phelps )

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 Economic Development-Division of Energy ("DED-DE"). 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 DED-DE, 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 DED-DE 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.

- |               |   |
|---------------|---|
| <b>BOX A:</b> | To be completed by a non-business entity as defined below.  |
| <b>BOX B:</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 <a href="http://www.dhs.gov/files/programs/gc_1185221678150.shtm">http://www.dhs.gov/files/programs/gc_1185221678150.shtm</a> . |
| <b>BOX C:</b> | 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 the Missouri Department of Economic Development-Division of Energy with all documentation required in 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](http://www.dhs.gov/files/programs/gc_1185221678150.shtm); Phone: 888-464-4218; Email: [e-verify@dhs.gov](mailto: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

LOAN NO. \_\_\_\_\_

PROMISSORY NOTE  
Public Entity

Date: \_\_\_\_\_

FOR VALUE RECEIVED, the undersigned duly authorized representative of APPLICANT, a public school district/public university/a public college/a city government/a 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 ECONOMIC DEVELOPMENT-  
DIVISION OF ENERGY ("DED-DE" or "Payee")

or its designees or assigns (the "Owner") on the principal amount of

\_\_\_\_\_ thousand \_\_\_\_\_ and 00/100 Dollars (\$ \_\_\_\_\_)

(the "Principal Amount") received from DED-DE to finance the costs of the design, acquisition, installation and implementation of energy conservation measures ("Project Costs Loan") as reflected in the books maintained by DED-DE for the *Energize Missouri Loan Program* or, if DED-DE chooses to finance this loan through proceeds from bonds issued by the Environmental Improvement and Energy Resources Authority (the "Authority"), as reflected in the books maintained by the Bond Trustee for the Energy Efficiency Leveraged Loan Program appointed by the by the Authority (the "Bond Trustee").

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 Loan Repayment Schedule attached hereto as Exhibit A. 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 savings project in conjunction with the *Energize Missouri Loan Program* pursuant to Sections 640.651 to 640.686, Revised Statutes of Missouri, as amended and the corresponding

Loan Agreement between DED-DE and the Borrower dated as of \_\_\_\_\_, the terms of which are herein incorporated by reference.

If a scheduled loan payment becomes delinquent, DED-DE 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 DED-DE, ATTN: Loan Program Clerk, PO Box 1766, Jefferson City, Missouri 65102, or such other place as DED-DE 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

BY: \_\_\_\_\_

Title: \_\_\_\_\_

ATTEST:

By: \_\_\_\_\_

Title: \_\_\_\_\_

SAMPLE

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT**  
**DIVISION OF ENERGY**  
***ENERGIZE MISSOURI LOAN PROGRAM***  
**REQUIREMENTS AND TERMS & CONDITIONS**

**General Terms & Conditions**

These general terms and conditions highlight requirements which are especially pertinent to loans made by the Missouri Department of Economic Development - Division of Energy (DED - DE) with federal funds sourced from the American Recovery and Reinvestment Act of 2009 (ARRA). These general terms and conditions do not set out all of the provisions of the applicable laws and regulations, nor do they represent an exhaustive list of all requirements applicable to this award. These terms and conditions are emphasized here because they are frequently invoked and their violation is of serious concern.

In addition to these terms and conditions, the borrower must comply with all governing requirements of their loan agreement documents, including the federal Common Rule (adopted by federal agencies and contained in specific Codes of Federal Regulation, for each federal agency, under the title "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). The Common Rule is fully incorporated by reference into these terms and conditions. The common rule as codified by the federal granting agency can be found at <http://www.whitehouse.gov/omb/grants/chart.html>.

- A. **Method of Payment.** DED - DE will loan to the borrower all allowable expenses incurred in performing the scope of the agreed upon project up to the maximum loan amount approved for the borrower. The borrower shall report project expenses and submit to DED - DE the original, signed form provided by DED - DE for payment as required by the loan agreement documents. Invoices must provide a breakdown of project expenses by the EMCs contained in the loan agreement documents. Upon project completion the borrower shall provide DED - DE with all appropriate documentation including paid invoices, receipts, and payrolls demonstrating expenditure of loan funds. The borrower shall provide DED - DE 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.
- B. **Retention and Custodial Requirements for Records.** The borrower shall retain financial records, supporting documents, and other records pertinent to the loan for a period of three years starting from the earlier of the date of the borrower's final loan payment to DED - DE or loan maturity. Authorized representatives of federal awarding agencies, the Comptroller General of the United States, and DED - DE shall have access to any pertinent books, documents, and records of the borrower in order to conduct audits or examinations. The borrower agrees to allow monitoring and auditing by DED - DE 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 which arise from it, or until the end of the regular 3-year period, whichever is later.

1. The borrower must keep financial and accounting records as required per section 640.663 RSMo:
    - a. A borrower shall establish on its books an energy conservation loan 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 shall be entered in this account.
    - b. The borrower shall maintain all internal records directly related to the loan or financial assistance and the project in such a way as to provide for proper auditing of the project.
  2. Accounting records must be supported by such source documentation as canceled checks, paid bills, payrolls, time and attendance records, contract, and loan agreement documents. The documentation must be made available by the borrower at DED - DE's request.
- C. **Equipment Use.** The borrower agrees that any equipment purchased pursuant to this agreement shall be used for the intended purpose and shall not be moved from the State of Missouri without approval from DED - DE during the term of the loan agreement. The following standards shall govern the utilization and disposition of equipment acquired with loan funds:
1. **Title.** Title to equipment acquired under this loan will vest with the borrower upon acquisition unless DED - DE requires the title as collateral. Equipment means an article of nonexpendable, tangible personal property. 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 DED - DE.
  2. **Equipment management.** The borrower agrees to meet the following requirements:
    - a. 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.
    - b. Any loss, damage, or theft shall be reported to and investigated by local authorities. The borrower shall procure and maintain insurance for damage to equipment

purchased with this loan from financially sound and reputable insurance providers in such amounts and covering such risks as are usually carried by companies engaged in the same or similar business and similarly situated. All insurance policies shall name DED - DE as obligee and shall contain a provision against cancellation without 10 days written notice to DED - DE. In the event the project is damaged or destroyed by casualty, the borrower may rebuild, restore, repair, or replace with the proceeds of the insurance policy. If the borrower determines that such rebuilding, restoration, repair or replacement is not commercially feasible; the borrower shall apply the insurance proceeds to such outstanding loan balance. The borrower shall carry insurance for the duration of the loan term.

c. if the borrower is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.

3. Disposition. When original or replacement equipment acquired under a loan is no longer needed but is still secured by this loan, the borrower must notify DED - DE immediately in writing. The borrower may not dispose of the equipment without prior notification to DED - DE.

D. **Mandatory Disclosures.** The borrower agrees that all statements, press releases, requests for proposals, bid solicitations, and other documents describing the program/project for which funds are now being loaned will include a statement of the percentage of the total cost of the program/project which is financed with federal and state money, and the dollar amount of federal and state funds for the program/project.

E. **Procurement Standards.**

1. No work or services paid for wholly or in part with state or federal funds, will be contracted without the written consent of DED - DE.

2. The borrower agrees that any contract, agreement, or equipment to be procured under this loan award which was not included in the approved work plan must receive formal DED - DE approval prior to expenditure of funds associated with that contract, agreement, or equipment purchase.

3. The borrower shall use their own procurement procedures provided that procurements conform with the following requirements as they pertain to procurements funded in whole or in part with federal funds or with the borrowers' contribution:

a. Reasonable cost. The borrowers' procurement procedures must use best commercial practices to ensure reasonable cost for procured goods and services. At a minimum, three (3) formal bids for any goods or services exceeding \$25,000 must be secured.

- b. All contracts in excess of the simplified acquisition threshold per 41 U.S.C. 403 (11) must contain contractual provisions or conditions that allow for administrative, contractual, or legal remedies in instances in which a contractor violates or breaches the contract terms, and provide for such remedial actions as may be appropriate.
  - c. All contracts in excess of the simplified acquisition threshold per 41 U.S.C. 403 (11) must contain suitable provisions for termination for default by the borrower and for termination due to circumstances beyond the control of the contractor.
  - d. All negotiated contracts in excess of the simplified acquisition threshold per 41 U.S.C. 403 (11) must include a provision permitting access of DED - DE, U.S. Department of Energy (DOE), the Inspector General, the Comptroller General of the United States, or any of their duly authorized representatives, to any books, documents, papers, and records of the borrower that are directly pertinent to a specific loan, for the purpose of making audits, examinations, excerpts, transcriptions, and copies of such documents.
- F. **Borrower responsibilities.** The borrower is the responsible authority, without recourse to DED - DE, or DOE, regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into in support of a loan award. This includes disputes, claims, protests of award, source evaluations or other matters of a contractual nature. The borrower should refer matters concerning violations of statutes to such federal, state or local authority as may have proper jurisdiction.
- G. **Audit Requirements.** DED - DE has the right to conduct audits, including site visits, of borrowers at any time.
- H. **State Appropriated Funding.** The borrower agrees that funds expended for the purposes of this loan must be appropriated and made available by the Missouri General Assembly, as well as being awarded by the federal or state agency supporting the project. Therefore, the 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 DED - DE'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.
- I. **Eligibility, Debarment and Suspension.** 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 DED - DE 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 two years in the State of Missouri.



DED - DE 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 DED - DE.

**J. Termination.**

1. **Termination for Cause.** DED - DE 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 the loan agreement documents. DED - DE 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.
2. **Termination for Convenience.** Both DED - DE 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.
3. This loan agreement is not transferable to any person or entity without the prior written approval of DED - DE.

**K. Enforcement; Remedies for Noncompliance.** If a borrower falsifies any loan award document or materially fails to comply with any term of the loan, DED - DE may take one or more of the following actions, as appropriate:

1. Suspend or terminate, in whole or part, the current loan;
2. Disallow all or part of the cost of the activity or action not in compliance;
3. Temporarily withhold payments pending the borrower's correction of the deficiency;
4. Withhold further loan proceeds from the borrower;
5. Order the borrower not to transfer ownership of assets purchased with loan proceeds without prior written DED - DE approval;
6. Take other remedies that may be legally available, including cost recovery, breach of contract, and suspension or debarment; or
7. Call the loan immediately due and payable with the collection efforts leading up to and including foreclosure or repossession of secured properties and goods.

- L. **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.
  
- M. **Unauthorized Aliens – Missouri Statutes – RSMo 285.525 – 285.550 Effective January 1, 2009.** Effective January 1, 2009 and pursuant to RSMo 285.530 (1), 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.

### Statutory Requirements

Borrowers must comply with all federal state and local laws relating to employment, construction, research, environmental compliance, and other activities associated with loans from DED - DE. Failure to abide by these laws is sufficient grounds to cause the loan to become due and payable.

Any borrower, in connection with its application for financial assistance, shall include a certification that the borrower, its board of directors and principals are in compliance with the specific federal and state laws set out below. Further, the borrower shall report to DED - DE any instance in which the borrower or any member of its board of directors or principals is determined by any administrative agency or by any court in connection with any judicial proceeding to be in noncompliance with any of the specific federal or state laws set forth below. Such report shall be submitted within ten (10) working days following such determination. Failure to comply with the reporting requirement may be grounds for the loan to become due and payable or suspension or debarment of the borrower:

#### A. Laws and regulations related to nondiscrimination:

1. Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin;
2. Title VII of the Civil Rights Act of 1964 found at 42 U.S.C. §2000(e) et.seq. which prohibits discrimination on the basis of race, color, religion, national origin, or sex;
3. Title IX of the Education Amendments of 1972, as amended (U.S.C. §§ 1681-1683 and 1685-1686) which prohibits discrimination on the basis of sex;
4. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability;
5. Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 621-634), which prohibits discrimination on the basis of age;
6. Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
7. Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
8. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
9. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
10. Chapter 213 of the Missouri Revised Statutes which prohibits discrimination on the basis of race, color, religion, national origin, sex, age, and disability.
11. The Americans with Disabilities Act (P. L. 101-336), 42 U. S. C. §12101 et seq., relating to nondiscrimination with respect to employment, public services, public accommodations and telecommunications.

12. Any other nondiscrimination provisions in the specific statute(s) and regulations under which application for federal assistance is being made.
13. The requirements of any other nondiscrimination statute(s) and regulations which may apply to the application.

**B. State and Federal Environmental Laws:**

1. The Federal Clean Air Act, 42 U.S.C. § 7606, as amended, prohibiting award of assistance by way of grant, loan, or contract to noncomplying facilities.
  2. The Federal Water Pollution Control Act, 33 U.S.C. § 1368, as amended, prohibiting award of assistance by way of grant, loan, or contract to noncomplying facilities.
  3. The National Environmental Policy Act of 1969, 42 U.S.C. § 4321 et seq., as amended, particularly as it relates to the assessment of the environmental impact of federally assisted projects.
  4. The National Historic Preservation Act of 1966, 16 U.S.C. § 470 et seq., as amended, relating to the preservation of historic landmarks.
  5. Earthquakes - Seismic Building and Construction Ordinances, §§ 319.200 - 319.207, RSMo (Cum. Supp. 1990), relating to the adoption of seismic design and construction ordinances by certain cities, towns, villages and counties.
  6. The Missouri Clean Water Law, Sections 644.006 to 644.141, RSMo.
  7. The Missouri Hazardous Waste Management Law, Section, 260.350 to 260.430, RSMo.
  8. The Missouri Solid Waste Management Law, Sections 260.200 to 260.245, RSMo.
  9. The Missouri Air Conservation Law, Sections 643.101 to 643.190, RSMo.
- C. Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, 42 U.S.C. §§ 4601 and 4651 et seq., relating to acquisition of interest in real property or any displacement of persons, businesses, or farm operations.**
- D. The Hatch Act, 5 U.S.C. § 1501 et seq., as amended, relating to certain political activities of certain State and local employees.**
- E. The Archaeological and Historic Preservation Act of 1974 (Public Law 93-291) relating to potential loss or destruction of significant scientific, historical, or archaeological data in connection with federally assisted activities.**
- F. The Wild and Scenic Rivers Act of 1968 (16 U.S.C. § 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.**
- G. The flood insurance purchase requirements of § 102(a) of the Flood Disaster Protection Act of 1973 (Public Law 93-234) which requires Subgrantees in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.**

- H. **The Privacy Act of 1974, P.L. 93-579, as amended prohibiting the maintenance of information about any individual in a manner which would violate the provision of the Act.**
- I. **Public Law 93-348 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.**
- J. **The Laboratory Animal Welfare Act of 1966 (P. L. 89-544), 7 U.S.C. § 2131 et seq., pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.**
- K. **The following additional requirements apply to projects that involve construction:**
  - 1. **The Davis-Bacon Act, as amended, 40 U.S.C. § 276a et seq., respecting wage rates for federally assisted construction contracts in excess of \$2000.**
  - 2. **The Copeland (Anti-Kickback) Act, 18 U.S.C. § 874, 40 U.S.C. § 276c.**
  - 3. **The Contract Work Hours and Safety Standards Act, 40 U.S.C. § 327 et seq.**
  - 4. **Convict labor shall not be used on construction projects unless by convicts who are on work release, parole, or probation.**
  - 5. **The Lead-Based Paint Poisoning Prevention Act (42 U. S. C. § 4801 et seq.) which prohibits the use of lead paint in construction or rehabilitation of residence structures.**
- L. **Trafficking Victims Protection Act of 2000, Section 106, as amended (22 U.S.C. 7104(g) relating to termination of contract award based should any employee of the department, recipient or borrower violate this act.**
- M. **Unauthorized Aliens – Missouri Statutes – RSMo 285.525 – 285.550 - Effective January 1, 2009 and pursuant to RSMo 285.530 (1), 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.**
- N. **Federal Funding Accountability and Transparency Act of 2006 (S. 2590) – Required information on federal awards be made available to the public via a single searchable website. Federal awards include grants, subgrants, loans, awards, cooperative agreements and other forms of financial assistance.**
- O. **Information on Statutory Authorization**
  - 1. **Public Improvement, Recreation/Education, Bruce Watkins, RSMO. 253.220  
<http://revisor.mo.gov/main/OneSection.aspx?section=253.220&bid=13563&hl=>**
  - 2. **Soil Conservation Research, RSMO. 278.080  
<http://revisor.mo.gov/main/OneSection.aspx?section=278.080>**
  - 3. **Cost Share Program, RSMO. 278.080  
<http://revisor.mo.gov/main/OneSection.aspx?section=278.080>**

4. Disbursements to Soil Districts, RSMO. 278.080, 278.120  
<http://revisor.mo.gov/main/OneSection.aspx?section=278.080>
5. Soil Conservation Expenditure Loans, RSMO. 278.080  
<http://revisor.mo.gov/main/OneSection.aspx?section=278.080>
6. Soil Conservation Demonstrations, RSMO. 278.080  
<http://revisor.mo.gov/main/OneSection.aspx?section=278.080>
7. Recovered Materials Market Development, RSMO. 260.335  
<http://revisor.mo.gov/main/OneSection.aspx?section=260.335>
8. Water Pollution Control Loans, RSMO. 644.122  
<http://revisor.mo.gov/main/OneSection.aspx?section=644.122>
9. Energy Set-Aside Program, RSMO. 640.665  
<http://revisor.mo.gov/main/OneSection.aspx?section=640.665>
10. Public Improvement Expenditures, MO Botanical Garden & Jefferson Landing, RSMO. 253.220  
<http://revisor.mo.gov/main/OneSection.aspx?section=253.220>
11. Storm Water Grants, RSMO. 644.031  
<http://revisor.mo.gov/main/OneSection.aspx?section=644.031>
12. Wastewater Treatment Grants, RSMO. 644.026  
<http://revisor.mo.gov/main/OneSection.aspx?section=644.026>
13. Rural Water and Sewer Grants, RSMO. 644.026  
<http://revisor.mo.gov/main/OneSection.aspx?section=644.026>
14. Outdoor Recreation Sub-Grants, RSMO. 258.083  
<http://revisor.mo.gov/main/OneSection.aspx?section=258.083>
15. Information on Statutory Authorization Energy Conservation - Schools/Hospitals, RSMO. 640.653  
<http://www.moga.mo.gov/statutes/c600-699/6400000653.htm>
16. Energy Conservation - Local Governments/Non-Profit, RSMO. 640.653  
<http://revisor.mo.gov/main/OneSection.aspx?section=640.653>
17. Waste Management Grants, RSMO. 260.335  
<http://revisor.mo.gov/main/OneSection.aspx?section=260.335>
18. Environmental Grants, RSMO. 260.273-342  
<http://revisor.mo.gov/main/OneSection.aspx?section=260.273>
19. Historic Preservation Sub-Grants, RSMO. 253.408-415  
<http://revisor.mo.gov/main/OneSection.aspx?section=253.408>
20. Clean Air Act Grants and Sub-Grants, RSMO. 643.010-190  
<http://revisor.mo.gov/main/OneSection.aspx?section=643.010>

## Program Specific Terms & Conditions

### 1. DECONTAMINATION AND/OR DECOMMISSIONING (D&D) COSTS

Notwithstanding any other provisions of the loan agreement, the State shall not be responsible for or have any obligation to the borrower for (i) Decontamination and/or Decommissioning (D&D) of any of the borrower's facilities, or (ii) any costs which may be incurred by the borrower in connection with the D&D of any of its facilities due to the performance of the work under this Agreement, whether said work was performed prior to or subsequent to the effective date of the Agreement.

### 2. PUBLICATIONS

- a. Borrowers are encouraged to publish or otherwise make publicly available the results of the work conducted under the award.
- b. An acknowledgment of DOE support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

**Acknowledgment:** "This material is based upon work supported by the Department of Energy"

**Disclaimer:** "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

- c. All publications which are intended for distribution and are financed, wholly or in part, by ARRA funds, must contain the following verbiage: "Funds are made possible through the American Recovery and Reinvestment Act and the *Energize Missouri Loan Program* administered by the Missouri Department of Economic Development."

### 3. REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this loan are identified in this loan agreement document and the terms and conditions attached to this loan award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the loan award. Noncompliance may result in withholding of future

payments, suspension, or termination of the current loan award, and withholding of future loan awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by the Missouri Department of Economic Development agencies.

- b. Dissemination of scientific/technical reports. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge ([www.osti.gov/bridge](http://www.osti.gov/bridge)), unless the report contains patentable material, protected data, or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database ([www.osti.gov/energycitations](http://www.osti.gov/energycitations)).
- c. Restrictions. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

#### **4. WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE RECOVERY ACT**

- a. Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

- b. For additional guidance on the wage rate requirements of section 1606, please contact the Missouri Department of Economic Development – Division of Energy.

#### **5. DAVIS BACON ACT AND CONTRACT WORK HOURS AND SAFETY STANDARDS ACT**

##### **(a) Davis Bacon Act**

##### **(1) Minimum wages.**

- (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the



construction or development of the project), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3) ), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (a)(1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in § 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein provided that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph (a)(1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

The following web sites are resources that should be reviewed by applicants:

(1) <https://www.dol.gov/whd/govcontracts/dbra.htm>

(2) <http://www.dol.gov/whd/>

## **6. PROCUREMENT**

- (a) For-Profit Borrowers must comply with all applicable provisions in 10 CFR 600.331. Non-Profit Borrowers must comply with all applicable provisions in 10 CFR 600.140 – 600.149. State and Local Government Borrowers must comply with all applicable provisions in 10 CFR 600.236 (Equipment).

## **7. MANDATORY DISCLOSURES**

The borrower agrees that all statements, press releases, requests for proposals, bid solicitations, and other documents describing the program/project for which funds are now

being loaned will include a statement of the percentage of the total cost of the program/project which is financed with federal and state money, and the dollar amount of federal and state funds for the program/project.

### **Special Terms & Conditions**

These terms and conditions highlight requirements which are especially pertinent to loans made by the Missouri Department of Economic Development-Division of Energy (DED - DE) using American Recovery and Reinvestment Act of 2009 (ARRA) funds. These terms and conditions do not set out all of the provisions of the applicable laws and regulations, nor do they represent an exhaustive list of all requirements applicable to this award. These terms and conditions do not replace the general terms and conditions or other terms and conditions as they apply to the loans award. These terms and conditions are to be followed in addition to all other terms and conditions.

#### **I. Program Reporting Requirements and Certification**

In accordance with the ARRA, §3, funds made available under ARRA should be used to preserve and create jobs and promote economic recovery; assist those most impacted by the recession; provide investment needed to increase economic efficiency by spurring technological advances in science and health; invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases. ARRA funds should be managed and expended so as to achieve the purposes specified as quickly as possible consistent with prudent management.

Congress has specifically mandated all ARRA recipients that receive funds directly from the federal government must report on the use of said funds for purposes of transparency and oversight. All funds issued under ARRA are subject to unparalleled scrutiny, with specific distribution and reporting requirements by the federal government and the State of Missouri.

ARRA funds are derived from a unique funding source and shall be tracked separately at all times. Accordingly, it is agreed and understood that by accepting ARRA funds through this contract that each borrower assures that it, as well as its contractors and subcontractors, will fully comply with the requirements herein and any requirements hereafter issued by the federal government or the State of Missouri for compliance with ARRA and other related federal and state laws. Further, it is understood that this contract is subject to all applicable terms and conditions of ARRA. Each borrower assures that it, as well as its contractors and subcontractors, will comply with all such requirements as published at any time during the contract period in order to allow for the accountability of ARRA funds in a manner that ensures transparency and accountability in accordance with all program and ARRA requirements.

## **II. Buy American**

In accordance with ARRA, §1605, the borrower assures that it, as well as its contractors and subcontractors will not use ARRA funds for a project for the construction, alternation, maintenance, or repair of a public building or public work unless all of the iron, steel and manufactured goods used in the project are produced in the United States in a manner consistent with United States obligations under international agreements. The borrower understands that this requirement may only be waived by the applicable federal agency in limited situations as set out in ARRA, §1605. For additional guidance including information on waivers, see:

<https://energy.gov/eere/funding/downloads/buy-american-guidance-documents>

<https://energy.gov/gc/action-center-office-general-counsel/faqs-related-recovery-act/buy-american>

[https://energy.gov/sites/prod/files/2016/07/f33/buy\\_american\\_desk\\_guide.pdf](https://energy.gov/sites/prod/files/2016/07/f33/buy_american_desk_guide.pdf)

## **III. Wage Rate Requirements**

In accordance with ARRA, §1606, the borrower assures that it, as well as its contractors and subcontractors, shall fully comply with said section in that notwithstanding any other provision of law and in a manner consistent with other provisions of ARRA, all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the federal government pursuant to ARRA shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code (Davis-Bacon Act) or as determined by the Missouri Department of Labor and Industrial Relations in accordance with RSMo 290.550 through 290.580, whichever is higher. It is understood that the Secretary of Labor has the authority and functions set forth in Reorganization Plan Numbered 14 or 1950 (64 Stat. 1267; 5 U.S.C. App.) and section 3145 of title 40, United States Code.

## **IV. Whistleblower Protection**

In accordance with ARRA, §1553, the borrower assures that it, as well as its contractors and subcontractors, shall fully comply with said section, including, but not limited to, assuring that its employees will not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the federal government or any representative thereof, the State of Missouri, a person with supervisory authority over the employee (or such other person working for the employer who has the authority to investigate, discover, or terminate misconduct), a court or grand jury any information that the employee reasonably believes is evidence of: 1) gross mismanagement of a contract or grant relating to ARRA; 2) a gross waste of ARRA funds; 3) a substantial and specific danger to public health or safety related to the implementation or use of ARRA funds; 4) an abuse of authority related to the implementation or use of ARRA funds; or 5) a violation of law, rule, or regulation related to this contract (including the

competition for or negotiation of a contract) or grant, awarded or issued relating to ARRA funds. In accordance with ARRA, §1553(e), the borrower assures that it, as well as its contractors and subcontractors, shall post notice of the rights and remedies provided in ARRA, §1553.

#### **V. Inspection of Documents**

In accordance with ARRA, §902, 1514 and 1515, the borrower assures that it, as well as its contractors and subcontractors, will cooperate with any representative of the State of Missouri, Comptroller General, or appropriate inspector general appointed under §3 or 8G of the Inspector General Act of 1978 (5 U.S.C. App.) in the examination of its records that pertain to, and involve transactions relating to this contract, and agrees that it and its personnel can be interviewed by said entities regarding this contract and related program.

#### **VI. National Environmental Policy Act**

The borrower assures that it, as well as its contractors and subcontractors will not take any action using federal funds, which would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to the granting agency providing either a NEPA clearance or a final NEPA decision regarding the project. DED - DE has worked with the federal granting agency to develop Categorical Exclusions, which exempt certain categories of activities from further review under NEPA. Project specific activities may require additional information from the borrower for NEPA compliance review by the granting agency. If the borrower or its contractors and subcontractors move forward with activities that are not authorized for federal funding by the granting agency in advance of the final NEPA decision, the borrower and its contractors and subcontractors are doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable.

If this award includes construction activities, the borrower and its contractors and subcontractors must submit an environmental evaluation report/evaluation notification form addressing NEPA issues prior to the granting agency initiating the NEPA process.

Prohibited actions include: allowing any projects to go forward under the Request for Proposal (RFP) until further NEPA evaluation. This restriction does not preclude the borrower nor its contractors or subcontractors from the following: Implementation & Loans: selecting a contractor; that contractor conducting outreach; making program recommendations; developing and publishing an RFP; and selecting recipients under the RFP.

#### **VII. Historic Preservation**

Prior to the expenditure of Federal funds to alter any structure or site, DED - DE is required to comply with the requirements of Section 106 of the National Historic Preservation Act (NHPA). Section 106 applies to historic properties that are listed in or eligible for listing in

the National Register of Historic Places. In order to fulfill the requirements of Section 106, DED - DE must contact the State Historic Preservation Officer (SHPO), and, if applicable, the Tribal Historic Preservation Officer (THPO), to coordinate the Section 106 review outlined in 36 CFR Part 800. SHPO contact information is available at the following link: <http://www.ncshpo.org/find/index.htm>. THPO contact information is available at the following link: <http://www.nathpo.org/map.html>. A direct link to the State of Missouri's SHPO website is: <http://www.dnr.mo.gov/shpo/>. Missouri's SHPO contact number is 573.751.7958.

Section 110(k) of the NHPA applies to DOE funded activities. Borrowers shall avoid taking any action that results in an adverse effect to historic properties pending compliance with Section 106.

Borrowers should be aware that the federal granting agency will consider DED - DE in compliance with Section 106 of the NHPA only after DED - DE has submitted adequate background documentation to the SHPO/THPO for its review, and the SHPO/THPO has provided written concurrence to DED - DE that it does not object to its Section 106 finding or determination. DED - DE shall provide a copy of this concurrence to the agency's Contracting Officer. In order to comply with this, borrowers will be required to submit required information as needed by DED - DE. A link to the 106 Project Information Form can be found at: <http://dnr.mo.gov/forms/780-1027.pdf>

#### **VIII. Additional Restrictions of ARRA Funds**

In accordance with ARRA, §1602, the borrower assures that it, as well as its contractors or subcontractors, will give preference to activities, funded by ARRA for infrastructure investment, that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the enactment of ARRA and in a manner that will maximize job creation and economic benefit.

In accordance with ARRA, §1604, the borrower assures that it, as well as its contractors or subcontractors, shall not use ARRA funds for any casino or other gambling establishment, aquarium, zoo, golf course or swimming pool.

In accordance with ARRA, §1554, the borrower assures that it, as well as its contractors or subcontractors, will award contracts funded in whole or in part with ARRA funds as fixed-price contracts through the use of competitive procedures. It will also provide a summary to DED - DE of any said contract awarded by the borrower assures that it, as well as its contractors or subcontractors, that is not fixed-price and not awarded using competitive procedures for posting in a special section of the website established in ARRA, §1526.

In accordance with ARRA, §1609, the borrower assures that it, as well as its contractors or subcontractors, will comply with any applicable environmental impact requirements of the

National Environmental Policy Act of 1970 (NEPA), as amended. (42 U.S.C. 4371, *et seq.*). The borrower assures that it, as well as its contractors or subcontractors, will submit information on the status and progress of those projects and activities using ARRA funds subject to NEPA pursuant to any requirements of the Council on Environmental Quality (CEQ) and OMB.

In accordance with ARRA, §1512(h), the borrower assures that it, as well as its contractors or subcontractors, shall register in the System for Award Management (SAM) database at <https://www.sam.gov/SAM/>, and maintain current registration at all time during the pendency of this contract. In order to register in SAM, a valid Dun and Bradstreet Data Universal Numbering System (DUNS) Number is required. See <http://www.dnb.com/>.

#### **IX. Employment of Unauthorized Aliens Prohibited**

Pursuant to §285.530.1, RSMo, the borrower assures that it, as well as its contractors or subcontractors, do not knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the State of Missouri, and shall affirm, by sworn affidavit and provision of documentation, its enrollment and participation in a federal work authorization program with respect to the employees working in connection with the contracted services. Further, the borrower assures that it, as well as its contractors or subcontractors, shall sign an affidavit affirming that it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services.

In accordance with sections 285.525 to 285.550, RSMo a general contractor or subcontractor of any tier shall not be liable when such contractor or subcontractor contracts with its direct subcontractor who violates subsection 1 of section 285.530, RSMo if the contract binding the contractor and subcontractor affirmatively states that the direct subcontractor is not knowingly in violation of subsection 1 of section 285.530, RSMo and shall not henceforth be in such violation and the contractor or subcontractor receives a sworn affidavit under the penalty of perjury attesting to the fact that the direct subcontractor's employees are lawfully present in the United States.

#### **X. Enforceability**

If a borrower or one of its contractors or subcontractors fail to comply with all applicable federal and state requirements governing these funds, the State of Missouri may withhold or suspend, in whole or in part, funds awarded under the program, or recover misspent funds following an audit. This provision is in addition to all other remedies provided to the State of Missouri for recovery of misspent funds available under all applicable state and federal laws.

## **XI. Publication of Confidential Information**

An application may contain technical data and other data, including trade secrets and/or privileged or confidential information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than the application. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

### **Notice of Restriction on Disclosure and Use of Data**

"The data contained in pages ---- of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DED - DE shall have the right to use or disclose the data here to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant."

## **XII. False Claims Act**

The borrower assures that it, as well as its contractors and subcontractors, shall promptly refer to the State of Missouri or appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving those funds.

## **XIII. Publications and Public Relation Events**

All publications which are intended for distribution and are financed, wholly or in part, by ARRA funds, must contain the following verbiage: "Funds are made possible through the American Recovery and Reinvestment Act and the Energize Missouri Loan Program administered by the Missouri Department of Economic Development."

## **XIV. Recovery Act Transactions Listed in Schedule of Expenditures of Federal Awards and Subrecipient Responsibilities for Informing Subrecipients**

- (1) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215.21 "Uniform Administrative



**Requirements for Grants and Agreements" borrowers agree to maintain records that identify adequately the source and application of Recovery Act funds.**

- (2) For-profit borrowers agree to separately identify the expenditures for federal awards under the Recovery Act on a schedule similar to the Schedule of Expenditures of Federal Awards (SEFA) that is required by Single Audit requirements found beginning at 2 CFR 200.500. This shall be accomplished by identifying expenditures for federal awards made under the Recovery Act separately on the schedule, and inclusion of the prefix "ARRA-" in identifying the name of the federal program on the schedule.**
- (3) Borrowers required to adhere to Single Audit requirements found beginning at 2 CFR 200.500 agree to separately identify the expenditures for federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF--SAC). This shall be accomplished by identifying expenditures for federal awards made under the Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF--SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF--SAC.**

## Attachment

**BORROWER INFORMATIONAL FORM**  
**Federal Funding Accountability and Transparency Act 2006**

Borrower Name: _____ Address: _____ City: _____ State: _____ Zip + 4: _____ Congressional District: _____ DUNS #: _____ SAM Expiration Date: _____	
Name of Parent Entity: _____ Parent Entity DUNS #: _____	
Primary Location of Performance: Address: _____ City: _____ State: _____ Zip + 4: _____ Congressional District: _____	
Borrower's annual gross revenues exceed 80% or more in Federal funding	<input type="checkbox"/> Yes <input type="checkbox"/> No
Borrower's annual gross revenues equal or exceed \$25,000,000 in federal funding	<input type="checkbox"/> Yes <input type="checkbox"/> No
Public does not have access to information about the compensation of the senior executive through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a) or section 6104 of the Internal Revenue Code of 1986.	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the answer to all the above was "Yes", provide the five most highly compensated officers' names and compensation for the calendar year in which this loan agreement is being made. Compensation is defined as the cash and noncash dollar value earned by the executive during the borrower's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):	
(1) salary and bonus (2) awards of stock, stock options, and stock appreciation rights (use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R) (3) earnings for services under non-equity incentive plans (this does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees) (4) change in pension value (this is the change in present value of defined benefit and actuarial pension plans) (5) above-market earnings on deferred compensation which are not tax-qualified (6) other compensation (examples: severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the aggregate value for the executive exceeds \$10,000)	

Borrower's Highly Compensated Officers	Officer's Names	Officer's Compensation
	1.	
	2.	
	3.	
	4.	
	5.	
Comments:		
Prepared by:		
Name: _____		
Title: _____		
Email: _____		
Phone Number: _____		
Authorized Signature:		Date:
Printed Name:		

## Appendix A

### **SPECIAL PROVISIONS RELATING TO WORK FUNDED UNDER AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009**

#### **Preamble**

The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (ARRA) was enacted to preserve and create jobs and promote economic recovery, assist those most impacted by the recession, provide investments needed to increase economic efficiency by spurring technological advances in science and health, invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits, stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. Recipients shall use grant funds in a manner that maximizes job creation and economic benefit.

The Recipient (Missouri Department of Economic Development – Division of Energy (DED-DE)) shall comply with all terms and conditions in the ARRA relating generally to governance, accountability, transparency, data collection and resources as specified in Act itself and as discussed below.

Borrowers should begin planning activities to include obtaining a DUNS number (or updating the existing DUNS record), and registering with the System for Awards Management (SAM).

Be advised that ARRA funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the ARRA and related guidance. For projects funded by sources other than the ARRA, borrowers must keep separate records for ARRA funds and to ensure those records comply with the requirements of the Act.

#### **Definitions**

For purposes of this term, Covered Funds means funds expended or obligated from appropriations under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5. Covered Funds will have special accounting codes and will be identified as ARRA funds in the loan agreement using ARRA funds.

Non-Federal employer means any employer with respect to covered funds -- the borrower, contractor, or subcontractor, as the case may be, if the borrower, contractor, or subcontractor is an employer; and any professional membership organization, certification of other professional body, any agent or licensee of the federal government, or any person acting directly or indirectly in the interest of an employer

receiving covered funds; or with respect to covered funds received by a state or local government, the state or local government receiving the funds and any borrower, contractor or subcontractor receiving the funds and any borrower, contractor or subcontractor of the state or local government; and does not mean any department, agency, or other entity of the federal government.

### **Special Provisions**

#### **A. Flow Down Requirement**

DED-DE must include these special terms and conditions in any loan award.

#### **B. Segregation of Costs**

Borrowers must segregate the obligations and expenditures related to funding under the ARRA. Financial and accounting systems should be revised as necessary to segregate, track and maintain these funds apart and separate from other revenue streams. No part of the funds from the ARRA shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for ARRA projects.

#### **C. Prohibition on Use of Funds**

None of the funds provided under this agreement derived from the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may be used by any state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

#### **D. Access to Records**

With respect to each financial assistance agreement awarded utilizing at least some of the funds appropriated or otherwise made available by the American Recovery and Reinvestment Act of 2009, Pub. 111-5, any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App.) or of the Comptroller General is authorized --

- (1) to examine any records of the contractor or grantee, any of its subcontractors or subgrantees, or any State or local agency administering such contract that pertain to, and involve transactions that relate to, the subcontract, subcontract, grant, or subgrant; and
- (2) to interview any officer or employee of the contractor, grantee, subgrantee, or agency regarding such transactions.

## **E. Publication**

An application may contain technical data and other data, including trade secrets and/or privileged or confidential information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than the application. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

### **Notice of Restriction on Disclosure and Use of Data**

"The data contained in pages --- of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data here to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant."

## **F. Protecting State and Local Government and Contractor Whistleblowers.**

The requirements of Section 1553 of the Act are summarized below. They include, but are not limited to:

**Prohibition on Reprisals:** An employee of any non-federal employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Accountability and Transparency Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or other person working for the employer who has the authority to investigate, discover or terminate misconduct), a court or grand jury, the head of a federal agency, or their representatives information that the employee believes is evidence of:

- gross mismanagement of an agency contract or grant relating to covered funds;
- a gross waste of covered funds;
- a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- an abuse of authority related to the implementation or use of covered funds; or
- as violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

**Agency Action:** Not later than 30 days after receiving an inspector general report of an alleged reprisal, the head of the agency shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the employee to a prohibited reprisal. The agency shall either issue an order denying relief in whole or in part or shall take one or more of the following actions:

- Order the employer to take affirmative action to abate the reprisal.
- Order the employer to reinstate the person to the position that the person held before the reprisal, together with compensation including back pay, compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.
- Order the employer to pay the employee an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the employee for or in connection with, bringing the complaint regarding the reprisal, as determined by the head of a court of competent jurisdiction.

**Nonenforceability of Certain Provisions Waiving Rights and Remedies or Requiring Arbitration:** Except as provided in a collective bargaining agreement, the rights and remedies provided to aggrieved employees by this section may not be waived by any agreement, policy, form, or condition of employment, including any predispute arbitration agreement. No predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising out of this section.

**Requirement to Post Notice of Rights and Remedies:** Any employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, shall post notice of the rights and remedies as required therein. (Refer to section 1553 of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, [www.Recovery.gov](http://www.Recovery.gov), for specific requirements of this section and prescribed language for the notices.).

#### G. False Claims Act

Recipient and sub-recipients shall promptly refer to the DOE or other appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, sub-grantee, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving those funds.

## H. Information in Support of ARRA Reporting

Borrowers may be required to submit backup documentation for expenditures of funds under the ARRA including such items as timecards and invoices. Borrowers shall provide copies of backup documentation at the request of the Contracting Officer or designee.

## I. Certifications

With respect to funds made available to State or local governments for infrastructure investments under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, the Governor, mayor, or other chief executive, as appropriate, certified by acceptance of this award that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Recipient shall provide an additional certification that includes a description of the investment, the estimated total cost, and the amount of covered funds to be used for posting on the Internet. A State or local agency may not receive infrastructure investment funding from funds made available by the Act unless this certification is made and posted.

### **REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS)--SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009**

#### (a) Definitions. As used in this award term and condition--

Designated country --

A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Chinese Taipei (Taiwan), Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom);

(1) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore);

(2) A United States-European Communities Exchange of Letters (May 15, 1995) country: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom; or

(3) An Agreement between Canada and the United States of America on Government Procurement country (Canada).



**Designated country iron, steel, and/or manufactured goods --**

- (1) Is wholly the growth, product, or manufacture of a designated country; or
- (2) In the case of a manufactured good that consist in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different manufactured good distinct from the materials from which it was transformed.

**Domestic iron, steel, and/or manufactured good**

- (1) Is wholly the growth, product, or manufacture of the United States; or
- (2) In the case of a manufactured good that consists in whole or in part of materials from another country, has been substantially transformed in the United States into a new and different manufactured good distinct from the materials from which it was transformed. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

**Foreign iron, steel, and/or manufactured good means iron, steel and/or manufactured good that is not domestic or designated country iron, steel, and/or manufactured good.**

**Manufactured good means a good brought to the construction site for incorporation into the building or work that has been**

- (1) Processed into a specific form and shape; or
- (2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

**Public building and public work means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.**

**Steel means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.**

**(b) Iron, steel, and manufactured goods.**

- (1) The award term and condition described in this section implements-
  - (i) Section 1605(a) of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (ARRA), by requiring that all iron, steel, and manufactured

- goods used in the project are produced in the United States; and
- (ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the ARRA do not apply to designated country iron, steel, and/or manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services. As of January 1, 2010, this obligation shall only apply to projects with an estimated value of \$7,804,000 or more.
- (2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this section.
- (3) The requirement in paragraph (b)(2) of this section does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows:  
none
- (4) The award official may add other iron, steel, and manufactured goods to the list in paragraph (b)(3) of this section if the Federal Government determines that--
- (i) The cost of domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;
- (ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality; or
- (iii) The application of the restriction of section 1605 of the ARRA would be inconsistent with the public interest.
- (c) Request for determination of inapplicability of section 1605 of the ARRA or the Buy American Act.
- (1) (i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(4) of this section shall include adequate information for Federal Government evaluation of the request, including--
- (A) A description of the foreign and domestic iron, steel, and/or manufactured goods;
- (B) Unit of measure;
- (C) Quantity;
- (D) Cost;
- (E) Time of delivery or availability;
- (F) Location of the project;
- (G) Name and address of the proposed supplier; and

- (H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this section.
  - (ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this section.
  - (iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.
  - (iv) Any recipient request for a determination submitted after ARRA funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.
- (2) If the Federal Government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the ARRA applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other appropriate actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).
- (3) Unless the Federal Government determines that an exception to section 1605 of the ARRA applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.
- (d) Data. To permit evaluation of requests under paragraph (b) of this section based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers:

**Foreign and Domestic Items Cost Comparison**

Description (dollars)* Item 1:	Unit of measure	Quantity	Cost
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____
Item 2:			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____

[List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.]

[Include other applicable supporting information.] [\*Include all delivery costs to the construction site.]

**WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE ARRA**

- (a) Section 1606 of the ARRA requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the ARRA shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR parts 1, 3, and 5 to implement the Davis-Bacon and related Acts.

Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the ARRA shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

- (b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

## **ARRA TRANSACTIONS LISTED IN SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS AND RECIPIENT RESPONSIBILITIES FOR INFORMING BORROWERS**

- (a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (ARRA) as required by Congress and in accordance with 2 CFR 215.21 "Uniform Administrative Requirements for Grants and Agreements", recipients agree to maintain records that identify adequately the source and application of ARRA funds.
- (b) Borrowers required to adhere to Single Audit requirements found beginning at 2 CFR 200.500 agree to separately identify the expenditures for federal awards under the ARRA on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF--SAC). This shall be accomplished by identifying expenditures for federal awards made under the ARRA separately on the SEFA, and as separate rows under Item 9 of Part III on the SF--SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF--SAC.

### **HISTORIC PRESERVATION**

Prior to the expenditure of federal funds to alter any structure or site, the DED-DE is required to comply with the requirements of Section 106 of the National Historic Preservation Act (NHPA), consistent with DOE's 2009 letter of delegation of authority regarding the NHPA. Section 106 applies to historic properties that are listed in or eligible for listing in the National Register of Historic Places. In order to fulfill the requirements of Section 106, the recipient must contact the State Historic Preservation Officer (SHPO), and, if applicable, the Tribal Historic Preservation Officer (THPO), to coordinate the Section 106 review outlined in 36 CFR Part 800. SHPO contact information is available at the following link: <http://www.ncshpo.org/find/index.htm>. THPO contact information is available at the following link: <http://www.nathpo.org/map.html>.

Section 110(k) of the NHPA applies to DOE funded activities. Recipients shall avoid taking any action that results in an adverse effect to historic properties pending compliance with Section 106.

Recipients should be aware that the DOE Contracting Officer will consider the recipient in compliance with Section 106 of the NHPA only after the Recipient has submitted adequate background documentation to the SHPO/THPO for its review, and the SHPO/THPO has provided written concurrence to the Recipient that it does not object to its Section 106 finding or determination. Recipient shall provide a copy of this concurrence to the Contracting Officer.

## **DAVIS BACON ACT AND CONTRACT WORK HOURS AND SAFETY STANDARDS ACT**

**Definitions:** For purposes of this article, Davis Bacon Act and Contract Work Hours and Safety Standards Act, the following definitions are applicable:

- (1) "Award" means any loan, grant, cooperative agreement or technology investment agreement made with ARRA funds by the Department of Energy (DOE) to a Recipient. Such Award must require compliance with the labor standards clauses and wage rate requirements of the Davis- Bacon Act (DBA) for work performed by all laborers and mechanics employed by Recipients (other than a unit of State or local government whose own employees perform the construction) borrowers, contractors and subcontractors.
- (2) "Contractor" means an entity that enters into a Contract. For purposes of these clauses, Contractor shall include (as applicable) prime contractors, contractors, subcontractors, and lower-tier subcontractors. "Contractor" does not mean a unit of State or local government where construction is performed by its own employees."
- (3) "Contract" means a contract executed by a borrower, prime contractor or any tier subcontractor for construction, alteration, or repair. It may also mean (as applicable) (i) financial assistance instruments such as grants, cooperative agreements, technology investment agreements, and loans; and, (ii) Sub awards, contracts and subcontracts issued under financial assistance agreements. "Contract" does not mean a financial assistance instrument with a unit of State or local government where construction is performed by its own employees.
- (4) "Contracting Officer" means the DOE official authorized to execute an Award on behalf of DOE and who is responsible for the business management and non-program aspects of the financial assistance process.
- (5) "Recipient" means any entity other than an individual that receives an Award of federal funds in the form of a grant, cooperative agreement or technology investment agreement directly from the Federal Government and is financially accountable for the use of any DOE funds or property, and is legally responsible for carrying out the terms and conditions of the program and Award.

### **(a) Davis Bacon Act**

- (1) Minimum wages.
  - (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of

1949 in the construction or development of the project), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Borrower and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (a)(1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in § 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: *Provided*, the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph (a)(1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Borrower and its contractors and subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

- (ii) (A) The Contracting Officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. The Contracting Officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:
  - (1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and
  - (2) The classification is utilized in the area by the construction industry; and

- (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.
- (B) If the Borrower and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the Contracting Officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the Contracting Officer to the Administrator of the Wage and Hour Division, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.
- (C) In the event the Borrower, the laborers or mechanics to be employed in the classification or their representatives, and the Contracting Officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Contracting Officer shall refer the questions, including the views of all interested parties and the recommendation of the Contracting Officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30- day period that additional time is necessary.
- (D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii)(B) or (C) of this section, shall be paid to all workers performing work in the classification under this Contract from the first day on which work is performed in the classification.
- (iii) Whenever the minimum wage rate prescribed in the Contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the Borrower shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.
- (iv) If the Borrower does not make payments to a trustee or other third person, the Borrower may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, *Provided*, the Secretary of Labor has found, upon the written request of the Borrower, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the



Borrower to set aside in a separate account assets for the meeting of obligations under the plan or program.

- (2) **Withholding.** The Department of Energy or the DED-DE shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the Borrower under this Contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis- Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Borrower or any contractor or subcontractor the full amount of wages required by the Contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the Contract, the Department of Energy or DED-DE may, after written notice to the Borrower, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.
- (3) **Payrolls and basic records.**
  - (i) **Payrolls and basic records relating thereto shall be maintained by the Borrower during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the Borrower shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Borrowers employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of**

trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

- (ii) (A) The Borrower shall submit weekly for each week in which any Contract work is performed a copy of all payrolls to the Department of Energy if the agency is a party to the Contract, but if the agency is not such a party, the Borrower will submit the payrolls to the DED-DE (as applicable), for transmission to the Department of Energy. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site. The Borrower is responsible for the submission of copies of payrolls by all contractors and subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the Department of Energy if the agency is a party to the Contract, but if the agency is not such a party, the Borrower will submit them to the DED-DE for transmission to the Department of Energy or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for the Borrower to require a contractor or subcontractor to provide addresses and social security numbers to the Borrower for its own records, without weekly submission to the DED-DE.
- (B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractors and subcontractors or his or her agent who pays or supervises the payment of the persons employed under the Contract and shall certify the following:
- (1) That the payroll for the payroll period contains the information required to be provided under § 5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under § 5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;
  - (2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the Contract during the payroll period has been paid the full weekly wages earned, without rebate, either

directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the Contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 3729 of title 31 of the United States Code.

(iii) The Borrowers contractors and subcontractors shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Department of Energy or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the Borrower's contractors and subcontractors fail to submit the required records or to make them available, the Federal agency may, after written notice to the Borrower, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

**(4) Apprentices and trainees--**

(i) **Apprentices.** Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary

employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the Borrower as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a Borrower is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the Borrower's contractors' and subcontractors' registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the Borrower will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

- (ii) **Trainees.** Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the

corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the Borrower will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

- (iii) Equal employment opportunity. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended and 29 CFR part 30.
- (5) Compliance with Copeland Act requirements. The Borrower shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this Contract.
- (6) Contracts and Subcontracts. The Borrower's contractors and subcontractors shall insert in any Contracts the clauses contained herein in (a)(1) through (10) and such other clauses as the Department of Energy may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Borrower shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all of the paragraphs in this clause.
- (7) Contract termination: debarment. A breach of the Contract clauses in 29 CFR 5.5 may be grounds for termination of the Contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.
- (8) Compliance with Davis-Bacon and Related Act requirements. All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this Contract.
- (9) Disputes concerning labor standards. Disputes arising out of the labor standards provisions of this Contract shall not be subject to the general disputes clause of this Contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the Recipient, Subrecipient,

the Contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of eligibility.

- (i) By entering into this Contract, the Contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis- Bacon Act or 29 CFR 5.12(a)(1).
- (ii) No part of this Contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
- (iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

(b) **Contract Work Hours and Safety Standards Act.** As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

- (1) Overtime requirements. No contractor or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
- (2) Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph (b)(1) of this section the Borrower and any contractors or subcontractors responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (b)(1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (b)(1) of this section.

- (3) **Withholding for unpaid wages and liquidated damages.** The Department of Energy or the DED-DE or Borrower shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractors or subcontractors under any such contract or any other Federal contract with the same Borrower, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractors or subcontractors for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (b)(2) of this section.
- (4) **Contracts and Subcontracts.** The DED-DE, Borrower and Borrower's contractors or subcontractors shall insert in any Contracts, the clauses set forth in paragraph (b)(1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Borrower shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (b)(1) through (4) of this section.
- (5) **Contractors and subcontractors shall maintain payrolls and basic payroll records during the course of the work and shall preserve them for a period of three years from the completion of the Contract for all laborers and mechanics, including guards and watchmen, working on the Contract.**

Such records shall contain the name and address of each such employee, social security number, correct classifications, hourly rates of wages paid, daily and weekly number of hours worked, deductions made, and actual wages paid. The records to be maintained under this paragraph shall be made available by the contractors or subcontractors for inspection, copying, or transcription by authorized representatives of the Department of Energy and the Department of Labor, and the contractors or subcontractors will permit such representatives to interview employees during working hours on the job.

#### **RECIPIENT FUNCTIONS**

- (1) This delegation of Department of Energy functions to the Recipient applies only to Davis Bacon Act effort performed by Subrecipients and Contractors under this award. Those functions are not delegated to the DED-DE for any Davis Bacon Act effort performed by employees of the DED-DE under this award. On behalf of the Department of Energy, DED-DE shall perform the following functions:
  - (a) Obtain, maintain, and monitor all Davis Bacon Act certified payroll records submitted by the Subrecipients and Contractors at any tier under this Award;

- (b) Review all Davis Bacon Act certified payroll records for compliance with Davis Bacon Act requirements, including applicable Department of Labor wage determinations;
  - (c) Notify Department of Energy of any non-compliance with Davis Bacon Act requirements by Subrecipients or Contractors at any tier, including any non-compliances identified as the result of reviews performed pursuant to paragraph (b) above;
  - (d) Address any Borrower, contractor or subcontractor Davis Bacon Act non-compliance issues; if Davis Bacon Act non-compliance issues cannot be resolved in a timely manner, forward complaints, summary of investigations and all relevant information to Department of Energy;
  - (e) Provide Department of Energy with detailed information regarding the resolution of any Davis Bacon Act non-compliance issues;
  - (f) Perform services in support of Department of Energy investigations of complaints filed regarding noncompliance by Subrecipients and Contractors with Davis Bacon Act requirements;
  - (g) Perform audit services as necessary to ensure compliance by Subrecipients and Contractors with Davis Bacon Act requirements and as requested by the Contracting Officer; and
  - (h) Provide copies of all records upon request by Department of Energy or Department of Labor in a timely manner.
- (2) All records maintained on behalf of the Department of Energy in accordance with paragraph (1) above are federal government Department of Energy owned records. Department of Energy or an authorized representative shall be granted access to the records at all times.
- (3) In the event of, and in response to any Freedom of Information Act, 5 U.S.C. 552, requests submitted to Department of Energy, Recipient shall provide such records to Department of Energy within 5 business days of receipt of a request from Department of Energy.



## **Fact Sheet #66: The Davis-Bacon and Related Acts (DBRA)**

This fact sheet provides general information concerning DBRA.

### **Coverage**

DBRA requires payment of prevailing wages on federally funded or assisted construction projects. The Davis-Bacon Act applies to each federal government or District of Columbia contract in excess of \$2,000 for the construction, alteration, or repair (including painting and decorating) of public buildings or public works. Many federal laws that authorize federal assistance for construction through grants, loans, loan guarantees, and insurance are Davis-Bacon "related Acts." The "related Acts" include provisions that require Davis-Bacon labor standards apply to most federally assisted construction. Examples of "related Acts" include the Federal-Aid Highway Acts, the Housing and Community Development Act of 1974, and the Federal Water Pollution Control Act.

### **Basic Provisions/Requirements**

Contractors and subcontractors must pay laborers and mechanics employed directly upon the site of the work at least the locally prevailing wages (including fringe benefits), listed in the Davis-Bacon wage determination in the contract, for the work performed. Davis-Bacon labor standards clauses must be included in covered contracts.

The Davis-Bacon "prevailing wage" is the combination of the basic hourly rate and any fringe benefits listed in a Davis-Bacon wage determination. The contractor's obligation to pay at least the prevailing wage listed in the contract wage determination can be met by paying each laborer and mechanic the applicable prevailing wage entirely as cash wages or by a combination of cash wages and employer-provided bona fide fringe benefits. Prevailing wages, including fringe benefits, must be paid on all hours worked on the site of the work.

Apprentices or trainees may be employed at less than the rates listed in the contract wage determination only when they are in an apprenticeship program registered with the Department of Labor or with a state apprenticeship agency recognized by the Department.

Contractors and subcontractors are required to pay covered workers weekly and submit weekly certified payroll records to the contracting agency. They are also required to post the applicable Davis-Bacon wage determination with the Davis-Bacon poster (WH-1321) on the job site in a prominent and accessible place where they can be easily seen by the workers.

### **Davis-Bacon Wage Determinations**

Davis-Bacon wage determinations are published on the Wage Determinations On Line (WDOL) website for contracting agencies to incorporate them into covered contracts. The "prevailing wages" are determined based on wages paid to various classes of laborers and mechanics employed on specific types of construction projects in an area. Guidance on determining the type of construction is provided in All Agency Memoranda Nos. 130 and 131.

## Penalties/Sanctions and Appeals

Contract payments may be withheld in sufficient amounts to satisfy liabilities for underpayment of wages and for liquidated damages for overtime violations under the Contract Work Hours and Safety Standards Act (CWHSSA). In addition, violations of the Davis-Bacon contract clauses may be grounds for contract termination, contractor liability for any resulting costs to the government and debarment from future contracts for a period up to three years.

Contractors and subcontractors may challenge determinations of violations and debarment before an Administrative Law Judge (ALJ). Interested parties may appeal ALJ decisions to the Department's Administrative Review Board. Final Board determinations on violations and debarment may be appealed to and are enforceable through the federal courts.

## Typical Problems

(1) Misclassification of laborers and mechanics. (2) Failure to pay full prevailing wage, including fringe benefits, for all hours worked (including overtime hours). (3) Inadequate recordkeeping, such as not counting all hours worked or not recording hours worked by an individual in two or more classifications during a day. (4) Failure of to maintain a copy of bona fide apprenticeship program and individual registration documents for apprentices. (5) Failure to submit certified payrolls weekly. (6) Failure to post the Davis-Bacon poster and applicable wage determination.

## Relation to State, Local, and Other Federal Laws

The Copeland "Anti-Kickback" Act prohibits contractors from in any way inducing an employee to give up any part of the compensation to which he or she is entitled under his or her contract of employment, and requires contractors to submit a weekly statement of the wages paid to each employee performing DBRA covered work.

Contractors on projects subject to DBRA labor standards may also be subject to additional prevailing wage and overtime pay requirements under State (and local) laws. Also, overtime work pay requirements under CWHSSA) and the Fair Labor Standards Act may apply.

Under Reorganization Plan No. 14 of 1950, (5 U.S.C.A. Appendix), the federal contracting or assistance-administering agencies have day-to-day responsibility for administration and enforcement of the Davis-Bacon labor standards provisions and, in order to promote consistent and effective enforcement, the Department of Labor has regulatory and oversight authority, including the authority to investigate compliance.

## Where to Obtain Additional Information

For additional information, visit our Wage and Hour Division Website: <http://www.wagehour.dol.gov> and/or call our toll-free information and helpline, available 8 a.m. to 5 p.m. in your time zone, 1-866-4USWAGE (1-866-487-9243).

This publication is for general information and is not to be considered in the same light as official statements of position contained in the regulations.

U.S. Department of Labor  
Frances Perkins Building  
200 Constitution Avenue, NW  
Washington, DC 20210

1-866-4-USWAGE  
TTY: 1-866-487-9243  
Contact Us

## BUY AMERICAN

## Sec. 1605. Use of American Iron, Steel, and Manufactured Goods.

(a) None of the funds appropriated or otherwise made available by this Act may be used for a project for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufactured goods used in the project are produced in the United States.

(b) Subsection (a) shall not apply in any case or category of cases in which the head of the Federal department or agency involved finds that--

(1) applying subsection (a) would be inconsistent with the public interest;

(2) iron, steel, and the relevant manufactured goods are not produced in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(3) inclusion of iron, steel, and manufactured goods produced in the United States will increase the cost of the overall project by more than 25 percent.

(c) If the head of a Federal department or agency determines that it is necessary to waive the application of subsection (a) based on a finding under subsection (b), the head of the department or agency shall publish in the Federal Register a detailed written justification as to why the provision is being waived.

(d) This section shall be applied in a manner consistent with United States obligations under international agreements.



Department of Economic Development  
 Division of Energy

*ENERGIZE MISSOURI LOAN PROGRAM*

**CERTIFICATION OF COMPLIANCE WITH BUY AMERICAN**  
**\*to be completed by VENDOR\***

**Manufactured good(s) being used for project (please list)**

<u>Type of Good</u>	<u>Make &amp; Model</u>	<u>Manufacturing Location</u>	<u>Waiver received? (y/n)</u>

**Waiver attached**

Vendor should include a copy of applicable product waiver(s) when sending the 'Certification of Compliance with Buy American' to borrower (if applicable).

1. Will a waiver(s) be included with this document when sent to borrower?  
 Yes       No       N/A

**If using a good that has not received a waiver, please answer questions below.**

1. Were all of the components of the manufactured good(s) manufactured in the U.S., and were all of the components assembled into the final production in the U.S.?  Yes       No

**If the answer to the above question is 'no,' please answer question two and three below.**

2. Was there a change in character for use of the good or the components in the U.S.? (These questions are asked about the finished good as a whole, not about each individual component. Vendor must answer yes to at least one question to qualify for Buy American compliance.)

a. Was there a change in the physical and/or chemical properties or characteristics designed to alter the functionality of the good?  Yes       No

i. If yes, describe:

b. Did the manufacturing or processing operation result in a change of a product(s) with one use into a product with a different use?  Yes  No

i. If yes, describe:

c. Did the manufacturing or processing operation result in the narrowing of the range of possible uses of a multi-use product?  Yes  No.

i. If yes: describe:

3. Was/were the process(es) performed in the U.S. (including but not limited to assembly) complex and meaningful? (Vendor must answer yes to at least two questions to qualify for Buy American compliance.

a. Did the process(es) take a substantial amount of time?  Yes  No

i. If yes, describe:

b. Was/were the process(es) costly?  Yes  No

i. If yes, describe:

c. Did the process(es) require a number of different operations?  Yes  No

i. If yes, describe:

d. Did the processes require particular high level skills?  Yes  No

i. If yes, describe:

e. Was substantial value added in the process(es)?  Yes  No

i. If yes, describe:

**Manufacturing performed in countries outside of the U.S.**

I understand that equipment manufactured in Mexico, Canada or any other countries with whom the U.S. has trade agreements will not count as Buy American compliant.

**Certification**

**Certification by vendor**

I certify that this information is true and accurate to the best of my knowledge.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name:

Title:

Organization:

This form can be found on our website: [energyloan.mo.gov](http://energyloan.mo.gov).

\*to be completed by VENDOR\*

**EQUIPMENT LIST**  
**ABC School District**

Type of Good	Make and Model	Serial Number (when applicable)	Manufacturing Location	Note
Water Valve	Danfoss RA 2000	<b>EXAMPLE</b>	Baltimore, MD	
Thermo Stat	Honeywell RTH 7601D1006		Golden Valley, MN	
Thermo Stat	Honeywell TL8230 A1003		Golden Valley, MN	
T5 Lamp	TSHO Elite High Bay TCPL4sA454UNIV10CSPF		USA	
Exit sign	Lithonia ECR-M6-USPOM EXR-EL-ESPOM		USA	
Wire	CLM 55503-05-23 18/3 plenum rated sensor wire		USA	
Lighting Fixtures	RWS 1x4 2L-T8-U11-MP-PS-ST-EH-SL2		USA	
T8 lamp	Philips F32T8 28 Watts		USA	



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**Rules of  
Department of Economic  
Development**

**Division 340—Division of Energy  
Chapter 2—Energy Loan Program**

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**Title 4—DEPARTMENT OF  
ECONOMIC DEVELOPMENT**  
Division 340—Division of Energy  
Chapter 2—Energy Loan Program

**4 CSR 340-2.010 Definitions**

*PURPOSE: This rule provides definitions of special terms used in conjunction with the Energy Set-Aside Fund.*

(1) Agricultural entity means a farm, ranch, or corporation engaged in growing, harvesting, or handling of crops, natural fibers, fruits, vegetables, plants, or trees, or feeding or care of livestock, poultry, or fish.

(2) Applicant means any school, hospital, small business, local government, agricultural entity, not-for-profit organization, business, commercial, or industrial entity or other energy-using sector or entity authorized by the department through administrative rule, which submits an application for loans or financial assistance to the department.

(3) Application cycle means the period or periods of time each year that the department shall accept applications for financial assistance under the provisions of sections 640.651 to 640.686, RSMo.

(4) Board means the Missouri Board for Architects, Professional Engineers, Professional Land Surveyors and Professional Landscape Architects.

(5) Authorized official means an individual authorized to obligate an organization or entity.

(6) Borrower means a recipient of a loan or other financial assistance program funds subsequent to the execution of a loan or financial assistance documents with the department or other applicable parties, provided that a building owned by the state or an agency thereof, other than a state college or state university, shall not be eligible for loans or financial assistance pursuant to sections 640.651 to 640.686, RSMo.

(7) Building means—

(A) An existing structure; or  
(B) Proposed new construction; or  
(C) Any applicant-owned, group of closely situated structural units that are centrally metered or served by a central utility plant; or

(D) An eligible portion of any of these that includes an energy-using system.

(8) Business, industrial, and commercial enti-

ties mean corporations or other entities registered with the secretary of state to produce, manufacture, sell, or distribute goods or commodities; or to perform or deliver services.

(9) Department means the Department of Natural Resources.

(10) Director means the director of the Department of Natural Resources.

(11) Division means the Department of Natural Resources' Division of Energy.

(12) Energy conservation measure (or ECM) means an installation in a building or replacement or modification to an energy-using system that is primarily intended to maintain or reduce energy consumption and reduce energy costs or allow the use of an alternative or renewable energy source.

(13) Energy conservation project (or project) means the design, acquisition, installation, operation, and commissioning of one (1) or more energy conservation measures.

(14) Energy-using sector or entity means an identified portion of the state's economy which serves to provide structure to the allocation of loan funds.

(15) Energy-using system (or system) means energy-using equipment or a group of interacting mechanical or electrical components that use energy, such as heating, ventilation, air conditioning, manufacturing, water treatment, or lighting systems.

(16) Energy-related competency means skill sets which enable an architect or professional engineer to prepare a Technical Assistance Report (TAR) in a manner consistent with industry standards and to encourage reasonably accurate estimates of energy savings. Competency may be demonstrated by, but is not limited to, achievement of industry-recognized certifications in the energy field, demonstrated knowledge of building science or energy analysis, or a minimum of one (1) year of experience in performing energy analysis.

(17) Energy cost saving (or savings) means the value, in terms of dollars, that has accrued or is estimated to accrue from energy bill reductions or avoided costs due to an energy conservation project.

(18) Estimated simple payback means the estimated cost of a project divided by the esti-

imated annual energy cost savings.

(19) Event of default means an activity or inactivity that results in the borrower's failure to discharge a duty as prescribed in the loan agreement or other documents furnished in support of the loan agreement.

(20) Facility means a building that contains or interacts with energy-using systems, as determined by the department.

(21) Financial assistance means public or private funds reasonably available for loan or grant to a sector or entity desiring to implement an energy conservation project, thereby facilitating the mission of the division.

(22) Fund means the "Energy Set-Aside Program Fund" established in section 640.665, RSMo.

(23) Hospital means a facility as defined in section 197.020(2), RSMo, including any medical treatment or related facility controlled by a hospital board.

(24) Hospital board means the board of directors having general control of the property and affairs of the hospital facility.

(25) Incremental cost means the additional cost, as approved by the department, of new construction due to the addition, design, and installation of higher efficiency or renewable energy options compared to acceptable minimum efficiency, consistent with regional minimum design practices, traditional design practices, or local codes where applicable.

(26) In-kind labor means the labor costs of an ECM that are performed by the borrower's employees and that may include wages, benefits, and other direct overhead costs as approved by the department.

(27) Interest means accrued interest on loans charged by the department.

(28) Loan agreement means a document executed by the applicant(s), the department, and other funding source(s), if applicable, that details all terms and requirements under which the loan will be made and repaid.

(29) Local government means any county, city, town, or village; or any hospital district as such districts are defined in section 206.010, RSMo; or any sewer district as such districts are defined in section 249.010, RSMo; or any water supply districts as such districts are defined in section 247.010,





RSMo; or any ambulance district as such districts are defined in section 190.010, RSMo; or any subdistrict of a zoological park and museum districts as such districts are defined in section 184.352, RSMo.

(30) Loan amount means the amount, stated in dollars in the loan agreement, determined by the department as eligible costs plus interest accrued that shall be repaid by the borrower.

(31) Not-for-profit organization means any corporation, trust, association, cooperative, or other organization which is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized primarily for profit; uses its net proceeds to maintain, improve, and/or expand its operations; is tax exempt under the Internal Revenue Code; and is registered and in good standing with the secretary of state.

(32) Payback score means a numeric value derived from the review of an application, calculated as prescribed by the department, that may include, but shall not be limited to, an estimated simple payback or life-cycle costing method of economic analysis and used for purposes of ranking applications for the selection of loan and financial assistance recipients within the balance of program funds available.

(33) Project cost means all costs determined by the department to be directly related to the implementation of an energy conservation project, including initial installation in a new building, that shall include the incremental cost of higher-efficiency energy-using systems or renewable energy options, either of which may be compared to a predicted baseline of energy consumption.

(34) Repayment period means the period, up to a maximum number of years as determined by the department for each loan cycle, required to repay a loan of financial assistance, unless otherwise negotiated as required under section 640.660, RSMo.

(35) School is defined in section 640.651, RSMo.

(36) Technical Assistance Report (or TAR) means a specialized engineering report that identifies and specifies the quantity of energy savings and related energy cost savings that are likely to result from the implementation of one (1) or more energy conservation measures.

**AUTHORITY:** sections 640.651–640.686, RSMo 2016 and RSMo Supp. 2017.\* This rule originally filed as 10 CSR 140-2.010. Original rule filed April 2, 1988, effective Sept. 1, 1988. Amended: Filed Aug. 3, 1989, effective Dec. 1, 1989. Amended: Filed June 26, 1992, effective Feb. 26, 1993. Rescinded and readopted: Filed July 6, 1998, effective Feb. 28, 1999. Emergency amendment filed Sept. 30, 2010, effective Oct. 10, 2010, expired April 7, 2011. Amended: Filed Oct. 1, 2010, effective March 30, 2011. Moved to 4 CSR 340-2.010, effective Aug. 28, 2013. Amended: Filed Nov. 17, 2014, effective May 30, 2015. Amended: Filed March 27, 2018, effective Oct. 30, 2018.

\*Original authority see Missouri Revised Statutes 2000 and Missouri Revised Statutes Cumulative Supplement-2000.

#### 4 CSR 340-2.010 General Provisions

**PURPOSE:** This rule describes the method that will be utilized for administering the Energy Set-Aside Fund.

##### (1) Eligibility.

(A) Energy-using sectors or entities as defined in 10 CSR 140-2.010 and as designated and announced by the department in accord with 10 CSR 140-2.020(2) are eligible to submit an application for loan funds or financial assistance to implement an energy conservation project provided the following criteria are met by the applicant:

1. The applicant's proposed project must be located within the borders of Missouri;
2. The applicant must own and operate the building, facility, or system associated with the proposed project unless otherwise agreed to by the department;
3. The building, facility, or system proposed to receive Energy Conservation Measures (ECMs) must have a useful life and an expected operational life greater than the loan repayment period as determined by the department;
4. The applicant must not be in default or have a pending event of default;
5. The applicant must have no outstanding or known unresolved actions for violations of applicable federal, state, or local laws, ordinances, and rules; and
6. The applicant must not be an electric or natural gas utility.

(2) Application Cycle(s) Information. Application cycle(s) information including cycle opening and closing dates, information designating eligible applicant sectors for each application cycle, allocation of total dollars

available for loans in each designated applicant sector, and interest rates will be published periodically by the department in the "In Addition" section of the *Missouri Register* and through other public information methods. Information relating to selection criteria and other relevant information or guidance is available by contacting the Division of Energy's Energy Loan Program, Program Clerk, PO Box 1766, Jefferson City, MO 65102.

(3) Equity. Equity in distribution and access to loan funds, among and within sectors or entities will be addressed periodically. Equity will be assessed by analyzing factors including, but not limited to, applicant's access to other capital, interest rates, entity or sector demand, loan fund balance, public/private partnership potential and emergency needs. Equity will be assured by managing factors including, but not limited to, eligibility, fund allocation, interest rates, and other variables among sectors or entities.

##### (4) Application.

(A) Application for loan funds may be submitted for the purpose of implementing an energy conservation project. A Technical Assistance Report (TAR) must accompany the application or be on file with the department. The application and TAR shall be in a form required by the department which the department may revise from time-to-time. A copy of the application form and TAR format may be obtained from the Division of Energy's Energy Loan Program, Program Clerk, PO Box 1766, Jefferson City, MO 65102.

1. The TAR must be prepared by an architect or professional engineer with demonstrated energy-related competency when identifying and specifying the project's likely energy savings and related energy cost savings requires education, training, and experience in a manner consistent with sections 327.091 and 327.181, RSMo. Examples of such instances include complex energy projects, such as variable air volume, constant air volume, chillers, water towers, multizone cooling systems, building automation systems, air handling distribution systems, or bubble diffusers for a water treatment facility.

2. The TAR does not need to be prepared by an architect or professional engineer for projects where the energy savings and related energy cost savings can be determined with sufficient input on the loan application worksheets or for simple energy projects. Examples may include lighting upgrades, boiler upgrades, water heater upgrades, window replacements, insulation, photovoltaic solar systems, motor upgrades, or appliance



replacements for an entire building.

3. Division of Energy may seek guidance from the board in determining whether identifying and specifying the project's likely energy savings and related energy cost savings requires architectural or professional engineering education, training, and experience.

(B) Each application must be completed, signed by an authorized official, and in accordance with 327.411, RSMo, if required, dated and accompanied by designated information requested by the department to determine the feasibility of the project and the financial risk of the proposed loan transaction.

(C) The department may request additional information as needed to determine the feasibility of the project, the projected energy savings from the project, and the financial risk of the proposed loan transaction. All applications for loans shall be approved or disapproved within ninety (90) days of receipt of application by the department's Division of Energy or within ninety (90) days of the application cycle in the event of a competitive cycle or stand approved as submitted; provided that only complete applications, as determined by the department in its sole discretion, shall be deemed received by the department and eligible for loans. Applications which are not on the approved form or which do not provide all information required will be considered incomplete and may be rejected.

(D) Applications received after a designated cycle closing date will not be considered for that cycle. Any late applications will be held for consideration during subsequent eligible application cycles.

(E) Information submitted to or obtained by the department that meets requirements of section 640.155, RSMo shall be considered confidential.

#### (5) ECM Eligibility.

(A) All ECMs for which financial assistance is being sought must be identified in a TAR.

1. A project comprised of one (1) or more ECMs must have a payback score, as determined by the department, of at least six (6) months and no more than ten (10) years or eighty percent (80%) of the expected useful life of the ECMs when the expected useful life exceeds ten (10) years. The expected useful life shall not exceed twenty (20) years. At the department's discretion, an energy conservation loan may be approved that couples an energy conservation project with an applicant's capital improvement project provided the loan amount from the department com-

plies with the limitations described earlier in this paragraph.

2. The department may determine that an applicant with any portion of an ECM completed, purchased, in progress, or initiated in any manner prior to loan award is ineligible to receive loan funds for that ECM. Eligible project costs are limited to those specified in the loan agreement or associated documents.

3. The expected useful life of a proposed ECM must exceed the ECM's repayment period.

(B) All costs incurred after the current loan cycle announcement is published in the "In Addition," that are associated with the installation of an ECM, including in-kind labor costs and energy audits subject to the limitations in paragraph (5)(A)2. of this section, may be eligible as project costs. The loan agreement or associated documents will specify the portion of the project in the application that is eligible for reimbursement.

(C) ECMs previously funded by the department are not eligible for additional funding.

#### (6) Selection.

(A) Applications for loans shall be approved, disapproved, or approved in part or otherwise acted upon by the department director or his/her designee pursuant to section 640.653.3, RSMo.

(B) The applicant must be an acceptable credit risk as determined by the department and capable of repaying the requested loan amount based on a financial risk analysis that may be performed by the department or the department's designee.

(C) In the event there is competition for funds, eligible applications shall be given a payback score for selection for funding using criteria set forth in the application cycle notification and in compliance with section 640.653, RSMo.

(D) The ECM costs and energy savings shall be computed using engineering and calculation methods prescribed by the department.

(E) Approved ECMs are determined solely by the department and shall be identified to the borrower in the loan agreement or associated documents.

#### (7) Loan Execution.

(A) An applicant approved for a loan shall execute a loan agreement in a form prescribed by the department that identifies the buildings, facility, system or equipment associated with the implementation of the project, the approved ECMs, loan amount, and loan terms and conditions. A properly formatted

copy of the loan agreement is available from the Division of Energy's Energy Loan Program, Program Clerk, PO Box 1766, Jefferson City, MO 65102.

(B) The department shall charge interest on loans under the provisions of section 640.660.1, RSMo. Interest rates shall be established at the beginning of each application cycle and remain fixed for the length of the loan agreement.

(C) The department will not execute a loan for less than five thousand dollars (\$5,000).

#### (8) Borrower Responsibilities.

(A) The borrower shall retain the TAR, loan documents, and all internal records directly related to the loan and project from the date the loan is executed to three (3) years after the loan agreement is retired or longer in the event of open audit findings or ongoing litigation. Upon receipt of a reasonable request, borrower will provide a copy of relevant records to the department. The borrower shall provide the requested records no later than ten (10) working days after receipt of request as evidenced by certified mail receipt.

(B) The borrower shall comply with all loan agreement terms and applicable federal, state, and local laws, rules and regulations, including, but not limited to, those governing the design, acquisition, and installation of approved ECMs.

(C) The borrower shall comply with the department's reporting requirements pursuant to the loan agreement.

(D) Within thirty (30) days after the completion of the project, the borrower shall submit to the department a project final cost report. A form is available from the Division of Energy's Energy Loan Program, Program Clerk, PO Box 1766, Jefferson City, MO 65102.

#### (9) Monitoring.

(A) The department or its designee may perform on-site monitoring, and audit or inspect records relating to any loan from the date of loan approval to date of loan retirement. The borrower shall allow entry to its property by persons authorized by the department, during normal business hours, to carry out the department's monitoring responsibilities.

(B) The department may request information from a borrower as needed for review and evaluation of an energy conservation project. The borrower shall, upon receipt of request, provide the requested information to the department within ten (10) working days.

#### (10) Events of Default.

(A) For purposes of administering the



Energy Loan Program, an event of default shall include, but not be limited to, the following:

1. A failure by the borrower to make a timely payment on the loan;

2. Any material inaccuracy in any representation or warranty contained in, or made in connection with the execution and delivery of the loan agreement, or in any other documents furnished in support of the loan agreement;

3. Any failure by the borrower in the performance of any term, covenant, or agreement contained in the loan agreement;

4. A finding that the borrower is insolvent, fails to pay its debts as they mature, or voluntarily files a petition seeking reorganization, the appointment of a receiver or trustee, or liquidation of the borrower or of a substantial portion of the borrower's assets, or to effect a plan or other arrangement with creditors; or an adjudication of bankruptcy against the borrower; or an involuntary assignment by the borrower for the benefit of creditors;

5. The filing of an involuntary petition against the borrower under any bankruptcy, insolvency or similar law, or seeking the reorganization of or the appointment of any receiver, trustee, or liquidator for the borrower, or of a substantial part of the property of the borrower, which is not dismissed within thirty (30) days, or the issuance of a writ or warrant of attachment or similar process against a substantial part of the property of the borrower which is not released or bonded within thirty (30) days of issue;

6. The rendering of any final judgment by a court of law against the borrower for the payment of an amount that materially affects the financial stability of the borrower, or that may adversely affect any assets given as security for the borrower's obligations under the promissory note executed in accordance with the loan agreement that is not covered by liability insurance, and is not discharged within thirty (30) days of the date the judgment is rendered; or, the date such judgment is affirmed on appeal, provided that execution of the judgment was effectively stayed pending the appeal;

7. A finding that the borrower is in non-compliance with department rules and regulations and a failure to take appropriate action to resolve the noncompliance to the satisfaction of the department.

(B) The borrower shall give the department written notice of any event which may constitute an event of default within fifteen (15) days of the occurrence of such event.

(C) The director shall determine when, and if, an event of default has been committed by the borrower. Having determined an

event of default has occurred, the director shall notify the borrower in writing, and provide for a reasonable period of time, not to exceed fifteen (15) days, to correct the default and return to compliance with all terms and conditions of the loan agreement unless otherwise provided by law.

(D) Should the borrower fail to correct the default and return to compliance in a timely manner to the satisfaction of the department the director may declare the loan, accrued interest, late penalties, and other moneys duly owed by the borrower, immediately due and payable in full.

(11) Remedies to Default. The department director may seek remedies to default or event of default available under section 640.660.4, 640.660.5, or 640.672, RSMo, and may exercise any right under law for a remedy to default.

*AUTHORITY: sections 640.651-640.686, RSMo 2016 and RSMo Supp. 2017.\* This rule originally filed as 10 CSR 140-2.020. Original rule filed July 6, 1998, effective Feb. 28, 1999. Emergency amendment filed Sept. 30, 2010, effective Oct. 10, 2010, expired April 7, 2011. Amended: Filed Oct. 1, 2010, effective March 30, 2011. Moved to 4 CSR 340-2.020, effective Aug. 28, 2013. Amended: Filed Nov. 17, 2014, effective May 30, 2015. Amended: Filed March 27, 2018, effective Oct. 30, 2018.*

*\*Original authority see Missouri Revised Statutes 2000 and Missouri Revised Statutes Cumulative Supplement 2010.*



Department of Economic Development  
Division of Energy

### ***ENERGIZE MISSOURI LOAN PROGRAM***

#### **American Recovery and Reinvestment Act of 2009 (ARRA) Requirements**

1. DUNS number and System for Award Management (SAM) registration must remain active until project completion.
2. Borrower must receive approvals or waivers from NEPA and SHPO reviews **before beginning** construction.
3. Maintain accurate list of equipment purchased with description, cost and serial numbers.
4. Maintain documents to show compliance with the Buy American Provision. A form will be provided by DED - DE to accompany supporting documents from borrower.
5. Maintain required ARRA metrics which at a minimum include energy savings (kWh and MMBtu), number of facilities retrofitted, and square footage of retrofitted buildings.
6. Maintain accurate list of job classifications with wage rate and hours worked, and submit **weekly** all required Certified Payroll(s) with original contractor signatures and any documentation necessary to ensure compliance with Davis-Bacon and Related Acts.
7. Maintain all bidding and procurement records which could include newspaper ads, contract awards, vendor invoices, contractor invoices, payrolls, copies of checks paid to vendors/contractors, and any other financial activities related to the project.
8. Maintain photographs of installed energy efficiency measures.
9. Recipient is contractually required to retain all records for 3 years after loan repayment and provide access to representatives of the State and Federal governments.



Department of Economic Development  
Division of Energy

# ENERGY LOAN PROGRAM & ENERGIZE MISSOURI LOAN PROGRAM REIMBURSEMENT REQUEST

LOAN RECIPIENT		Building or Facility	
ADDRESS		CITY	STATE <b>MO</b>
ZIP CODE		FEDERAL TAX IDENTIFICATION NUMBER	
LOAN NO. <b>DPDEL</b>	TOTAL LOAN AMOUNT		

### ECM INFORMATION

ECM No. (See Approved Measures List)	ECM Estimated Cost	ECM Loan Amount	Current Cost	Total of Previous Requests	Payment This Request	Estimated Completion Percentage
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
Reserve Amount						
<b>Totals</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

ATTACH COPIES OF PAID INVOICES, CANCELED CHECKS, EMPLOYEE PAYROLL, ITEMIZED ACCOUNTING SUMMARY, AND DOCUMENTATION REGARDING ANY REBATES OR INCENTIVES TO SUPPORT THIS REIMBURSEMENT REQUEST

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.

SIGNATURE OF AUTHORIZED OFFICIAL	TITLE	DATE
TYPE OR PRINT NAME OF AUTHORIZED OFFICIAL	TELEPHONE NUMBER	
DED-DE APPROVER	DATE	
DED-DE APPROVER	DATE	
REMARKS (OFFICE USE ONLY)		

Revised 3.22.17

This form is available online at [Energyloan.mo.gov](http://Energyloan.mo.gov).



**ENERGY LOAN PROGRAM & ENERGIZE MISSOURI LOAN PROGRAM  
FINAL PROJECT COST REPORT**

LOAN RECIPIENT		LOAN NUMBER <b>DPDEL</b>	TOTAL LOAN AMOUNT	Building or Facility		
ADDRESS		CITY	STATE <b>MO</b>	ZIP CODE		
PROJECT START DATE ►			PROJECT COMPLETION DATE ►			
ECM DESCRIPTION (See Approved Measures List)	DESIGN COST	LABOR COST	MATERIAL COST	FINAL COST	ESTIMATED SAVINGS \$/YR	SIMPLE PAYBACK
1.						years
2.						years
3.						years
4.						years
5.						years
6.						years
7.						years
8.						years
<b>TOTALS ►</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>years</b>
SIGNATURE OF AUTHORIZED OFFICIAL				DATE		
TYPE OR PRINT NAME OF AUTHORIZED OFFICIAL		TITLE	TELEPHONE			
REMARKS (OFFICE USE ONLY)						

Revised 3,14,17

This form can be found online at [Energyloan.mo.gov](http://Energyloan.mo.gov).

# **FINANCE COMMITTEE**

# University of Missouri



## Board of Curators

### Finance Committee Meeting

**Tuesday, September 17, 2019  
1:00 P.M.**

This Board Committee Meeting is being held in conjunction with the September 26, 2019 Board Meeting.

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

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

**Participant Code: 177492#**

## AGENDA

### **PUBLIC SESSION – 1:00 P.M.**

Call to Order – Chair Brncic

Roll Call of the Committee

#### Information

1. UM FY19 Financial Status Report

#### Action

1. Preliminary Five-Year Capital Plans for MU, MU Health Care, Missouri S&T, UMKC, and UMSL (Ryan Rapp)

Recess



UM FISCAL YEAR 2019  
FINANCIAL STATUS REPORT

There are no materials for this information item.

Fiscal Years 2021 – 2025 Preliminary Capital Plan  
UM

The capital planning process approved at the September 2017 Board of Curators meeting includes development of a five-year capital plan that will be reviewed and approved annually by the Board of Curators. This process allows for execution of the current year plan and will provide additional time for fundraising, working with legislature, and additional due diligence during years two through five. The capital plan will assist in driving any official fundraising campaigns for capital projects. Major capital projects will have to be approved by the Board of Curators before being incorporated into any approved capital plans, budget plans, or long-range business plans. Major capital projects include any new construction over \$5 million in project cost or any renovation/infrastructure improvements over \$8 million in project cost.

The first step (Gate A) for a project is to be recommended for inclusion in the preliminary capital plan. At this step, each university has the opportunity to present their preliminary capital plan and explain why these are the university's priority projects; including why they are in the priority order they are, and how they support the university's strategic plan and master plan. The curators will have the opportunity to ask questions about the projects, approve projects, remove projects, question why other specific projects aren't included, or add projects they feel are priorities.

This year the Preliminary Capital Plans have two sections. The Preliminary Capital Plan included in Finance Plan section contains the projects included in the current five year Finance Plan. The Preliminary Strategic Projects Development Plan section contains the strategic projects desired, but not yet included in the Finance Plan.

Once curator input is received and each university preliminary plan is approved, the university will further develop these projects with more defined scope, budget, funding strategies, etc. Concurrently, the system will evaluate and prioritize the projects included in all approved preliminary plans based on overall university strategy and funding capacity. At the March Board of Curators Finance Committee meeting, the universities will present their updated capital plans for review and the system will provide the overall capital project priority plan for review. The proposed Fiscal Year 2022 State Capital Appropriations request will also be presented at the March meeting. The capital plans (including system's priority plan) and the State request approved at this meeting will be presented at the April Board of Curators (Gate B) meeting for review and approval.

Included herein is the FY 2021 - 2025 Preliminary Capital Project Plans for review and approval. The enclosed information includes:

- Preliminary Capital Plans included in the Finance Plan Summary Table of all proposed projects by category (new construction or renovation/infrastructure) with university priority, project cost, and year anticipated for Curator approval currently included in the university Finance Plan.

- Preliminary Capital Plans included in Finance Plan Summary Funding Table showing funding sources for projects included in the Finance Plan.
- Preliminary Strategic Projects Development Plans of all priority projects for further development that are not currently in the five year Finance Plan.
- An executive summary of each project including university priority, project type, priority score, building information, department information, space type, planning and programming study (PPS) including date completed and firm used, project schedule, project cost, project funding, operating cost, total gross square feet, and facilities condition needs expense (\$) impacted by the project. A project description and project the justification as also provided.
- Facilities Stewardship Index for each proposed project. The criteria used to evaluate projects include the relationship of the project to the university strategic plan, facility renewal, functional sustainability, availability of funding, and plans for on-going operational support.

The final document included is the Board Approved Status Report for projects previously approved by the Board of Curators. The report provides the status of the project, current scheduled completion date, and current project budget as of June 30, 2019.

## **Facilities Stewardship Index**

### **Mission**

**Program Plan:** The degree to which a project directly supports the university's programmatic goals and objectives as stated in the university strategic plan. Examples may include projects that affect programs identified for enhancement, projects that affect accreditation and projects that will affect external funding for research. Other strategic plan considerations may include projects that correct space deficiencies and/or increase instructional capacity. The weighting should reflect the project's impact on students, faculty, programs, and the institution, the effect on revenue and cost, including any anticipated cost avoidance, economies, and economic payback.

**State, Regional, and Community Impact:** The degree to which a project can demonstrate:

- Alignment with state priorities (STEM, education of healthcare professionals, etc.), and/or
- Positive impact on state and regional job creation and economic development beyond the immediate impact of the construction spending support, and/or
- Creation of partnerships between state higher educational institutions, and other public and private entities, both statewide and regional, that display support for the project.

### **Sustainability**

**Facilities Renewal:** The degree to which a project reuses and improves existing space, improves the building and/or Facilities Condition Needs Index [FCNI], razes obsolete space, and/or economically eliminates leased space.

**Infrastructure and Functional Sustainability:** The degree to which a project is supported by existing infrastructure, removes deficiencies in existing infrastructure, improves energy efficiency, and/or improves sustainability.

**Strategic Space Management:** The degree to which the project allows the university to strategically and economically reallocate and/or repurpose space to advance the university strategic plan. For example, a new construction project creates the opportunity to build space better suited for the program than can be gained through renovation and/or created less expensively than through renovation, freeing that existing space for repurposing at a lower cost.

**Funding**

**Funding Support:** The degree to which a project includes identified and secured funding.

**Operating Cost Support:** The degree to which funding for operating costs has been identified for a project.

No. 1

Recommended Action - Preliminary Five-year Capital Plans for MU, MU Health Care, Missouri S&T, UMKC and UMSL

It was recommended by Chancellor Cartwright, Chancellor Agrawal, Chancellor Dehghani, and Interim Chancellor Sobolik, endorsed by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the:

MU: Preliminary Strategic Projects Development Plan:

- Satellite Boiler Plant – Research Commons
- Pickard Hall – Decommissioning and Mitigation
- Veterinary Medical Diagnostic Laboratory Replacement
- New Journalism Building – Replace and Redevelop Neff Hall & Addition Site

MU Health Care Preliminary Capital Plan included in Finance Plan:

- Inpatient Expansion – Women’s & Children’s Hospital
- Ambulatory Facility/Medical Office Building
- Inpatient Expansion – University Hospital

UMKC: Preliminary Capital Plan included in Finance Plan:

- UMKC Conservatory

Preliminary Strategic Projects Development Plan:

- Spencer Chemistry-Biological Science Renovation Phase II
- Health Sciences Interprofessional Education and Research Building
- 4747/4825 Troost Redevelopment
- New Student Housing
- Epperson House Renovation

September 26, 2019

- S&T: Preliminary Capital Plan included in Finance Plan:
- Schrenk Hall Addition and Renovation - Phase III
  - Engineering Research Lab Addition and Renovation
  - Library/Learning Commons
  - McNutt Hall Addition

- UMSL: Preliminary Strategic Projects Development Plan:
- Space Consolidation & Infrastructure
  - Social Science Building Renovation
  - Stadler Hall Renovation

be approved for further planning and development.

Roll call vote of the Committee:	YES	NO
Curator Brncic		
Curator Chatman		
Curator Steelman		
Curator Williams		

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

Roll call vote:	YES	NO
Curator Brncic		
Curator Chatman		
Curator Graham		
Curator Layman		
Curator Snowden		
Curator Steelman		
Curator Sundvold		
Curator Williams		

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

Fiscal Years 2021 – 2025 Preliminary Capital Plan included in Finance Plan for University of Missouri

			2020*	2021	2022	2023	2024	2025
	University	Priority	Current Year	Year 1	Year 2	Year 3	Year 4	Year 5
<b>New Construction</b>			<b>\$16,000,000</b>	<b>\$210,435,000</b>	<b>\$43,026,000</b>	<b>\$94,600,000</b>	<b>\$100,000,000</b>	<b>\$0</b>
UMKC Conservatory	UMKC	1		\$100,000,000				
Bloch Heritage Hall Renovation & Addition	UMKC		\$16,000,000					
Schrenk Hall Addition and Renovation	S&T	1				\$44,600,000		
Engineering Research Lab Addition and Renovation	S&T	3			\$43,026,000			
McNutt Hall Addition	S&T	4		\$10,435,000				
Inpatient Expansion – Women’s & Children’s Hospital	MUHC	1		\$100,000,000				
Ambulatory Facility/Medical Office Building	MUHC	2				\$50,000,000		
Inpatient Expansion – University Hospital	MUHC	3					\$100,000,000	
<b>Renovation/Infrastructure</b>			<b>\$52,700,000</b>	<b>\$0</b>	<b>\$10,000,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Oak Place Apartment Repairs	UMKC		\$52,700,000					
Library/Learning Commons	S&T	2			\$10,000,000			
<b>Total Project Cost</b>			<b>\$68,700,000</b>	<b>\$210,435,000</b>	<b>\$53,026,000</b>	<b>\$94,600,000</b>	<b>\$100,000,000</b>	<b>\$0</b>

\*Projects listed under 2020 are projects previously approved and anticipated to have project approval during FY20.

Fiscal Years 2021 – 2025 Preliminary Capital Plan included in Finance Plan Funding Summary for University of Missouri

Projects						Funding Strategy					
#	Title	University	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	UMKC Conservatory	UMKC	NC	\$0	0.00	\$100,000,000	\$0	\$40,000,000	\$10,000,000	\$0	\$50,000,000
1	Schrenk Hall Addition and Renovation – Phase III	S&T	NC/RE	\$19.1M	0.57	\$44,600,000	\$0	\$9,000,000	\$0	\$0	\$35,600,000
2	Library/Learning Commons	S&T	RE	\$5M	0.28	\$10,000,000	\$0	\$5,000,000	\$5,000,000	\$0	\$0
3	Engineering Research Lab Addition and Renovation	S&T	NC/RE	\$13.0M	0.49	\$43,026,000	\$33,000,000	\$0	\$10,026,000	\$0	\$0
4	McNutt Hall Addition	S&T	NC	\$0	0.00	\$10,435,000	\$0	\$10,435,000	\$0	\$0	\$0
1	Inpatient Expansion – Women’s & Children’s Hospital	MUHC	NC	\$0	0.00	\$100,000,000	\$95,000,000	\$5,000,000	\$0	\$0	\$0
2	Ambulatory Facility/Medical Office Building	MUHC	NC	\$0	0.00	\$50,000,000	\$50,000,000	\$0	\$0	\$0	\$0
3	Inpatient Expansion – University Hospital	MUHC	NC	\$0	0.00	\$100,000,000	\$100,000,000	\$0	\$0	\$0	\$0
<b>Total</b>						<b>\$458,061,000</b>	<b>\$278,000,000</b>	<b>\$69,435,000</b>	<b>\$25,026,000</b>	<b>\$0</b>	<b>\$85,600,000</b>



**Preliminary Strategic Projects Development Plan for University of Missouri**

<b>Project</b>						<b>Funding Strategy</b>					
<b>#</b>	<b>Title</b>	<b>University</b>	<b>Type</b>	<b>Facility Needs</b>	<b>FCNI</b>	<b>Total Cost</b>	<b>Debt</b>	<b>Gifts</b>	<b>Internal</b>	<b>Federal</b>	<b>State</b>
1	Satellite Boiler Plant – Research Commons	MU	Utility	\$0M	0.00	\$8,800,000	\$0	\$0	\$8,800,000	\$0	\$0
2	Pickard Hall – Decommissioning & Mitigation	MU	RE	\$5.4M	0.44	\$12,000,000	\$0	\$0	\$12,000,000	\$0	\$0
3	Veterinary Medical Diagnostic Laboratory Replacement	MU	NC/RE	\$12.5M	0.51	\$57,980,000	\$0	\$12,760,000	\$6,375,000	\$0	\$38,845,000
4	New Journalism Building - Replace and Redevelop Neff Hall & Addition Site	MU	NC/RE	\$8.4M	0.63	\$45,000,000	\$0	\$45,000,000	\$0	\$0	\$0
1	Spencer Chemistry & Biological Science Renovation Phase II	UMKC	RE	\$17.7M	0.42	\$37,657,000	\$0	\$4,600,000	\$0	\$0	\$33,057,000
2	Health Sciences Interprofessional Education and Research Building	UMKC	NC/RE	\$12.5M	0.25-0.51	\$150,000,000	\$0	\$75,000,000	\$0	\$0	\$75,000,000
3	4747/4825 Troost Redevelopment	UMKC	NC/RE	\$30.1M	0.46-0.72	\$80,000,000	\$60,000,000	\$15,000,000	\$0	\$5,000,000	\$0
4	New Student Housing	UMKC	NC	\$0M	0.00	\$45,000,000	\$45,000,000	\$0	\$0	\$0	\$0
5	Epperson House Renovation	UMKC	RE	\$10M	1.00	\$20,000,000	\$0	\$20,000,000	\$0	\$0	\$0
1	Space Consolidation & Infrastructure	UMSL	RE	\$20.5M	0.38-0.49	\$10,000,000	\$0	\$0	\$2,000,000	\$0	\$8,000,000
2	Social Science Building Renovation	UMSL	RE	\$35.3M	0.54	\$42,500,000	\$0	\$0	\$8,500,000	\$0	\$34,000,000
3	Stadler Hall Renovation	UMSL	RE	\$26.7M	0.53	\$34,100,000	\$0	\$0	\$6,800,000	\$0	\$27,300,000
<b>Total</b>						<b>\$543,037,000</b>	<b>\$105,000,000</b>	<b>\$172,360,000</b>	<b>\$44,475,000</b>	<b>\$5,000,000</b>	<b>\$216,202,000</b>

## Board Approved Project Status Report for Fiscal Year 2019

(New Construction Project Cost > \$5,000,000, Renovation/Infrastructure Project Cost > \$8,000,000  
or Debt Financed)

UNIVERSITY	PROJECT	LAST BOARD SUBMITTAL	PROJECT BUDGET	SCHEDULED PROJECT COMPLETION	STATUS
MU	East Campus Plant Growth Facilities Complex	Project Design	\$30,000,000	July 2019	Construction
MU	University of Missouri Teaching Hospital – Patient Care Tower – Fit Out of 3 <sup>rd</sup> and 4 <sup>th</sup> Floor Shell Space	Project Approval	\$11,287,715	August 2019	Construction
MU	Memorial Student Union – Maintenance Repairs and Second Floor Renovation to North Wing	Project Approval	\$12,500,000	May 2019	Complete
MU	MU Health Care Emergency Power System Modifications Phase 2	Project Approval	\$6,900,000	March 2019	Complete
MU	School of Music Building - Phase One	Project Design	\$24,000,000	November 2019	Construction
MU	University of Missouri Teaching Hospital - West Wing Expansion and Renovation Project	Project Design	\$15,950,000	October 2019	Construction
MU	Memorial Stadium – South Expansion	Project Design	\$98,000,000	August 2019	Construction
MU	Medical School Science Building – Research Vivarium Upgrades and Maintenance	Project Approval	\$12,900,000	March 2020	Construction
MU	NextGen Precision Health Institute (formerly named Translational Precision Medicine Complex)	Project Design	\$221,000,000	October 2021	Design and Construction
MU	Women’s and Children’s Hospital – Exterior Building Envelope Replacement	Project Approval	\$26,000,000	July 2022	Design
MU	Primary Care Clinic North	Project Approval	\$12,000,000	September 2020	Design

September 26, 2019

### Board Approved Project Status Report for Fiscal Year 2019

(New Construction Project Cost > \$5,000,000, Renovation/Infrastructure Project Cost > \$8,000,000  
or Debt Financed)

UNIVERSITY	PROJECT	LAST BOARD SUBMITTAL	PROJECT BUDGET	SCHEDULED PROJECT COMPLETION	STATUS
MU	Sinclair School of Nursing	Project Approval	\$30,000,000	November 2021	Design
MU	Gas Turbine Building – Chilled Water Plant Addition	Project Approval	\$21,725,000	August 2021	Design
MU	University of Missouri Library – Construct Phase 2	Project Approval	\$7,000,000	April 2021	Design
UMKC	Spencer Chemistry/Biological Sciences Building Renovation	Project Approval	\$22,600,000	August 2018	Complete
UMKC	School of Computing and Engineering – Education and Research Center	Project Design	\$32,082,325	August 2020	Construction
UMKC	Oak Place Apartment Repairs	A/E Hire	\$23,000,000	June 2021	Design
S&T	Advanced Construction Materials Laboratory	Project Design	\$7,000,000	June 2020	Construction
S&T	Student Classroom Learning Center	Project Design	\$7,657,675	June 2020	Construction
UMSL	Benton Hall Renovation	Project Approval	\$25,312,000	September 2018	Complete

September 26, 2019

University of Missouri – Columbia  
Fiscal Years 2021 – 2025 Preliminary Capital Plan

University of Missouri – Columbia: Fiscal Years 2021-2025 Preliminary Capital Plan included in Finance Plan

<b>MU</b>	<b>2020*</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>	<b>2025</b>
	Current Year	Year 1	Year 2	Year 3	Year 4	Year 5
<b>New Construction</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
N/A						
<b>Renovation/Infrastructure</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
N/A						
<b>Total Project Cost</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

\*Projects listed under 2020 are projects anticipated to have project approval during FY20.

All MU projects in the 5 year Finance Plan have received Project Approval.

University of Missouri - Columbia  
Preliminary Strategic Projects Development Plan

FY 2021 - University of Missouri – Columbia: Preliminary Strategic Projects Development Plan

Project					Funding Strategy					
#	Title	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	Satellite Boiler Plant – Research Commons	Utility	\$0M	0.00	\$8,800,000	\$0	\$0	\$8,800,000	\$0	\$0
2	Pickard Hall – Decommissioning and Mitigation	RE	\$5.4M	0.44	\$12,000,000	\$0	\$0	\$12,000,000	\$0	\$0
3	Veterinary Medical Diagnostic Laboratory Replacement	NC/RE	\$12.5M	0.51	\$57,980,000	\$0	\$12,760,000	\$6,375,000	\$0	\$38,845,000
4	New Journalism Building - Replace and Redevelop Neff Hall & Addition Site	NC/RE	\$8.4M	0.63	\$45,000,000	\$0	\$45,000,000	\$0	\$0	\$0
<b>Total</b>					<b>\$123,780,000</b>	<b>\$0</b>	<b>\$57,760,000</b>	<b>\$27,175,000</b>	<b>\$0</b>	<b>\$38,845,000</b>

**University of Missouri - Columbia**  
**Satellite Boiler Plant - Research Commons**  
**Executive Summary**

**University Priority: 1**  
**Project Type: Utility**

**Building Profile**

Building Name: N/A  
Facility Age: N/A  
Total GSF: N/A  
Total Facilities Condition Needs:  
NA  
FCNI: N/A

**Department**

Campus Facilities - Energy  
Management

**Space Type**

Utility

**Program Planning Study**

Study completed January 2018,  
by Burns and McDonnell

**Project Schedule**

Complete by fall 2021 to support  
operation of NGPHI

**Project Cost**

\$8,800,000

**Project Funding**

Internal \$8,800,000  
Bonds \$0  
Gifts \$0  
Federal \$0  
State \$0

**Operating Expenses**

TBD

**GSF Impacted by Project**

5,200 gsf

**FCN Addressed in Project**

\$N/A

**Project Description**

This project will provide a 5,200 square foot satellite steam boiler facility located in the southern portion the Research Commons area to serve as a source of steam capacity for the campus. The boiler facility will provide up to 75,000 pounds per hour of reliable steam capacity for current and future growth of the campus. Key benefits of this project is the opportunity to avoid the expense of replacing both a failing north steam main and end of life boiler in the power plant, while providing added steam supply resiliency for the campus.

**Project Justification**

In addition to reliably serving steam service for the current and master planned growth of Research Commons, the boiler facility will provide an additional 33,000 pounds per hour of steam to the main campus for new facilities, such as NextGen Precision Health Institute. This project creates up to \$14.6 million of utility cost avoidance by not having to replace the failing north steam main serving the Research Commons area (\$8.3 million) and a boiler replacement in the power plant (\$6.3 million). This project also enhances the campus steam supply resiliency by placing a portion of the steam capacity in a location other than the power plant.



**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	9	Project is necessary to maintain the utility system and supply existing and new facilities.
Sustainability	10	Utility project will eliminate equipment that is past its life cycle and is not efficient.
Funding	10	Project cost funds have been secured.

**University of Missouri - Columbia**  
**Pickard Hall – Decommissioning and Mitigation**  
**Executive Summary**

**University Priority: 2**  
**Project Type: Redevelopment**

**Building Profile**

Building Name: Pickard Hall  
Facility Age: 127 years  
Total GSF: 24,601 gsf  
Total Facilities Condition Needs:  
\$5.4M  
FCNI: 0.44

**Department**

None

**Space Type**

Unoccupied facility

**Program Planning Study**

NA

**Project Schedule**

TBD

**Project Cost**

\$12,000,000

**Project Funding**

Internal \$12,000,000  
Bonds \$0  
Gifts \$0  
Federal \$0  
State \$0

**Operating Expenses**

NA

**GSF Impacted by Project**

24,601 GSF

**FCN Addressed in Project**

\$5.45M in basic facility needs  
plus unknown value of  
contamination liability

**Project Description**

Pickard Hall is located on the east side of Francis Quadrangle. Currently, the building sits idle due to regulatory complications surrounding the nearly century old contamination from early research in radium extraction. This project will complete the decommissioning process required by the Nuclear Regulatory Commission (NRC).

The only way to fully eliminate the long-term liability for MU is to completely remove the building and prepare the site for a future facility. The current building is small, but sits on a site that can support more functions in the heart of campus than the current building allows. Therefore, the site will be prepared for a new signature building location, one which respects history yet provides options for the future.

**Project Justification**

The unknown extent of the radium contamination complicates the potential for rehabilitating the building, both in scale and cost. Remediating the contamination necessitates the removal of the basement slab to remove capped piping, removing unknown quantities of brick from the masonry bearing walls, and removing unknown quantities of the wood structural system. These unknowns put the institution at risk for significant cost and time. Complete removal of the building will assure the elimination of the contamination and any regulatory obligations requiring significant staff oversight and unknown future costs. There is, however, no reason to believe that putting off the decision to remove the building will do anything other than allow potential future costs to increase.

Pickard Hall, and the Francis Quadrangle context in which it sits, is important to the physical and emotional fabric of the campus. The intent for future building development is consistency with the architectural characteristics of the surrounding historic district. Providing a redevelopment site in the core of the historic campus allows the opportunity for a flexible and adaptable building supporting the future of the University.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	6	Project
Sustainability	10	Project will remove an unoccupied building thus eliminating general facility liability and regulatory liability
Funding	10	The funding is available to eliminate this facility liability.

**University of Missouri - Columbia**  
**Veterinary Medical Diagnostic Laboratory Replacement**  
**Executive Summary**

**University Priority: 3**

**Project Type:**

**New Construction**

**Building Profile**

Building Name: Veterinary  
Medicine Diagnostic Laboratory,  
Veterinary Science Building

Facility Age: 43-70

Total GSF: 21,140 gsf

Total Facilities Condition Needs:  
\$12.5M

FCNI: 0.51

**Department**

College of Veterinary Medicine  
and campus wide resource

**Space Type**

High level laboratory spaces.  
400+ CVM students, others  
involved with campus research

**Program Planning Study**

Summer 2018

**Project Schedule**

Phase 1: 31 Months;

Phase 2: continue with 10 months

**Project Cost**

\$57,980,000

**Project Funding**

Internal \$6,375,000

Bonds \$0

Gifts \$12,760,000

Federal \$0

State \$38,845,000

**Operating Expenses**

\$1,001,000 (only \$876,000 Net

New cost due to bldg. removal)

**GSF Impacted by Project**

85,000 new gsf; 61,500 demo gsf  
net new GSF 23,500)

**FCN Addressed in Project**

\$12.5M

**Project Description**

The Veterinary Medical Diagnostic Laboratory (VMDL) Replacement project will construct a new facility of approximately 80,000 - 85,000 gross square feet (GSF) and demolish two existing buildings. A two-phase scenario allows VMDL operations to continue without interruption or expense of temporary space. Phase One includes a new approximately 40,000 GSF building directly adjacent to the existing VMDL. The key operational elements include a new necropsy & biocontainment suite, incinerator, and diagnostic laboratories. Upon occupancy of Phase One, Phase Two will demolish the existing 21,140 GSF VMDL and replace it with an addition of similar size to Phase One. Phase Two will house additional diagnostic laboratories, classroom spaces, and support spaces to complete the program consolidation. After Phase Two occupancy, the nearby 40,350 GSF Veterinary Science Building, built in 1948 will be demolished. The project consolidates current VMDL functions from four buildings thus improving safety, minimizing potential contamination, and improving operational efficiencies. The overall development enhances the public face of the Veterinary Medicine campus by improving pedestrian accessibility between buildings while better segregating and securing biohazards from Clydesdale Hall's and VMDL's shared service yard.

**Project Justification**

The VMDL is Missouri's only veterinary laboratory accredited by the American Association of Veterinary Laboratory Diagnosticians. Each year, the VMDL performs in excess of 100,000 diagnostic tests, many for agricultural animals as well as companion animals. The VMDL is a major resource to State and national networks to monitor and investigate potential outbreaks of animal diseases such as avian influenza and foot-and-mouth disease; human diseases such as West Nile virus and rabies; cases of brucellosis, salmonellosis, and other diseases that have an impact on animal and public health. The VMDL has established a new collaboration with the Missouri Department of Conservation and is certified to test chronic wasting disease in wild and captive animals.

In addition to serving the people of Missouri, the VMDL plays a critical role in fulfilling the teaching and research mission of the College of Veterinary Medicine. The faculty includes nationally recognized leaders in diagnostic pathology, immunology, microbiology, molecular biology, virology and toxicology, who take an interdisciplinary approach to resolving agricultural issues.

The existing VMDL, is outdated and incapable of supporting the current needs of MU and the College of Veterinary Medicine in a safe and efficient manner. Current standards demand biosecurity protocols that cannot be implemented. During a 2016 AAVLD Laboratory Accreditation Site Visit, auditors identified a number of facility deficiencies related to laboratory biosecurity and risk management. These deficiencies must be addressed in a timely manner in order for the VMDL to retain accreditation and provide service to its clients. The project will eliminate over \$12.5 million of facilities needs.

September 26, 2019

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	10	Currently the lab accreditation is at risk. College of Veterinary Medicine is the only veterinary school in the state of Missouri, VMDL is the only accredited veterinary diagnostic lab in the state.
Sustainability	10	The project will remove two buildings past their recommended life cycle and is replacing them with a building that will be more efficient and meet the program needs.
Funding	2	Project cost funding is not secured.

**University of Missouri - Columbia**  
**New Journalism Building - Replace and Redevelop Neff Hall & Addition Site**  
**Executive Summary**

**University Priority: 4**

**Project Type:**

New Construction

**Building Profile**

Building Name: Neff Hall & Addition

Facility Age: 59 - 100 years

Total GSF: 40,322 gsf

Total Facilities Condition Needs: \$8.7M

FCNI: 0.64

**Department**

School of Journalism

**Space Type**

Multi-platform newsroom class lab, media studio class labs, strategic communications class labs, behavioral research suite, auditorium, academic offices & MU Visitor's Center.

1,600 - 5,000 students per year

**Program Planning Study**

Complete Fall 2018

**Project Schedule**

30 - 40 months

**Project Cost**

\$45,000,000

**Project Funding**

Internal \$0

Bonds \$0

Gifts \$45,000,000

Federal \$0

State \$0

**Operating Expenses**

\$425,000 - \$690,000

**GSF Impacted by Project**

75,000 - 97,000 gsf

**FCN Addressed in Project**

\$8.7M

**Project Description**

The New Journalism Building project will demolish two poor condition, low density buildings and construct a new 65,000 – 75,000 gross square foot, five story building at a key portal to the campus at the “Avenue of the Columns” and the vibrant 9th Street corridor. It provides an opportunity for a new MU Visitor’s Center to be positioned on the first floor and serve as a starting point for on-campus recruitment of future students for the entire campus. The key component of the facility will bring together the MU media brands of KOMU, KBIA, Missourian, and Vox to create a multi-platform class lab environment along with other programs such as strategic communications, documentary journalism, and leadership.

**Project Justification**

Since its founding in 1908, applied learning within professional settings has been the cornerstone of the Missouri School of Journalism. Through newsrooms and communication agencies, hands-on learning environments have fueled the School’s success and its prestigious global reputation. This famed “Missouri Method” has attracted talented students and faculty from across the country and around the world, which has ultimately strengthened MU.

MU consistently hears from media leaders, including alumni working around the world, that the industry is demanding professionals who are able to collaborate and be capable of working across multiple platforms—print, digital, video, audio and social media. This journalist-of-all-trades expectation demands that students are exposed to all manner of reporting and production platforms. Specializing in only one platform is no longer the key to professional success.

With this project, the School will consolidate the programs into one building and vacate space in three buildings. This will allow the vacated space to be utilized by other Journalism School functions not requiring co-location or other academic programs. Spaces equipped for a multi-platform environment will allow students to seamlessly work across currently divided disciplines. Having all of these academic programs in one facility provides maximum opportunity and efficiency for all journalism students to interact with many aspects of the field.

The project will eliminate \$8.7 million in facilities needs.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	9	Project has a significant impact for the School of Journalism by providing cross platform active learning for highly regarded academic program.
Sustainability	10	Project will remove two buildings and replace it with a more efficient building.
Funding	2	Project cost funding is not secured.

MU Health Care  
Fiscal Years 2021 – 2025 Preliminary Capital Plan



MU Health Care: Fiscal Years 2021 – 2025 Preliminary Capital Plan included in Finance Plan

	2020*	2021	2022	2023	2024	2025
	Current Year	Year 1	Year 2	Year 3	Year 4	Year 5
<b>New Construction</b>	<b>\$0</b>	<b>\$100,000,000</b>	<b>\$0</b>	<b>\$50,000,000</b>	<b>\$100,000,000</b>	<b>\$0</b>
Inpatient Expansion – Women’s & Children’s Hospital		\$100,000,000				
Ambulatory Facility/Medical Office Building				\$50,000,000		
Inpatient Expansion – University Hospital					\$100,000,000	
<b>Renovation/Infrastructure</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Total</b>	<b>\$0</b>	<b>\$100,000,000</b>	<b>\$0</b>	<b>\$50,000,000</b>	<b>\$100,000,000</b>	<b>\$0</b>

\*Projects listed under 2020 are projects anticipated to have project approval during FY20.

MU Health Care: Fiscal Years 2021 – 2025 Preliminary Capital Plan included in Finance Plan Funding

MUHC					Funding Strategy					
#	Title	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	Inpatient Expansion – University Hospital	NC	\$0M	0.00	\$100,000,000	\$95,000,000	\$5,000,000	\$0	\$0	\$0
2	Ambulatory Facility/Medical Office Building	NC	\$0M	0.00	\$50,000,000	\$50,000,000	\$0	\$0	\$0	\$0
3	Inpatient Expansion – Women’s & Children’s Hospital	NC	\$0M	0.00	\$100,000,000	\$100,000,000	\$0	\$0	\$0	\$0
	<b>Total</b>				<b>\$250,000,000</b>	<b>\$245,000,000</b>	<b>\$5,000,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**MU Health Care  
Inpatient Expansion - Women's & Children's Hospital  
Executive Summary**

**MU Health Care Priority: 1**  
**Project Type:**  
**New Construction**

**Building Profile**

Building Name: Women's &  
Children's Hospital  
Facility Age: 47 years  
Total GSF: 224,000  
Total Facilities Condition Needs:  
\$30.9M  
FCNI: 0.20

**Department**

MU Health Care

**Space Type**

Patient rooms, OR Suites,  
Clinical Services, Diagnostic  
Services, Support areas

**Program Planning Study**

CannonDesign May-October  
2019

**Project Schedule**

TBD

**Project Cost**

\$100,000,000

**Project Funding**

Internal \$0  
Bonds \$95,000,000  
Gifts \$5,000,000  
Federal \$0  
State \$0

**Operating Expenses**

TBD

**GSF Impacted by Project**

TBD

**FCN Addressed in Project**

\$0

**Project Description**

This project will address inpatient expansion at Women's & Children's Hospital (WCH). The new construction will allow MU Health Care to meet current codes and standards for clinical functions and will ensure adequate space for clinical care. The expansion would create an approximately 92,000 sq. ft. addition and renovation of existing space per the MUHC Master Facility Space Plan study completed by CannonDesign.

**Project Justification**

The WCH facility was originally constructed in 1972. A detailed analysis of the current WCH facilities through the MUHC Master Facility Space Planning Study indicates WCH does not meet contemporary standards for clinical functions. The inpatient beds do not meet contemporary benchmarks in both room and department sizing; and inequalities in room sizing and quality can create patient satisfaction and safety issues. The layout of the surgical department is inefficient and many of the operating rooms are undersized.

WCH provides a high-risk obstetrics program that has increased the number of babies delivered and subsequently admitted to the neonatal intensive care unit (NICU). The number of babies delivered at WCH has increased 32% in the last three years (FY15 to FY18). The average daily census in the NICU has increased 41% over this same three years. The emergency department is also exceeding capacity and has seen patient visits increase 13% since FY15 and volume has tripled since FY10. WCH is the market leader for women's health, pediatrics, and neonatology in the 25 county service area but is exceeding capacity limitations and has limited ability to expand programs or to accommodate additional growth.

**Funding Strategy**

The project budget of \$100,000,000 will be funded with \$5,000,000 in gifts and \$95,000,000 in debt.

**MU Health Care  
Ambulatory Facility/Medical Office Building  
Executive Summary**

**MU Health Care Priority: 2**  
**Project Type:**  
**New Construction**

**Building Profile**

Ambulatory Facility/MOB  
Facility Age: New  
Total GSF: 120,000  
Total Facilities Condition Needs:  
New  
FCNI: 0.00

**Department**

MU Health Care

**Space Type**

Clinics

**Program Planning Study**

CannonDesign May-October  
2019

**Project Schedule**

TBD

**Project Cost**

\$50,000,000

**Project Funding**

Internal \$0  
Bonds \$50,000,000  
Gifts \$0  
Federal \$0  
State \$0

**Operating Expenses**

TBD

**GSF Impacted by Project**

120,000

**FCN Addressed in Project**

\$0

**Project Description**

The MU Health Care Ambulatory Facility/MOB project will construct a four-story clinic building with up to approximately 120,000 gross square feet to accommodate medicine and surgical specialty clinics and departments. The building will likely be on the University Hospital campus.

**Project Justification**

A current study conducted by Cannon Design indicates multiple specialty clinics are nearing or exceeding target utilization, creating significant limitations in terms of growth. Some of the specialty clinics are in prime, high-cost hospital space. A couple of clinics have had to split off into two locations, some of which have required adding leased space, to accommodate physician recruitment needed to meet growing demand.

University Hospital currently has a shortage of space needed for high revenue-generating, hospital-based services such as diagnostic cardiology, cardiac catheterization labs, interventional radiology labs, endoscopy labs, etc. This has a negative impact on access and, consequently, patient and referring physician satisfaction.

A new ambulatory building will allow for growth of medicine and surgical specialties; decant outpatient services to allow for more profitable, hospital-based services; abate leases secured for short-term solutions; and create synergies and efficiencies by consolidating clinics, especially those that now have two locations due to capacity constraints.

**Funding Strategy**

The project budget of \$50,000,000 will be debt financed.

**MU Health Care  
Inpatient Expansion - University Hospital  
Executive Summary**

**MU Health Care Priority: 3**  
**Project Type:**  
**New Construction**

**Building Profile**

Building Name: University Hospital  
Facility Age: 63 years  
Total GSF: 444,000  
Total Facilities Condition Needs: \$63.3M  
FCNI: 0.28

**Department**

MU Health Care

**Space Type**

Patient rooms, OR Suites, Clinical Services, Diagnostic Services, Support areas

**Program Planning Study**

TBD

**Project Schedule**

TBD

**Project Cost**

\$100,000,000

**Project Funding**

Internal \$0  
Bonds \$100,000,000  
Gifts \$0  
Federal \$0  
State \$0

**Operating Expenses**

TBD

**GSF Impacted by Project**

TBD

**FCN Addressed in Project**

\$0

**Project Description**

This project will replace the original 1956 hospital with a new inpatient facility. The new construction will allow MUHC to meet current codes and standards for clinical functions and ensure adequate space for clinical care. The specific size of this expansion is being assessed as part of the MUHC Master Facility Space Planning Study.

**Project Justification**

University Hospital is the flagship hospital for MUHC and provides the highest-level services and training for Trauma, Heart Attack, Stroke and many other high complexity medical services. Expanding UH inpatient facilities has been identified as a strategic priority as a continued mechanism for growth of MUHC services. The hospital currently operates at greater than 85% occupancy when optimal efficiency is closer to 70% occupancy to allow the free flow of patients through the system. Operating at such a high occupancy has hindered referral relationships, patient transfers, decreased staff and physician satisfaction and limited the ability of the system to add new patients and services. Additionally, most of the rooms are significantly less square feet for contemporary patient care rooms with some rooms being so small that you cannot accommodate a patient and a walker in the same bathroom space creating many quality and safety challenges. There are significant operational and engineering challenges in maintaining a building over 60 years old for contemporary, complex patient care.

The buildings which are least suitable for future health care facilities at UH complex are the original University Hospital patient tower and McHaney Hall, both constructed in the mid- 1950s. These buildings have limited floor to floor height, limited adaptability for modern health care standards, lack future expandability, and have dated mechanical, electrical, plumbing, and fire protection systems. As a result, the original UH 1950 patient tower is no longer suitable for contemporary patient care. The master plan process will identify the appropriate location for new patient services to capitalize on recent expansion implementation with the Patient Care Tower/Ellis Fischel Cancer Center. The study will evaluate options to either demolish or reuse the existing facilities.

**Funding Strategy**

The project budget of \$100,000,000 will be debt financed.

MU Health Care  
Preliminary Strategic Projects Development Plan

**FY21 MU Health Care: Preliminary Strategic Projects Development Plan\***

<b>Project</b>					<b>Funding Strategy</b>					
<b>#</b>	<b>Title</b>	<b>Type</b>	<b>Facility Needs</b>	<b>FCNI</b>	<b>Total Cost</b>	<b>Debt</b>	<b>Gifts</b>	<b>Internal</b>	<b>Federal</b>	<b>State</b>
1	N/A									
<b>Total</b>					<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

\*MUHC currently does not have any projects on the Preliminary Strategic Projects Development Plan

University of Missouri – Kansas City  
Fiscal Years 2021 – 2025 Preliminary Capital Plan

University of Missouri – Kansas City: Fiscal Years 2021-2025 Preliminary Capital Plan included in Finance Plan

University of Missouri – Kansas City	2020*	2021	2022	2023	2024	2025
	Current Year	Year 1	Year 2	Year 3	Year 4	Year 5
<b>New Construction</b>	<b>\$16,000,000</b>	<b>\$100,000,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
UMKC Conservatory		\$100,000,000				
Bloch Heritage Hall Renovation & Addition	\$16,000,000					
<b>Renovation/Infrastructure</b>	<b>\$52,700,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Oak Place Apartments	\$52,700,000					
<b>Total Project Cost</b>	<b>\$68,700,000</b>	<b>\$100,000,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

\*Projects listed under 2020 are projects anticipated to have project approval during FY20.

University of Missouri – Kansas City: Fiscal Years 2021 – 2025 Preliminary Capital Plan included in Finance Plan Funding

Projects					Funding Strategy					
#	Title	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	UMKC Conservatory	NC	\$0M	0.00	\$100,000,000	\$0	\$40,000,000	\$10,000,000	\$0	\$50,000,000
<b>Total</b>					<b>\$100,000,000</b>	<b>\$0</b>	<b>\$40,000,000</b>	<b>\$10,000,000</b>	<b>\$0</b>	<b>\$50,000,000</b>



**University of Missouri - Kansas City**  
**UMKC Conservatory**  
**Executive Summary**

**University Priority: 1**  
**Project Type:**  
**New Construction/Renovation**

**Building Profile**

Building Name: UMKC  
Conservatory  
Facility Age: New  
Total GSF: 225,000 - 250,000 gsf  
Total Facilities Condition Needs:  
\$0  
FCNI: 0.00

**Department**

Conservatory of Music and  
Dance

**Space Type**

Rehearsal Studios, Practice  
Rooms, Classrooms, Faculty  
Studios, Ensemble Rooms,  
Support Space, possible  
Performance Space.  
Impacts 620 students per week

**Program Planning Study**

Helix/HGA 2015

**Project Schedule**

60 months

**Project Cost**

\$100,000,000

**Project Funding**

Internal \$10,000,000  
Bonds \$0  
Gifts \$40,000,000  
Federal \$0  
State \$50,000,000

**Operating Expenses**

\$1,600,000

**GSF Impacted by Project**

225,000 - 250,000 gsf

**FCN addressed in project**

\$0

**Project Description**

This project will construct a new facility of approximately 225,000 gross square feet on the Volker Campus to meet the programmatic requirements for the UMKC Conservatory.

**Project Justification**

The UMKC Conservatory is one of the oldest in the country, founded in 1906 one year after Juilliard. It has long been a primary source of energy, creativity, and talent, nurturing culture in Kansas City, and throughout western Missouri, through its renowned programs in music, dance, theater, and visual arts. Most of the premiere performing arts organizations in the region -- including the Kansas City Symphony, Kansas City Ballet, Lyric Opera and Kansas City Repertory Theatre, Heart of America Shakespeare Festival, Unicorn Theatre, New Theatre Restaurant, Wylliams/Henry Contemporary Dance Company and many more -- trace their roots to UMKC's performing arts schools. For more than 30 years, UMKC has been the designated performing arts campus for the University of Missouri System. One of the six primary goals for UMKC, set out in the university's strategic plan, is to "excel in the visual and performing arts." Preserving and enhancing UMKC's strengths in the performing arts are not just regional priorities, they are a System priority as well.

Its accreditors have documented concerns of health risks associated with inadequate, outdated space. A new facility for the merged UMKC Conservatory and Theatre programs would address several University and community needs. The Conservatory and Theatre program both need additional space and improved facilities. The Conservatory enrollment has outgrown its current 54,000 net assignable square feet currently housed in two separate locations.

The UMKC Conservatory enrolls more than 500 students in professional degree programs in vocal and instrumental performance, composition, music theory and musicology; dance; music education, and music therapy. In a new, expanded facility, enrollment is planned to increase by 24 percent, to 620 students. The merging of the Department of Theatre adds over 100 students to that enrollment.

**Funding Strategy**

The project budget of \$100,000,000 will be funded by \$40,000,000 from gifts, \$10,000,000 from reserves and a State request of \$50,000,000.

September 26, 2019

### Facilities Stewardship Index

Criteria	FSI	FSI Justification
Mission	10	Project is necessary to keep the accreditation for the UMKC Conservatory. Programs builds relationships with Arts Association Groups through the city, state, and nation.
Sustainability	5	Project will eliminate obsolete space and requires minimal investment to improve existing infrastructure.
Funding	5	Project cost funding is partially secured.

University of Missouri – Kansas City  
Preliminary Strategic Projects Development Plan

FY 21 - University of Missouri – Kansas City: Preliminary Strategic Development Projects Plan

Projects					Funding Strategy					
#	Title	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	Spencer Chemistry & Biological Science Renovation Phase II	RE	\$17.7M	0.42	\$37,657,000	\$0	\$4,600,000	\$0	\$0	\$33,057,000
2	Health Sciences Interprofessional Education and Research Building	NC/RE	\$12.5M	0.25-0.51	\$150,000,000	\$0	\$75,000,000	\$0	\$0	\$75,000,000
3	4747/4825 Troost Redevelopment	NC/RE	\$30.1M	0.46-0.72	\$80,000,000	\$60,000,000	\$15,000,000	\$0	\$5,000,000	\$0
4	New Student Housing	NC	\$0M	0.00	\$45,000,000	\$45,000,000	\$0	\$0	\$0	\$0
5	Epperson House Renovation	RE	\$10M	1.00	\$20,000,000	\$0	\$20,000,000	\$0	\$0	\$0
<b>Total</b>					<b>\$332,657,000</b>	<b>\$105,000,000</b>	<b>\$114,600,000</b>	<b>\$0</b>	<b>\$5,000,000</b>	<b>\$108,057,000</b>

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

**University Priority: 1**  
**Project Type: Renovation**

**Building Profile**

Building Name: Spencer  
Chemistry Building and  
Biological Sciences Building  
Facility Age: 50 years  
Total GSF: 154,000 gsf  
Total Facilities Condition Needs:  
\$35.2M (upon Phase I  
completion)  
FCNI: 0.42 (upon Phase I  
completion)

**Department**

College of Arts & Sciences  
Department of Chemistry and  
School of Biological Sciences

**Space Type**

Teaching Labs, Classrooms,  
Research Labs, Support Space  
Impacts 1,000 students

**Program Planning Study**

PGAV Architects, 2016

**Project Schedule**

36 months

**Project Cost**

\$37,657,000

**Project Funding**

Internal \$0  
Bonds \$0  
Gifts \$4,600,000  
Federal \$0  
State \$33,057,000

**Operating Expenses**

\$0

**GSF Impacted by Project**

75,000 gsf

**FCN Addressed in Project**

\$17.7M

**Project Description**

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

**Project Justification**

The Spencer Chemistry and Biological Sciences Buildings were originally constructed in 1968 and had not been renovated or updated since the 1980's prior to the Phase One renovation which is nearing completion. These buildings serve Chemistry and Biology undergraduate and graduate majors, as well as those who go into professional schools or graduate studies in medical and dental. They also serve as part of the teaching mission for our Pharmacy, Medicine, and Nursing Programs. The facility is outdated, inadequate space for teaching, and does not meet current safety codes and standards. The chemistry department was recently merged into the School of Biological Sciences to create a larger School of Biological and Chemical Sciences.

The project will eliminate \$17.7 million of facilities needs.

September 26, 2019

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	9	Project is necessary for the growth of the program, project will complete the current Spencer Chemistry & Biological Sciences project.
Sustainability	10	The project is a full renovation of Spencer Chemistry and Biological Sciences buildings, it does not require additional infrastructure.
Funding	6	Project cost funding is not secured.

**University of Missouri - Kansas City**  
**Health Sciences Interprofessional Education and Research Building**  
**Executive Summary**

**University Priority: 2**  
**Project Type: New**  
**Construction/Renovation**

**Building Profile**

Building Name: Health  
Sciences Interprofessional  
Education Building and Health  
Sciences Research Building  
Facility Age: New  
Total GSF: 246,800 gsf  
Facility Age: 47-51 years  
Total GSF: 66,000 gsf  
Total Facilities Condition  
Needs: \$106.2M  
FCNI: 0.25 - 0.51

**Department**

UMKC Health Sciences  
District and Schools of  
Medicine, Dentistry, Pharmacy  
and Nursing and Health  
Sciences

**Space Type**

Classroom, Teaching Labs,  
Health Sciences Library,  
Research Labs, Patient  
Simulation Labs, Patient  
Treatment and Support Spaces  
Impacts 3,370 students per year

**Program Planning Study**

BNIM/ 2010 and The Clark  
Enersen Partners/ 2010

**Project Schedule**

60 months

**Project Cost**

\$150,000,000

**Project Funding**

Internal \$0  
Bonds \$0  
Gifts \$75,000,000  
Federal \$0  
State \$75,000,000

**Operating Expenses**

\$1,700,000

**GSF Impacted by Project**

739,800 gsf

**FCN addressed in project**

\$12.5M

**Project Description**

This integrated project consists of co-located new Interprofessional and research buildings, and two partial building renovations, combines elements from prior Health Sciences Program Planning Studies for the School of Dentistry completed in December 2010, and the School of Medicine completed in November 2010. The project is consistent with the Campus Master Plan.

**Interprofessional Education Building:** The primary function of the 201,800 gross square feet (GSF) Interprofessional Education Building would be to provide shared classrooms, meeting spaces, teaching labs and patient simulation labs which will utilize the latest teaching technology for health care professional training. The project would also co-locate existing and developing centers that support UMKC Health Sciences Initiatives. The project will also include a consolidation and substantial expansion of the UMKC Health Sciences Library. Skywalks connecting the Pharmacy/Nursing Building will also be constructed which will span over Holmes Street and Charlotte Street to connect the UMKC Health Sciences District buildings.

**School of Medicine Building Renovation:** The project would renovate approximately 33,000 gross square feet (GSF) of the 256,300 gross square feet existing building. The renovation will improve building systems, student spaces and research spaces to meet current standards. This project will address approximately \$8.3 million in facilities needs.

**School of Dentistry Building Renovation:** The project would renovate approximately 33,000 gross square feet (GSF) of the 272,759 gross square feet existing building. This project will address approximately \$4.2 million in facilities needs.

**Health Sciences Research Building:** The Health Sciences Research Building on the Hospital Hill Campus will be a collaborative research facility for basic and translational research. The primary use is flexible adaptable laboratory space for wet and dry research activities. To support the research, there will be Administrative Offices and Support Space, Core Facilities, Specialized Research including a large animal facility and areas for Institutional Partners, Research and Technology Transfer and Incubation. The current project is programmed at 45,000 gross square feet (GSF).

**Project Justification**

The UMKC Health Sciences Interprofessional Education and Research Building will have state-of-the-art capabilities to conduct research in biomedical informatics and Big Data initiatives in addition to laboratories for clinical research and basic biomedical research in selected areas. These capabilities will complement and enhance the work planned for the MU Translational Precision Medicine Center (TPMC). The new building in Kansas City will enable UMKC School of Medicine and School of Dentistry to be more competitive in the recruitment of high-caliber physician-scientists and dentist-scientists with a track record of extramural grant-funding (primarily NIH funding) and via carefully planned collaborations and combined efforts, enhance the competitiveness of faculty at MU TPMC to compete for extramural grant funding.

This project has the potential to catalyze new collaborations across our region and among University of Missouri academic campuses, and the potential to attract industry partnerships and One Health partnerships to focus on advanced treatments for cancer and cardiovascular disease, and to advance the fields of biomedical engineering, tissue regeneration, and Big Data. The long-term impact of the collaboration between UMKC and MU TPMC will be to accelerate both discovery and implementation of prevention and treatment of disease that will result in improved health outcomes for Missourians.

**Facilities Stewardship Index**

Criteria	FSI	FSI Justification
Mission	9	Project is necessary to provide modern standards for the programs supported through the Health Sciences Interprofessional Educational and Research Building.
Sustainability	5	Project will be a partial renovation and will need additional investment to expand the university's infrastructure.
Funding	3	Project cost funding is not secured.



**University of Missouri - Kansas City**  
**4747/4825 Troost Redevelopment**  
**Executive Summary**

**University Priority: 3**  
**Project Type: New**  
**Construction/Renovation**

**Building Profile**

Building Name: 4747/4825  
Troost Redevelopment  
Facility Age: New  
Total GSF: 150,000 gsf  
Facility Age: 68-71 years  
Total GSF: 133,282 gsf  
Total Facilities Condition  
Needs: \$30.1M  
FCNI: 0.46 - 0.72

**Department**

UMKC Outreach and  
Community Focused Entities

**Space Type**

Classroom, Teaching Labs,  
STEM Community Labs,  
Offices, Business and  
Technology Incubator Spaces,  
Research Labs

**Program Planning Study**

BNIM/ 2010 (Climate  
Sustainability Center)

**Project Schedule**

60 months

**Project Cost**

\$80,000,000

**Project Funding**

Internal \$0  
Bonds \$60,000,000  
Gifts \$15,000,000  
Federal \$5,000,000  
State \$0

**Operating Expenses**

\$1,700,000

**GSF Impacted by Project**

133,828 gsf

**FCN addressed in project**

\$30.1M

**Project Description**

This redevelopment project consists of the renovation of the 4747 Troost Building and the demolition and new construction of a building on the site and parking lot of the 4825 Troost Building to create an integrated location for UMKC's Outreach and Community focused programs. The current scope utilizes elements from the prior Climate Sustainability Center Program Planning Study completed in September 2010. The project is consistent with the Campus Master Plan.

**4825 Troost Redevelopment:** The project will demolish the existing 79, 254 gross square foot existing building and will replace it with approximately 150,000 gross square feet of new building. Demolishing of the existing building will address approximately \$14.5M in facilities needs.

**4747 Troost Renovation:** The project would renovate the 54,026 gross square feet existing building which was construction in 1961. This project will address approximately \$15.5 million in facilities needs.

The project will include a combined site and mixed use development that will include parking and may include retail and housing components in a public private partnership (P3) development.

**Project Justification**

The UMKC 4747 and 4825 Troost site is currently home to many programs and affiliated organizations that are central to the University outreach and community focus. KCUR Public Radio, KC Rep, KCEZ/ KC Stem Alliance, UMKC Center for Neighborhoods, UMKC Midwest Center for Non-Profit Leadership, UMKC Cookingham Institute, Jumpstart and a few other similar entities are located in these buildings. In addition, the site houses much of the University entrepreneurship and innovation outreaches, led by groups such as KC SourceLink, UMKC Innovation Center, UMKC Solo Incubator Law Office, UMKC Entrepreneurial Law Clinic, and the UMKC Office of Technology Transfer.

The existing buildings are in very poor condition and lack public amenities, accessibility, and parking that the programs demand. The redevelopment project will provide modern spaces for these programs while also providing increased space for research and community education and training. Both the existing and new programmatic uses will benefit from their co-location and from the tremendous public access provided by being on Troost Avenue with its heavy public transit use and services.

**Funding Strategy**

The project budget of \$80,000,000 will be funded by \$20,000,000 in gifts/grants and debt of \$60,000,000.

September 26, 2019

### Facilities Stewardship Index

Criteria	FSI	FSI Justification
Mission	7	Project is necessary to provide safe, open and accessible contemporary spaces for the bulk of UMKC's outreach and community focused entities.
Sustainability	5	Project will be a partial renovation and will need additional investment to expand the university's infrastructure.
Funding	3	Project cost funding is not secured.

**University of Missouri - Kansas City  
New Student Housing  
Executive Summary**

**University Priority: 4**  
**Project Type:**  
**New Construction**

**Building Profile**

Building Name: Student Housing  
Facility Age: New  
Total GSF: 150,000 gsf  
Total Facilities Condition Needs:  
\$0  
FCNI: 0.00

**Department**

Residential Life

**Space Type**

Student Housing, Student Support  
Space.  
500 students

**Program Planning Study**

TBD

**Project Schedule**

48-60 Months

**Project Cost**

\$45,000,000

**Project Funding**

Internal \$0  
Bonds \$0  
Gifts \$0  
Federal \$0  
State \$0  
P3 \$45,000,000

**Operating Expenses**

\$900,000

**GSF Impacted by Project**

150,000 gsf

**FCN addressed in project**

\$0

**Project Description**

This project would construct 500 beds of new student housing primarily focused on undergraduate students in either suite style or community living style configurations. The site and configuration of the housing will be determined in future market studies and master plan site studies. It is anticipated that the project will be developed through a public private partnership model (P3).

**Project Justification**

The on-campus living experience has been a key recruitment driver for undergraduate enrollment growth at UMKC since 2005. As UMKC's on-campus housing capacity grew from about 360 to almost 1,500 beds, undergraduate enrollment increased about 20% from 6,813 students in Spring 2006 to 8,233 students in Fall 2017. A diversity of housing options allow students at all levels to extend their on-campus experience. UMKC desires to continue to grow their on campus living capacity as a strategic means of continued enrollment growth. Housing on the UMKC Volker campus currently consists of the 559 bed Oak Street Residence Hall and the 329 bed Herman and Dorothy Johnson Residence Hall. Both of these buildings provide suite style living and predominately house undergraduate students.

At the present time, the Oak Place Apartments, which housed upper division undergraduate students and graduate students, is off-line due to water damage resulting from design and construction deficiencies in the P3 project. While this project is off-line, UMKC is leasing about 170 beds of off-campus housing. The UMKC Health Sciences District at Hospital Hill has the 243 bed Hospital Hill Apartment project.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	6	Project is necessary to fulfill a need for student housing at University of Missouri - Kansas City.
Sustainability	2	Project will eliminate obsolete space, require minimal investment to improve infrastructure and sustainability.
Funding	3	Project cost funding is not secured.

**University of Missouri - Kansas City**  
**Epperson House Renovation**  
**Executive Summary**

**University Priority: 5**  
**Project Type: Renovation**

**Building Profile**

Building Name: Epperson House  
Facility Age: 96 years  
Total GSF: 24,179 gsf  
Total Facilities Condition Needs:  
\$10M  
FCNI: 1.00

**Department**

Chancellor's Office Strategic  
Initiative

**Space Type**

TBD

**Program Planning Study**

Helix Architects, 2005

**Project Schedule**

36 months

**Project Cost**

\$20,000,000

**Project Funding**

Internal \$0  
Bonds \$0  
Gifts \$20,000,000  
Federal \$0  
State \$0

**Operating Expenses**

\$0

**GSF Impacted by Project**

24,179 gsf

**FCN Addressed in Project**

\$10M

**Project Description**

This project renovation would fully complete the historic restoration and programmatic adaptive reuse of the 24,179 gross square feet (GSF) Epperson House. The historic structure was gifted to the University in 1942 and its initial use was as a residence hall for Naval Aviation Cadets in training for World War II service. Over the years, the house has been used by the Conservatory, the School of Education and the College of Arts and Sciences Department of Architecture, Urban Planning and Design. The building is currently vacant, but a committee charged by the Chancellor with examining the future use of Epperson House will deliver their recommendation in early March 2019.

**Project Justification**

The Epperson House is a recognized historic feature and focus for the UMKC campus, even though it has been vacant for almost a decade. The restoration of the house and its next use has been long speculated on both inside and outside of the campus. The facility is very outdated, has many significant repair needs and does not meet current safety codes and standards, including ADA. Yet, the fine woodwork and plaster detailing of the original interiors are surprisingly intact and will provide a firm foundation for the new programmatic uses. The project will include the full historic restoration of the building exterior and major public spaces, while also adapting the interior spaces and grounds for the technology and program needs of today. The project will also provide additional parking and access drives to serve the new programmatic needs.

The project will eliminate \$10 million of facilities needs.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	6	Project programming is still being defined, but the use is intended to serve the Five Pillars of the campus Strategic Plan.
Sustainability	10	The project is a full renovation of Epperson House, it does not require additional infrastructure.
Funding	3	Project cost funding is not secured.

Missouri University of Science and Technology  
Fiscal Years 2021 – 2025 Preliminary Capital Plan

Missouri University of Science & Technology: Fiscal Years 2021 - 2025 Preliminary Capital Plan included in Finance Plan

Missouri S&T	2020	2021	2022	2023	2024	2025
	Current Year	Year 1	Year 2	Year 3	Year 4	Year 5
<b>New Construction</b>	<b>\$0</b>	<b>\$10,435,000</b>	<b>\$43,026,000</b>	<b>\$44,600,000</b>	<b>\$0</b>	<b>\$0</b>
Schrenk Hall Addition and Renovation - Phase III				\$44,600,000		
Engineering Research Lab Addition and Renovation			\$43,026,000			
McNutt Hall Addition		\$10,435,000				
<b>Renovation/Infrastructure</b>	<b>\$0</b>	<b>\$0</b>	<b>\$10,000,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Library/Learning Commons			\$10,000,000			
<b>Total Project Cost</b>	<b>\$0</b>	<b>\$10,435,000</b>	<b>\$53,026,000</b>	<b>\$44,600,000</b>	<b>\$0</b>	<b>\$0</b>

\*Projects listed under 2020 are projects anticipated to have project approval during FY20.

Missouri University of Science and Technology: Fiscal Years 2021 – 2025 Preliminary Capital Plan included in Finance Plan Funding

Projects					Funding Strategy					
#	Title	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	Schrenk Hall Addition and Renovation – Phase III	NC/R E	\$19.1M	0.57	\$44,600,000	\$0	\$9,000,000	\$0	\$0	\$35,600,000
2	Library/Learning Commons	RE	\$5M	0.28	\$10,000,000	\$0	\$5,000,000	\$5,000,000	\$0	\$0
3	Engineering Research Lab Addition and Renovation	NC/R E	\$13.0M	0.49	\$43,026,000	\$33,000,000	\$0	\$10,026,000	\$0	\$0
4	McNutt Hall Addition	NC	\$0	0.00	\$10,435,000	\$0	\$10,435,000	\$0	\$0	\$0
<b>Total</b>					<b>\$108,061,000</b>	<b>\$33,000,000</b>	<b>\$24,435,000</b>	<b>\$15,026,000</b>	<b>\$0</b>	<b>\$35,600,000</b>



**Missouri University of Science and Technology**  
**Schrenk Hall Addition and Renovation - Phase III (Biosciences Building)**  
**Executive Summary**

**University Priority: 1**  
**Project Type:**  
**New Construction/Renovation**

**Building Profile**

Building Name: Schrenk Hall East  
Facility Age: 80 years  
Total GSF: 59,000 gsf  
Total Facilities Condition Needs: \$19.1 M  
FCNI: 0.57

**Department**

Chemistry and Biosciences

**Space Type**

Teaching and Research laboratory space, support space and departmental offices.  
Impacts the number of students:

**Program Planning Study**

Completed by: The Clark Enersen Partners  
March 2016

**Project Schedule**

26 months for design and construction

**Project Cost**

\$44,600,000

**Project Funding**

Internal \$0  
Bonds \$0  
Gifts \$9,000,000  
Federal \$0  
State \$35,600,000

**Operating Expenses**

\$217,000

**GSF Impacted by Project**

108,000 gsf

**FCN Addressed in Project**

\$19.1 M

**Project Description**

The Schrenk Hall Addition and Renovation – Phase III will renovate Schrenk Hall (1938 & 1973) to accommodate the Chemistry and Biological Sciences departments. This will be the final phase with the renovation of 17,600 gross square feet of the west wing and the replacement of the east wing with a new 90,400 gross square feet facility and atrium. This project will provide new teaching laboratories, research laboratories, and support space. The project also takes into consideration growth and consolidation of department entities that are spread over multiple buildings on campus.

**Project Justification**

This project is the final phase of an interdisciplinary complex dedicated to providing world-class education and research in biological sciences, chemistry, and chemical and biochemical engineering. Equipped with expanded research space, open-concept research labs and improved accessibility, this facility will leverage Missouri S&T's strengths in computational science, environmental engineering, and materials science and engineering to advance medical, environmental, and biomedical research. The building will also be home to an interdisciplinary Center for Research in Biomaterials, where students and faculty will conduct research in bio-active, bio-inspired, and bio-mimetic materials for a variety of applications. The facility will be an integral component of the student experience at Missouri S&T, since almost every student will take at least one course in one or more important foundational area of biological sciences or chemistry.

Missouri S&T is committed to moving this challenging project forward in a phased approach and investing when possible to address immediate campus needs. Recently, \$4M was added to the Phase 2A budget of the west wing renovation for Biological Sciences Research Labs in addition to the already planned Chemistry Research and Instructional Labs. Another commitment by the campus moves forward with construction of general classrooms on campus that were planned for this facility but are being constructed as an addition to the Computer Science Building Student Classroom Learning Center. Since 2016, demand for larger classrooms has increased due to growth. This investment results in more efficient instruction serving more students that will allow them to complete their degrees faster. Both investments have reduced the project budget and overall scope by \$9M.

**Funding Strategy**

Funding for the \$44,600,000 project consists of a \$35,600,000 request from the State and \$9,000,000 in gifts.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
<b>Mission</b>	10	The project will be an integral component of the student experience; every student takes at least one course in one or more foundational areas of biological sciences or chemistry.
<b>Sustainability</b>	10	Project will remove obsolete space and allow upgrades in electric and geothermal applications which will result in better efficiencies and improve campus environment and sustainability.
<b>Funding</b>	5	Project cost is not secured.

**Missouri University of Science and Technology**  
**Library/Learning Commons**  
**Executive Summary**

**University Priority: 2**  
**Project Type: Renovation**

**Building Profile**

Building Name: Curtis Laws Library  
Facility Age: 50 years  
Total GSF: 91,980 gsf  
Total Facilities Condition Needs: \$10M  
FCNI: 0.28

**Department**

Academic Library

**Space Type**

Library/Learning Commons/Computer Learning Center.  
Student Impact: 8,000

**Program Planning Study**

Completed by: Arcturis, May 2016

**Project Schedule**

36-60 Months for design and construction (dependent on phasing)

**Project Cost**

\$10,318,000

**Project Funding**

Internal \$5,000,000  
Bonds \$0  
Gifts \$5,000,000  
Federal \$0  
State \$0

**Operating Expenses**

\$15,000

**GSF Impacted by Project**

91,980 gsf

**FCN addressed in project**

\$5M

**Project Description**

Based on current trends in academic library design, the Curtis Laws Wilson Library needs major renovations to meet the future needs of the students, staff, and faculty. This renovation will incorporate a Learning Commons featuring flexible, collaborative spaces for students and faculty; wayfinding improvements include relocating the service desk and staff office space, opening the buildings east-west axis, and reconfiguring the IT help desk area; update technology throughout the building; and relocate non-library functions to other buildings.

**Project Justification**

The Library/Learning Commons Renovation will impact the entire Missouri University of Science and Technology (Missouri S&T) campus, serving all students, staff, and faculty. One of the major goals of the project is to implement a Learning Commons, with additional spaces for groups to convene. We see a Learning Commons as a place for individuals to share, meet, learn, and receive help. The Wilson Library Renovation Project will address life safety codes, energy conservation measures and associated cost savings; accessibility issues, quality improvement, and capacity issues.

**Funding Strategy**

The project budget of \$10,318,000 is anticipated to be funded by \$5,000,000 in internal funds and \$5,000,000 in gifts.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
<b>Mission</b>	9	Project will impact the entire campus, serving all students, staff, and faculty.
<b>Sustainability</b>	10	Project is a full renovation and requires no additional infrastructure investment.
<b>Funding</b>	9	Project cost funding is partially secured.

**Missouri University of Science and Technology  
Engineering Research Lab (ERL) Addition and Renovation  
Executive Summary**

**University Priority: 3**  
**Project Type:**  
**New Construction/Renovation**

**Building Profile**

Building Name: Engineering  
Research Lab  
Facility Age: 50 years  
Total GSF: 46,000 gsf  
Total Facilities Condition Needs:  
\$13M  
FCNI: 0.49

**Department**

All degree programs

**Space Type**

Research space  
1,300 students per year

**Program Planning Study**

Completed by: Dickinson  
Hussman Architects, March 2013

**Project Schedule**

36 months for design and  
construction

**Project Cost**

\$43,026,000

**Project Funding**

Internal \$10,026,000  
Bonds \$33,000,000  
Gifts \$0  
Federal \$0  
State \$0

**Operating Expenses**

\$230,000 annually

**GSF Impacted by Project**

163,000 gsf

**FCN Addressed in Project**

\$13M

**Project Description**

The Engineering Research Laboratory (ERL) Addition and Renovation project will construct approximately 86,470 gross square feet (GSF) on the east side of ERL and connect to the north side the Straumanis-James Hall. This will create a research center of approximately 162,540 (GSF) that will aesthetically anchor the northeast corner of the campus. The project will also will address life safety code issues, energy conservation measures and associated cost savings, accessibility issues and upgrade systems in the ERL.

**Project Justification**

This building will provide additional interdisciplinary research space which has been identified as a high priority in both the Strategic Plan and Campus Master Plan. Since this project will house interdisciplinary research, its impact will be felt campus-wide and affects all degree programs. The project will address approximately \$13 million of facilities needs. Additional operating costs are estimated to be \$230,000 annually and funded by the Campus operating budget. Estimated number of students impacted annually will be 1300.

**Funding Strategy**

Funding for the \$43,026,000 project will be \$10,026,000 in internal funds, and \$33,000,000 in debt with a revenue stream from research and sponsored programs awards, licenses, grants and contracts with outside partners.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
<b>Mission</b>	10	Project is necessary for interdisciplinary research and aligns with state priorities in STEM research activities.
<b>Sustainability</b>	10	Project is a full renovation, remove leased space, and requires no additional infrastructure investment.
<b>Funding</b>	4	Project cost is not secured.

**Missouri University of Science and Technology**  
**McNutt Hall Addition**  
**Executive Summary**

**University Priority: 4**  
**Project Type:**  
**New Construction**

**Building Profile**

Building Name: McNutt Hall  
Facility Age: 31 years  
Total GSF: 153,984 gsf  
Total Facilities Condition Needs:  
\$36.9M  
FCNI: 0.42

**Department**

Materials Science and  
Engineering

**Space Type**

Lab spaces.  
250-500

**Program Planning Study**

Anthony Duncan Architect

**Project Schedule**

18 months

**Project Cost**

\$10,435,000

**Project Funding**

Internal \$0  
Bonds \$0  
Gifts \$10,435,000  
Federal \$0  
State \$0

**Operating Expenses**

\$36,000

**GSF Impacted by Project**

18,315 gsf

**FCN Addressed in Project**

\$0

**Project Description**

The current program calls for the addition of 18,315 gross square feet to the north side of McNutt Hall to expand the glassblowing and metal working laboratories on campus. The addition will also provide public spaces for exhibition, events, offices, and student collaboration rooms and act as a new highly visible public entry plaza on the north end of campus off of Highway 63.

The design focuses on the craft and production process of student work by exhibiting the shop space to visitors. The shops may be viewed by visitors from walkways above the shop floor or from the dedicated viewing areas separated from the shops with glass partitions. Students will have an expanded shop area for completing glass projects in a hot, warm, and cold shop. Metal working students will have forges, tools, and special finishing areas available to them.

**Project Justification**

The inclusion of experiential learning is a unique educational opportunity at Missouri University of Science and Technology. The University has a desire to integrate application with education, and part of the University strategy is to provide experiential learning to all students. Additionally, the University has a broad initiative to connect arts and sciences in unique ways to augment student education. Student interest in applied glass forming and metal working has increased, and there is significant impetus for shop space dedicated and designed specifically for student exploration of these materials. Dedicated glassblowing and metal working shop space will allow programs and experiential learning on campus to expand. It will also offer a tangible way to link materials engineering science to the deeper human history of art and craft.

There will be a strong emphasis on exhibition and display of student, faculty, and visiting faculty work. Additionally, exhibits through the project will provide ways to educate visitors regarding the process and the history of each craft as an art and science.

**Funding Strategy**

The funding will provided by \$10,435,000 in gifts.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
<b>Mission</b>	5	Project will integrate application with education, provide experiential learning to all students. Economic development and partnerships will be impacted throughout the region as this facility serves many activities for the surrounding communities and other interests outside the university.
<b>Sustainability</b>	8	Project will move programs to more efficient space and will eliminate obsolete space.
<b>Funding</b>	6	Project cost is partially secured.



Missouri University of Science & Technology  
Preliminary Strategic Projects Development Plan

FY21 - Missouri University of Science and Technology: Preliminary Strategic Projects Development Plan\*

Projects						Funding Strategy					
#	Title	Campus	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	N/A										
<b>Total</b>						<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

\*Missouri S&T currently does not have any projects on the Preliminary Strategic Projects Development Plan

University of Missouri – St. Louis  
Fiscal Years 2021 – 2025 Preliminary Capital Plan

University of Missouri – St. Louis: Fiscal Years 2021 - 2025 Preliminary Capital Plan included in Finance Plan

<b>University of Missouri – St. Louis</b>	<b>2020*</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>	<b>2025</b>
	Current Year	Year 1	Year 2	Year 3	Year 4	Year 5
<b>New Construction</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
N/A						
<b>Renovation/Infrastructure</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
N/A						
<b>Total Project Cost</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

\*Projects listed under 2020 are projects anticipated to have project approval during FY20.

UMSL currently does not have any projects in the 5 year Finance Plan.

University of Missouri –St. Louis  
Preliminary Strategic Projects Development Plan

FY 21 - University of Missouri – St. Louis: Preliminary Strategic Projects Development Plan

Projects					Funding Strategy					
#	Title	Type	Facility Needs	FCNI	Total Cost	Debt	Gifts	Internal	Federal	State
1	Space Consolidation & Infrastructure	RE	\$20.5M	0.38-0.49	\$10,000,000	\$0	\$0	\$2,000,000	\$0	\$8,000,000
2	Social Science Building Renovation	RE	\$35.3M	0.54	\$42,500,000	\$0	\$0	\$8,500,000	\$0	\$34,000,000
3	Stadler Hall Renovation	RE	\$26.7M	0.53	\$34,100,000	\$0	\$0	\$6,800,000	\$0	\$27,300,000
<b>Total</b>					<b>\$86,600,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$17,300,000</b>	<b>\$0</b>	<b>\$69,300,000</b>

**University of Missouri - St. Louis**  
**Space Consolidation and Infrastructure**  
**Executive Summary**

**University Priority: 1**  
**Project Type: Renovation**

**Building Profile**

Building Name: Arts Administration Building, Education Administration, Bellerive Hall, Music Building, and Woods Hall  
Facility Age: 44 to 61 years  
Total GSF: 83,000 gsf  
Total Facilities Condition Needs: \$22M  
FCNI: 0.38 to 0.49

**Department**

Human Resources, College of Education Dean, School of Social Work, and Department of Music

**Space Type**

Teaching, Offices, and Support Areas  
Impacts 1,400 students per semester

**Program Planning Study**  
TBD

**Project Schedule**

24 months for design and construction

**Project Cost**

\$10,000,000

**Project Funding**

Internal \$2,000,000  
Bonds \$0  
Gifts \$0  
Federal \$0  
State \$8,000,000

**Operating Expenses**

Reduction of \$525,000 annually

**GSF Impacted by Project**

83,000 gsf

**FCN Addressed in Project**

**\$22M**

**Project Description**

This project will consolidate underutilized space campus-wide and provide repairs to campus buildings. The project will relocate the College of Education Dean's suite from the Education Administration Building (EAB) and decommission the EAB; relocate the School of Social Work from Bellerive Hall (BH) and demolish BH; relocate the Department of Music from the Music Building (MB) and demolish MB; and relocate Human Resources from Arts Administration Building into Woods Hall. These relocations will facilitate synergies between programs and will improve utilization rates of space in the renovated buildings.

**Project Justification**

According to a Space Needs and Utilization Analysis study performed in 2016, UMSL has more program space per student than peer campuses. UMSL can lower its operating costs and deferred maintenance by reducing the campus' occupied square footage. Bellerive Hall, Music Building, and Education Administration Building are underutilized buildings that are in poor condition. As such, they are good candidates for decommissioning or demolition, thereby reducing campus operating expenses and deferred maintenance. The proposed repairs will extend the life of the capital improvements, improve safety and enhance campus appearance while reducing facilities needs. This project provides significant financial benefit to the campus by eliminating \$22 million in facilities needs (\$6.5 million through repairs and renovations, \$11.5 million through demolition of BH and MB and \$3.5 million by decommissioning EAB) and by reducing annual operating costs by \$525,000.

In addition to the above financial benefits, the entire campus will benefit from improved space utilization, safety, reliability, and efficiency. The increased density will also enhance the student experience by providing a more vibrant, energized environment.

**Facilities Stewardship Index**

Criteria	FSI	FSI Justification
Mission	9	Project is necessary to begin steps in the strategic plan to improve space efficiencies.
Sustainability	10	Project will extend the life of the capital improvements, improve safety and enhance campus appearance while reducing facilities needs.
Funding	5	Project cost funding is partially secured, operation cost will be lower when project is complete.



**University of Missouri - St. Louis**  
**Social Science Building Renovation**  
**Executive Summary**

**University Priority: 2**  
**Project Type: Renovation**

**Building Profile**

Building Name: Social Science Building  
Facility Age: 50 years  
Total GSF: 136,600 gsf  
Total Facilities Condition Needs: \$35.3M  
FCNI: 0.54

**Department**

Business Administration,  
Economics, Political Science,  
Public Policy Administration,  
Office of International Studies,  
Mathematics & Computer Science

**Space Type**

Classrooms, Laboratories,  
Conference/Lounge/Offices,  
Other Support Areas  
Impacts 6,272 students per semester

**Program Planning Study**

TBD

**Project Schedule**

36 months for design and construction

**Project Cost**

\$42,500,000

**Project Funding**

Internal \$8,500,000  
Bonds \$0  
Gifts \$0  
Federal \$0  
State \$34,000,000

**Operating Expenses**

TBD

**GSF Impacted by Project**

136,600 gsf

**FCN Addressed in Project**

\$35.3M

**Project Description**

This project will renovate the Social Science Building. The project provides for state-of-the-art classrooms and lecture hall facilities to be used as a campus resource. The renovation includes a substantial replacement and upgrade of HVAC, electrical and plumbing equipment, systems, fixtures and controls. The project also provides for an extensive renovation and upgrade of building interior, accessibility provisions and building envelope. Exterior improvements include replacement/upgrade of sidewalks, accessible routes and steps.

**Project Justification**

The Social Science Business Building provides 136,600 gross square feet (GSF) of classroom, lab, and administrative/support space for faculty and staff and thousands of students who major in various disciplines such as business administration (currently housed in this building), economics, political science and public policy administration. Students were enrolled in a total of 38,680 credit hours that were taught in this building in FY 2018.

Constructed in 1968, this building has a FCNI of 0.54. Delaying replacement and upgrades of these systems will cause further deterioration of assets resulting in repairs becoming increasingly frequent and costly. Continued use of outdated, inadequately sized/configured and equipped classrooms and lecture halls for current pedagogies will increase renovation cost. The project will address code and standards issues, implement energy conservation measures, address accessibility issues, replace building systems that have exceeded their life expectancy, and will eliminate \$35.3 million of facilities needs.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	9	Project is necessary to begin steps in the strategic plan to improve space efficiencies.
Sustainability	10	Project is a full renovation of Social Sciences Building resulting with building systems being more efficient.
Funding	5	Project cost funding is not secured.

**University of Missouri - St. Louis**  
**Stadler Hall Renovation**  
**Executive Summary**

**University Priority: 3**  
**Project Type: Renovation**

**Building Profile**

Building Name: Stadler Hall  
Facility Age: 52 years  
Total GSF: 82,500 gsf  
Total Facilities Condition Needs:  
\$26.7M  
FCNI: 0.53

**Department**

Biology, Psychology, and  
Biochemistry

**Space Type**

Classrooms, Laboratories,  
Offices, Other Support Areas.  
Impacts 1,013 students per  
semester

**Program Planning Study**

TBD

**Project Schedule**

36 months for design and  
construction

**Project Cost**

\$34,100,000

**Project Funding**

Internal \$6,800,000

Bonds \$0

Gifts \$0

Federal \$0

State \$27,300,000

**Operating Expenses**

TBD

**GSF Impacted by Project**

82,500 gsf

**FCN Addressed in Project**

\$26.7M

**Project Description**

Stadler Hall Renovation project will renovate the 82,500 gross square feet (GSF) building to bring it up to current buildings codes and design standards to serve the primarily uses of research, class-labs, classrooms, clinic, animal facilities, and office/support spaces. This will provide consolidated, more efficient, and sustainable environment. Stadler Hall, when renovated, will provide critically needed state of the art technology, equipped and flexible classrooms of various seating capacities, research laboratories, class laboratories, seminar rooms, study areas, collaborative venues, and other student spaces.

**Project Justification**

The space in Stadler Hall is utilized to teach in six different disciplines. Students enrolled in a total of 4,462 credit hours that were taught in this building in FY 2018. The renovation improvement will help attract and retain students, faculty, and researchers. Stadler Hall was constructed in 1967, the original design and existing conditions of the building does not meet current codes and standards. Building systems in Stadler are old, inefficient, and in many cases have surpassed their expected useful life. Delaying replacement of these systems will allow them to continue to age and deteriorate and could eventually result in abandoning the building as repairs will become increasingly frequent and costly. Modern building systems will be significantly more efficient and less costly to operate than the current systems.

Currently the space has a FCNI of 0.53. When complete, the renovation of Stadler Hall will eliminate an estimated \$26.7M of facilities needs.

**Facilities Stewardship Index**

<b>Criteria</b>	<b>FSI</b>	<b>FSI Justification</b>
Mission	9	Project is necessary for the growth of the program, project will complete the current Benton/Stadler Building Complex.
Sustainability	10	Project is a full renovation of Stadler Hall and building systems will be more efficient.
Funding	5	Project cost funding is not secured.

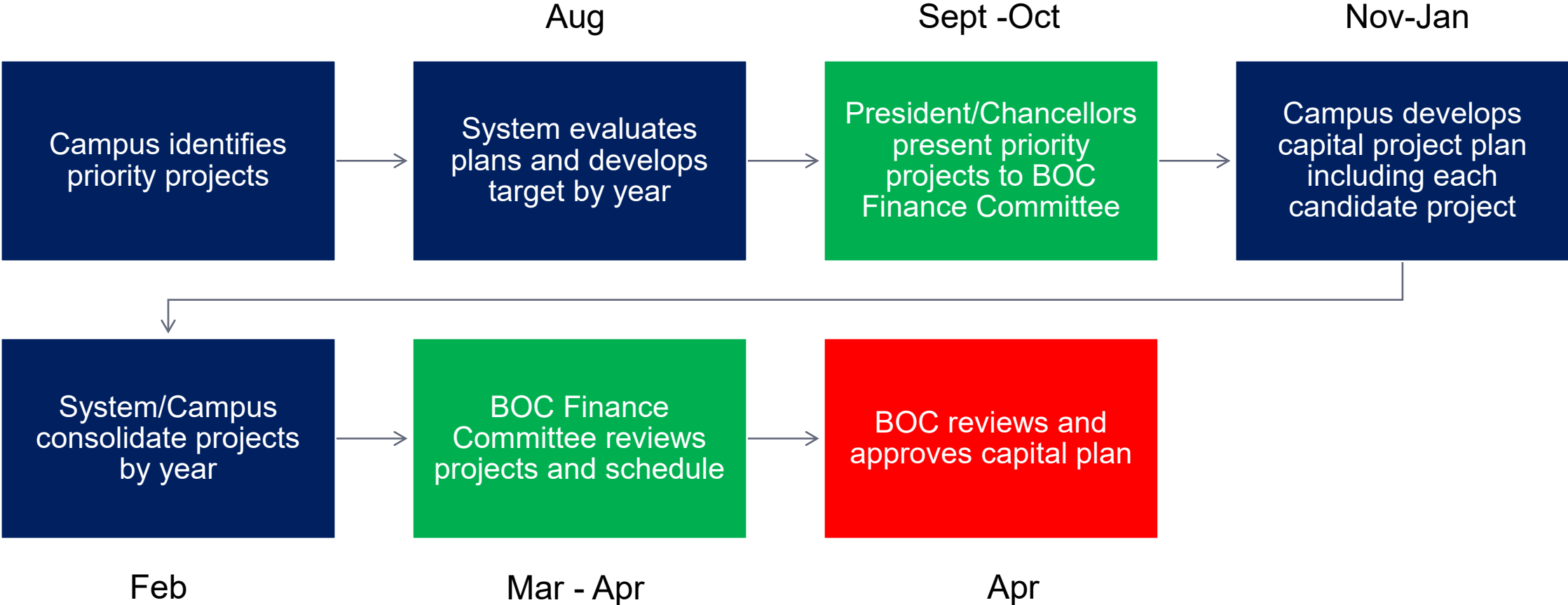
# BOARD OF CURATORS FINANCE COMMITTEE SEPTEMBER 26, 2019

Fiscal Year 2021 – 2025  
Preliminary Capital Plans

UM



# Capital Planning Process



# Rolling Five-year Capital Planning Approval Gates

- **Gate A:** Projects approved to be included in the preliminary capital plan for further planning and development in September/October
- **Gate B:** Capital Plan approval – sets priorities, initiates fundraising, legislative support or finance plan for projects on approved plan in April
- **Gate C:** Project Approval – Funding, scope, budget and schedule are identified and is ready to start design
- **Gate D:** In-Process Review – review progress of budget, scope and schedule

# Facilities Stewardship Index (FSI) Overview

- **Mission:** Program Plan; State, Regional and Community Impact
- **Stewardship:** Facilities Renewal; Infrastructure and Functional Sustainability; Strategic Space Management
- **Funding:** External Funding Support; Operating Cost Support
- Determined by scoring each component on a scale 1 through 10
- Helps assess if capital plan has a positive impacted on campus facilities needs



# Preliminary Capital Plan Overview

## Preliminary Strategic Development Projects

- Not included in the five year financial plan
- Approved for further development

## Preliminary Capital Plan included in Five-year Financial Plan

- Impact to financial profile is understood
- Approved for finalizing funding plan

# MU PRELIMINARY CAPITAL PLAN

## Preliminary Strategic Development Projects:

- Satellite Boiler Plant – Research Commons
- Pickard Hall – Decommissioning and Mitigation
- Veterinary Medical Diagnostic Laboratory Replacement
- New Journalism Building – Replace and Redevelop Neff Hall & Addition Site

## Preliminary Capital Plan included in Five-year Financial Plan:

- Not Applicable

# MUHC PRELIMINARY CAPITAL PLAN

## Preliminary Strategic Development Projects:

- Not Applicable

## Preliminary Capital Plan included in Five-year Financial Plan:

- Inpatient Expansion – Women’s & Children’s Hospital
- Ambulatory Facility/Medical Office Building
- Inpatient Expansion – University Hospital

# UMKC PRELIMINARY CAPITAL PLAN

## Preliminary Strategic Development Projects:

- Spencer Chemistry and Biological Sciences Renovation – Phase II
- Health Sciences Interprofessional Education and Research Building
- 4747/4825 Troost Redevelopment
- New Student Housing
- Epperson House Renovation

## Preliminary Capital Plan included in Five-year Financial Plan:

- UMKC Conservatory

# MISSOURI S&T PRELIMINARY CAPITAL PLAN

## Preliminary Strategic Development Projects:

- Not Applicable

## Preliminary Capital Plan included in Five-year Financial Plan:

- Schrenk Hall Addition and Renovation – Phase III
- Library/Learning Commons Renovation
- Engineering Research Laboratory Addition and Renovation
- McNutt Hall Addition

# UMSL PRELIMINARY CAPITAL PLAN

## Preliminary Strategic Development Projects:

- Space Consolidation and Infrastructure
- Social Science Building Renovation
- Stadler Hall Renovation

## Preliminary Capital Plan included in Five-year Financial Plan:

- Not Applicable



# University of Missouri System

COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

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



# University of Missouri



## Board of Curators

### Academic, Student Affairs and Research and Economic Development Committee Meeting

**Tuesday, September 17, 2019  
10:30 A.M.**

This Board Committee Meeting is being held in conjunction with the September 26, 2019 Board Meeting.

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

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

## AGENDA

### **PUBLIC SESSION – 10:30 A.M.**

Call to Order – Chair Chatman

Roll Call of the Committee

#### Action

1. New Degree Program, Bachelor of Arts, Organizational Leadership, UMSL
2. New Degree Program, Masters of Science, Business, MU
3. New Degree Program, Bachelor of Science, Sport Management, UMSL
4. New Degree Program, Bachelor of Health Science, Occupational Therapy Assistant, MU
5. Collected Rules and Regulations Amendment 340.070, Faculty Leave

Recess

## **New Degree Program, Bachelor's of Arts in Organizational Leadership, UMSL**

### **Executive Summary**

The Bachelor of Arts in Organizational Leadership is an interdisciplinary program that will provide students with the knowledge, skills and credentials necessary to advance in a rapidly changing workplace. It is designed specifically for the substantial number of adult learners who are already in the regional workforce but lack the bachelor's degree required to move up in their career. Courses in the program are shared between the College of Arts and Sciences and the College of Business Administration and the students are supported by the UMSL|NOW (Night- Online-Weekends) initiative. Coursework is available in fully online formats so that each student can continue to work while completing their degree.

This program will help students understand theoretical and practical aspects of leadership across disciplines. The 27-hour core curriculum is focused on the competencies of understanding, communicating, operating, and leading. The required courses begin with an introduction to organizational leadership and end with a capstone course that requires students to demonstrate organizational leadership mastery in a work setting. Students will also receive training in professional communications, information systems, critical thinking, business ethics and more, during their core coursework.

Our program is designed so each student has the opportunity to focus their training on a specific field by selecting a 9-hour Area of Concentration (Examples include: Business Management, Community Studies, Corporate Communication, and more). If a student's professional needs or the needs of the sponsoring company require a concentration that does not already exist, this program is flexible enough to accommodate that need.

The BA in Organizational Leadership is a distinct degree program grounded in social science and drawing on elements from several existing degree programs to create a unique student experience to address a market need. Like a business degree, Organizational Leadership students will learn the fundamentals of management, but the BA in Organizational Leadership is more flexible and tailored to the working adult learner. It will provide students with increased ability to concentrate their studies in an area that acknowledges and capitalizes on their current domain knowledge. Like liberal studies, the BA in Organizational Leadership can be understood as a degree completion program. But the curriculum of the BA in Organizational Leadership is more focused, its design establishes clear pathways to graduation, and the degree title is far more recognized and accepted in the corporate community.

Because this program is designed for St. Louis area adults who have some college but need a degree to move up in their career, we will focus our recruiting efforts on students who have completed at least 40 transferrable credit hours at the community college level, or have been awarded an A.A. or A.S. degree (or A.A.S. with a general educational underpinning). According to the American Community Survey there are more than 300,000 residents of the St. Louis area who fit this description. Those individuals are our target market. This program will provide them with a way to maximize their previous educational

experiences at the same time sharpening their skills and increasing their potential. These capacities are essentials in a rapidly changing workplace.

Through our conversations with local companies and the St. Louis Regional Chamber, and our research into other metropolitan universities with similar programs (University of Louisville and University of Wisconsin-Green Bay, for example), we project a strong market demand for a BA in Organizational Leadership in the St. Louis area. Further, according to ProgramInsight™ from Burning Glass, job demand for management occupations and careers directly linked in a bachelor's level Organizational Leadership degree will increase in the St. Louis Area by 4.74% from 2019 to 2028. Entry level salaries range from \$42,000 for managers in human services, up to \$65,000+ for managers in computers, analysis, and logistics; the higher end of the salary range is expected to be reserved primarily for those with already substantial experience in their domain. We believe these estimates are realistic given our target market is comprised of individuals already in the workforce.

UMSL has two advantages over other institutions in the area that offer this degree. Foremost is tuition cost. Not only does our program cost less than the local private school versions, it also has a more focused path to graduation and it accounts for each student's current domain knowledge. And because of our commitment to the broad use of Affordable & Open Educational Resources (A&EOR), our students will graduate faster and with less debt than our regional competitors. Second, UMSL has vast experience serving adult and online learners. This is an area of competitive advantage for UMSL, which has dedicated substantial resources to developing high-quality online offerings and has a dedicated staff of retention coordinators and academic advisors who work solely with adult and online students.

Finally, UMSL is well-positioned to offer the proposed BA in Organizational Leadership degree quickly. We already offer the vast majority of the coursework, and we already have most of the faculty in place. With the exception of two courses (an introduction and a capstone), the curriculum for this interdisciplinary program will use already established UMSL courses, most of which are currently offered in an online format. Those two new courses, which are under development, are not focused on a specific domain, but are overarching leadership studies. Organizational and leadership studies grew out of the discipline of sociology, thus the departmental "home" for this program will be the Sociology Department. The deans of the two colleges that share course in the program are 100% in support of this degree and the various departments that will actually provide space in their existing classes have all agreed to accept and support BS in Organizational Leadership students.

No.1

Recommended Action – BA Organizational Leadership, University of Missouri, St. Louis

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President Mun Choi, recommended by the Academic, Student Affairs, & RED 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 BA Organizational Leadership to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee:	YES	NO
Curator Chatman		
Curator Layman		
Curator Snowden		
Curator Williams		

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

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

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

University of Missouri - St. Louis

Bachelor of Arts in Organizational Leadership  
New Undergraduate Degree Program Proposal

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## Executive Summary

The Bachelor of Arts in Organizational Leadership is an interdisciplinary program that will provide students with the knowledge, skills and credentials necessary to advance in a rapidly changing workplace. It is designed specifically for the substantial number of adult learners who are already in the regional workforce but lack the bachelor's degree required to move up in their career. Courses in the program are shared between the College of Arts and Sciences and the College of Business Administration and the students are supported by the UMSL|NOW (Night-Online-Weekends) initiative. Coursework is available in fully online formats so that each student can continue to work while completing their degree.

This program will help students understand theoretical and practical aspects of leadership across disciplines. The 27-hour core curriculum is focused on the competencies of *understanding, communicating, operating, and leading*. The required courses begin with an introduction to organizational leadership and end with a capstone course that requires students to demonstrate organizational leadership mastery in a work setting. Students will also receive training in professional communications, information systems, critical thinking, business ethics and more, during their core coursework.

Our program is designed so each student has the opportunity to focus their training on a specific field by selecting a 9-hour Area of Concentration (Examples include: Business Management, Community Studies, Corporate Communication, and more). If a student's professional needs or the needs of the sponsoring company require a concentration that does not already exist, this program is flexible enough to accommodate that need.

The BA in Organizational Leadership is a distinct degree program grounded in social science and drawing on elements from several existing degree programs to create a unique student experience to address a market need. Like a business degree, Organizational Leadership students will learn the fundamentals of management, but the BA in Organizational Leadership is more flexible and tailored to the working adult learner. It will provide students with increased ability to concentrate their studies in an area that acknowledges and capitalizes on their current domain knowledge. Like liberal studies, the BA in Organizational Leadership can be understood as a degree completion program. But the curriculum of the BA in Organizational Leadership is more focused, its design establishes clear pathways to graduation, and the degree title is far more recognized and accepted in the corporate community.

Because this program is designed for St. Louis area adults who have some college but need a degree to move up in their career, we will focus our recruiting efforts on students who have completed at least 40 transferrable credit hours at the

community college level, or have been awarded an A.A. or A.S. degree (or A.A.S. with a general educational underpinning). According to the American Community Survey there are more than 300,000 residents of the St. Louis area who fit this description. Those individuals are our target market. This program will provide them with a way to maximize their previous educational experiences at the same time sharpening their skills and increasing their potential. These capacities are essentials in a rapidly changing workplace.

Through our conversations with local companies and the St. Louis Regional Chamber, and our research into other metropolitan universities with similar programs (University of Louisville and University of Wisconsin-Green Bay, for example), we project a strong market demand for a BA in Organizational Leadership in the St. Louis area. Further, according to ProgramInsight™ from *Burning Glass*, job demand for management occupations and careers directly linked in a bachelor's level Organizational Leadership degree will increase in the St. Louis Area by 4.74% from 2019 to 2028. Entry level salaries range from \$42,000 for managers in human services, up to \$65,000+ for managers in computers, analysis, and logistics; the higher end of the salary range is expected to be reserved primarily for those with already substantial experience in their domain. We believe these estimates are realistic given our target market is comprised of individuals already in the workforce.

UMSL has two advantages over other institutions in the area that offer this degree. Foremost is tuition cost. Not only does our program cost less than the local private school versions, it also has a more focused path to graduation and it accounts for each student's current domain knowledge. And because of our commitment to the broad use of Affordable & Open Educational Resources (A&EOR), our students will graduate faster and with less debt than our regional competitors. Second, UMSL has vast experience serving adult and online learners. This is an area of competitive advantage for UMSL, which has dedicated substantial resources to developing high-quality online offerings and has a dedicated staff of retention coordinators and academic advisors who work solely with adult and online students.

Finally, UMSL is well-positioned to offer the proposed BA in Organizational Leadership degree quickly. We already offer the vast majority of the coursework, and we already have most of the faculty in place. With the exception of two courses (an introduction and a capstone), the curriculum for this interdisciplinary program will use already established UMSL courses, most of which are currently offered in an online format. Those two new courses, which are under development, are not focused on a specific domain, but are overarching leadership studies. Organizational and leadership studies grew out of the discipline of sociology, thus the departmental "home" for this program will be the Sociology Department. The deans of the two colleges that share course in the program are 100% in support of this degree and the various departments that will actually provide space in their existing classes have all agreed to accept and support BS in Organizational Leadership students.



## 1. Introduction

### Academic Components and Career Paths

The BA in Organizational Leadership is a new program for UMSL designed to address the higher education needs of the working population in the St. Louis area and the greater region. This program will help students understand theoretical and practical aspects of leadership across disciplines, while allowing them to focus on a specific field by selecting an Area of Concentration that interests them, or advances their current career. New or individualized areas of concentration (9 hours course sequence) can be designed to suit an individual student's personal or professional needs or the needs of the sponsoring company/organization.

Students graduating with this new degree will be ready to take on higher responsibility in their current work. Students with this degree will be able to enter new careers or enhanced positions in occupations such as Operations Manager, Program Manager, Project Lead, General Manager, Production Manager, and Human Services Manager.

### Program Evolution

*To ensure that St. Louis remains globally competitive, the region requires a strong and well-educated workforce as its core. A highly educated population is capable of adapting to the shifting demands of a global economy, withstanding the shocks of economic downturn, and identifying new solutions to improve the human condition.*  
-The St. Louis Regional Education Commitment Document, page 2

UMSL established the NOW (Nights-Online-Weekends) initiative in the Fall of 2017. One result of this initiative was a much better understanding of the education needs of working adults in the region. At the same time, UMSL was undertaking a deliberate and extensive strategic planning process. This degree is a direct result of those two initiatives and UMSL's commitment to be an anchor institution in the region.

At its core, this program is designed to address the critical need identified in the commitment statement above. That is, the need to increase the highly educated population of our region so the talent pool is prepared for the jobs and economies of the 21<sup>st</sup> century. A more educated workforce will attract the best businesses (new and established) which will support the regional economy as it grows into an exciting, but uncertain future. There are over 300,000 working adults in the region who have some college and substantial domain knowledge from their work experience, but are held back from advancement because they lack a postsecondary credential. What this program will do is provide a framework for organizational leadership in a degree completion model that will allow such individuals to take their career to the next level.

To learn about best practices in programs like our proposal, we visited or reviewed similar programs in other metropolitan areas. Our visit to the University of Louisville was particularly instructive. Their program, BS in Organizational Leadership and Learning, conferred 114 degrees in 2017. This program became our initial model. Our study of the program at UW-Green Bay (BA or BAS in Organizational Leadership) confirmed for us that our “Core + Area of Concentration” design would be effective, and it reinforced our notion that the UMSL|NOW office was the right place to lead advising and retention for these non-traditional students.

Finally, core course selection and our assessment of what new courses were needed was completed based on Professor Craig’s (Chair of Sociology) leadership development experiences from a career of officership in U.S. Army. The framework of *understanding, communicating, operating, and leading* is a well-tested and effective leadership model used in the military. This framework (which is clearly identified in the core curriculum) drove the selection and development of courses. The program design ensures that each competency is introduced, developed, and (where appropriate) mastered.

### **Preliminary Steps and Relationship to Current Courses and Programs**

UMSL is well-positioned to offer the proposed BA in Organizational Leadership degree immediately. We already offer the vast majority of the coursework, and we have most of the faculty in place. With the exception of two courses (an introduction and a capstone), the curriculum for this interdisciplinary program will use already established online UMSL courses. While many of the core courses are competency-specific, the introduction and capstone courses are studies in leadership, a field that has a comfortable home the discipline of sociology. For this reason, the sociology department at UMSL will house this interdisciplinary program and coordinate course scheduling, staff and administration, and faculty (full-time and adjunct) hiring.

### **Person Responsible for Success**

Professor James Craig, the Chair of the Sociology Department (retired US Army Lieutenant Colonel) and Kathleen Burns, PhD, the director of UMSL|NOW will be responsible for implementing and monitoring the program’s outcomes.

## **2. Fit With University Mission and Other Academic Programs**

### **2.A. Alignment With Mission and Goals**

UMSL’s Mission statement is simple and direct: *We transform lives.* [Italics added]

Our vision statement further clarifies our aspirations. *The University of Missouri–St. Louis will be a beacon of hope, a force for good, and a leader in the*

*pursuit of excellence in education, impactful research and community service. We boldly assert that education is for everyone who is willing and able to seek it out. We honor the duties inherent in our land-grant beginnings by positioning ourselves as partners in the search for knowledge, progress and positive change for ourselves, our communities, our world. [Italics added]*

But it is in our strategic plan where this program truly finds its footing.

*We are committed to doing our part to increase the number of adults in St. Louis who hold a bachelor's degree to 40 percent by the year 2025... As one of the largest, most culturally and ethnically diverse universities in Missouri, we believe no institution is better suited to assist with this goal than UMSL.*

*- UMSL Strategic Plan (page 14)*

This program closely aligns with the mission of this university and with several of our strategic goals. Specifically this proposal supports:

*Objective 1 – Increase the number of educated citizens in the region*

*Objective 3 – Increase flexible pathways to degree completion*

Through this program, UMSL will accommodate adult students from many different types of organizations and industries with the critical goal of completing 4-year degrees. The degree is mapped and sequenced so students are able to objectively plan ahead and predict their coursework years in advance. These clear pathways will support *Objective 9 – Decrease debt at graduation and loan default rates.*

The proposed program is the most important undertaking in the Sociology Department and in the UMSL|NOW program. It will remain so for the foreseeable future.

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

Currently, no other UM System campus offers an Organizational Leadership program at the undergraduate level. The MU Graduate School offers a series of graduate level leadership courses in Business Administration, Educational Leadership, Public Affairs, and Management, but these courses are not part of a coherent, degree producing program. UMKC's Bloch School of Management offers an Executive Certificate in Organizational Leadership, but it is not available at the undergraduate level. Missouri S&T also offers a graduate level certificate program in Management and Leadership, but there is no formal degree program at the undergraduate level.

From a local (competitor) standpoint, Maryville University (a private university) appears to have the most developed online organizational leadership program at the undergraduate level. This 36-42 credit hour B.A. program is heavily reliant on psychology and business departments, and it requires an external research project or internship. Most importantly, the Maryville University program

will cost as much as \$24,000 per year ([https://catalog.maryville.edu/preview\\_program.php?catoid=15&poid=2524&returno=1138#](https://catalog.maryville.edu/preview_program.php?catoid=15&poid=2524&returno=1138#), accessed 2/18/19). That is over twice the cost of our proposal.

St. Louis University (a private university) offers several analogous programs at the undergraduate level in their (online) School for Professional Studies. These programs include: B.S. in Organizational Leadership and Technology, B.A. Organizational Studies, and minor and/or undergraduate certificate in Organizational Leadership. These programs appear to be well integrated in the business community (providing adjunct faculty and internship opportunities), but they remain prohibitively expensive.

Our program will match the local business integration of the private universities, but will use tuition cost and our streamline program as competitive advantages. Students in our program will graduate faster at far less cost than our regional competitors.

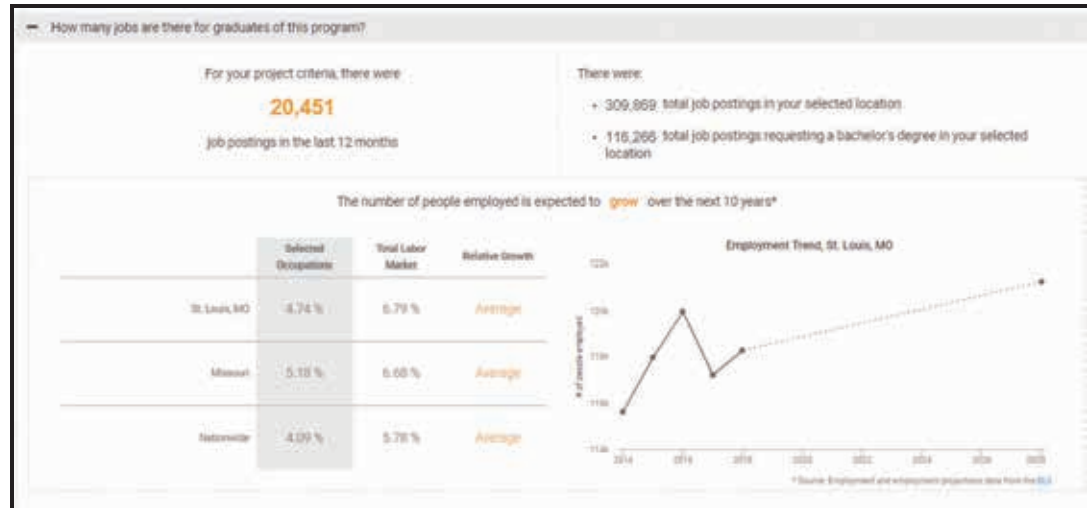
### **3. Business-Related Criteria and Justification**

#### **3.A. Market Analysis**

##### **Need for Program**

This program will expand the educated human capital for the region. It can make a measurable difference for more than 300,000 St. Louis area residents with some college, but no bachelors-level degree. There are no other 4-year, public institutions in the region that offer a program of this type. Finally, we expect students in this program will already be employed, so upon completion, these students will remain in the region as college educated members of the community and will be eligible for employment in, or promotion to, positions of management.

We project a strong market demand for graduates of this program. According to ProgramInsight™ from *Burning Glass*, job demand for management occupations and careers directly linked in a bachelors level Organizational Leadership degree will increase in the St. Louis Area 4.74% from 2019 to 2028. 8,902 positons that matched to outcomes of this program were posted in the STL area alone last year. Entry level salaries range from \$42,000 for managers in human service fields, up to \$65,000 or more for managers in computers, analysis, and logistics; the higher end of the salary range is expected to be reserved primarily for those with already substantial experience in their domain. A screenshot of the report is pasted below; an excerpt from the full report is in Appendix B.



We consulted with many companies, organizations, and individuals in the region who are excited about and supportive of this degree path. The organizations include small businesses like St. Louis Parking, to large multi-national corporations like Bayer and Pittsburgh Pipe, to association like the St. Louis Regional Chamber of Commerce, and even the Federal Reserve Board of St. Louis. A sample of their letters of support are attached at appendix A.

### Student Demand for Program

Working adults with substantial domain experience and knowledge but no postsecondary degree often find themselves held back in their career advancement. They are looking for ways to maximize their previous educational experiences and at the same time sharpen their current skills and increase their credentials. These capacities are essential to advance in a rapidly changing workplace.

According to the American Community Survey there are 306,724 residents aged 25-45 in St. Louis City and County that have some college or an associate's degree, but no bachelor's degree ([https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS\\_17\\_1YR\\_S1501&prodType=table](https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_17_1YR_S1501&prodType=table), accessed 2/14/19). The demand for a bachelor's level program in organizational leadership that is accessible to the community, at an affordable tuition rate is substantial. The expertise and new skills that that Organizational Leadership students will garner from this program will place them in positions of competitive advantage for employment in, or promotion to, positions of management.

Through the UMSL|NOW office, this university now has a starting point of contact for adult student who are seeking educational opportunities outside the traditional college academic day (Nights, Online, Weekends). Our model for student demand for a program like this is based on a conservative comparison to similar degree conferrals at similar programs outside the state. Among St. Louis areas schools ProgramInsight™ indicates that Organizational Leadership degrees

conferred last year were in the single digits. We believe this low number is indicative of the expense of the private school programs. Demand for a focused, recognized and effective degree completion program like this proposal is strong, but no university has moved to where the market is. Our program addresses that pend-up demand.

Table 1a below presents total enrollment projections in this new program from all students. Although in the 2nd year and beyond we project some students will switch to this program from other degree paths, we designed the program for new students. This data assumes that between 40-60% of our students will be part time and around 20% will be students who transfer from another program. These percentages are typical for adult learners in the UMSL|NOW program.

**Table 1a. Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of given year).**

Year	1	2	3	4	5
Full-Time	5	19	30	35	40
Part-Time	5	19	30	35	40
Total	10	37	59	70	80

Table 1b shows only students new to UMSL because of this new program (excludes existing students choosing the new program over their current program).

**Table 1b. Student Enrollment Projections (anticipated number of students enrolled during the fall semester of given year who were new to campus).**

Year	1	2	3	4	5
Full-Time	5	15	22	28	33
Part-Time	5	15	22	28	33
Total	10	29	44	55	65

Table 1c provides projections for the number of degrees awarded. It captures students that would not otherwise graduate because they would leave the current program and university, or not come here at all.

**Table 1c. Projected Number of Degrees Awarded**

Year	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	0	7	20	24	24	27	31	31	31	31

### **3.B. Financial Projections**

#### **Additional Resources Needed**

In order to run this program effectively and grow it to the level of its potential, this program will require a new faculty position (Non-Tenure Track) and a new staff position. The faculty member will serve as the academic coordinator for the program and will develop and teach the introductory courses and the capstone courses. The staff member will be a program coordinator that focuses on the back-end programmatics, credit transfers, recruiting, advising and event planning / management. Both positions will be heavily engaged in recruiting and retention. Contingent on enrollments, we project an additional faculty hire in year four.

In order to promote strong enrollment numbers, the university administration will support marketing expenditure of \$75,000 for the first year, declining to \$50,000 then \$25,000 per year after that. Advertising and promotion are crucial to getting adequate awareness and exposure to our programs. This proposal accounts for computing expenses, course development expenses, travel and professional development expense and a conservative estimate of unforeseeable miscellaneous expense. There are no expenses related to space, research equipment, or research start-up in this proposal.

#### **Revenue**

Revenue sources in this program proposal only include Tuition Fees and Supplemental Fees. The "Total Program Revenue" figures are based on Tuition and Supplemental fees using projected cumulative total student enrollments adjusted for possible attrition and projected graduations as shown in Table 1a. The total program revenue figures are then adjusted to include only new students to campus (using numbers from Table 1b) as described below. The revenue projections should be considered baseline as they rely solely on in-state per credit hour tuition rate.

The financial projections are based on the "proforma new program spreadsheet" attached as Appendix C. The per-year figures were arrived at as follows:

The full-time enrollment numbers from Table 1a were multiplied by a 24-credit hour full time student load per year. Part-time enrollment numbers were multiplied by 12-credit hour student course load per year. The total credit hours across all students were multiplied by "In-State" undergraduate tuition fee per credit hour based on 2019 rates.

In addition, courses delivered in this program will be subject to existing supplemental fees. These fees are assessed on a per credit hour basis and are included in our revenue projections. The sum of these revenues is reflected in the Supplemental Fee sub-totals.

The sub-total for tuition and supplemental fee revenue were added together to produce a sub-total that was then adjusted to reflect the discounted tuition rate. Most students do not pay full tuition so accounting for the discrepancy is necessary to make accurate revenue projections. UMSL's undergraduate discount Tuition Rate of 18% (AY2018) was used to estimate future discount rates on projected revenue. Thus, the Total Program Revenue reflects the sum total of tuition and fees minus tuition rate discounts.

Final Revenue projections are provided in Table 2, *Financial Projections* (below).

### **3.B.3. Net Revenue**

As listed in Table 2, our only anticipated one-time expenses are for computer purchases and (5 years later) computer upgrades. We do not anticipate any other non-recurring expenditures. The single faculty line and single staff position are this proposal's major recurring expense. Marketing and advertising expenses listed above appear as recurring expenditures in all years as does a conservative miscellaneous expense. From the total program revenue in each year, we subtracted the total recurring expenditures each year to obtain the Direct Margin to Campus figures. From the Direct Margin to Campus figures we subtracted revenue generated from "within-campus transfers" to retain only revenue that can be attributed to students who are new to the campus giving us the Net Margin to Campus figures. The respective figures appear in Table 2.

This program is net revenue positive starting in year four. The internal rate of return on this investment is 18% over the 8 year projection period.



**Table 2: Financial Projections**

PROGRAM:	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27
<b>Enrollment Projections</b>								
Head Count Students - new and continuing	10	29	44	55	65	73	77	76
Head Count Students - transfers within campus	-	8	15	15	15	15	15	15
<b>Student Credit Hours</b>	180	666	1,062	1,260	1,440	1,584	1,656	1,638
<b>Tuition Rate/Credit Hour</b>	349.70	349.70	349.70	349.70	349.70	349.70	349.70	349.70
<b>Fee Rate/Credit Hour</b>	72.70	72.70	72.70	72.70	72.70	72.70	72.70	72.70
<b>Tuition Discount Rate (%)</b>	18%	18%	18%	18%	18%	18%	18%	18%
<b>Revenue Projections</b>								
Tuition	\$ 62,946	\$ 232,900	\$ 371,381	\$ 440,622	\$ 503,568	\$ 553,925	\$ 579,103	\$ 572,809
Supplemental & Other Fees	\$ 13,086	\$ 48,418	\$ 77,207	\$ 91,602	\$ 104,688	\$ 115,157	\$ 120,391	\$ 119,083
Scholarship Allowances	\$ (13,686)	\$ (50,637)	\$ (80,746)	\$ (95,800)	\$ (109,486)	\$ (120,435)	\$ (125,909)	\$ (124,540)
Net Tuition and Fees	\$ 62,346	\$ 230,681	\$ 367,843	\$ 436,424	\$ 498,770	\$ 548,647	\$ 573,585	\$ 567,351
Other Income								
<b>TOTAL PROGRAM REVENUE</b>	<b>\$ 62,346</b>	<b>\$ 230,681</b>	<b>\$ 367,843</b>	<b>\$ 436,424</b>	<b>\$ 498,770</b>	<b>\$ 548,647</b>	<b>\$ 573,585</b>	<b>\$ 567,351</b>
<b>Recurring State Support</b>								
<b>TOTAL REVENUE</b>	<b>\$ 62,346</b>	<b>\$ 230,681</b>	<b>\$ 367,843</b>	<b>\$ 436,424</b>	<b>\$ 498,770</b>	<b>\$ 548,647</b>	<b>\$ 573,585</b>	<b>\$ 567,351</b>
<b>Expenditure Projections</b>								
Faculty Salaries	\$ 55,000	\$ 56,100	\$ 57,222	\$ 58,366	\$ 59,534	\$ 60,724	\$ 61,939	\$ 63,178
1 NTT (2% salary increases)								
additional NTT faculty to accommodate growth								
Support Salaries	\$ 50,000	\$ 51,000	\$ 52,020	\$ 53,060	\$ 54,122	\$ 55,000	\$ 56,100	\$ 57,222
1x Program support manager (2% salary increases)								
Total Salaries	\$ 105,000	\$ 107,100	\$ 109,242	\$ 111,427	\$ 113,655	\$ 115,724	\$ 117,834	\$ 119,834
Benefits	\$ 37,401	\$ 38,149	\$ 38,912	\$ 39,690	\$ 40,484	\$ 41,293	\$ 42,116	\$ 42,954
<b>Subtotal Salaries and Benefits</b>	<b>\$ 142,401</b>	<b>\$ 145,249</b>	<b>\$ 148,154</b>	<b>\$ 151,117</b>	<b>\$ 154,139</b>	<b>\$ 157,017</b>	<b>\$ 160,000</b>	<b>\$ 162,788</b>

Table 2: Financial Projections (continued)

<b>Operating Expense</b>																							
Computing Expenses	\$	4,000																					
Work computers for staff and faculty																							
Advertising / Marketing Expenses	\$	50,000	\$	25,000	\$	15,000	\$	15,000	\$	15,000	\$	15,000	\$	15,000	\$	15,000	\$	15,000	\$	15,000	\$	15,000	
Significant/sustained marketing effort/community engagement																							
Travel & Training	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	\$	3,000	
Miscellaneous Expenses	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	\$	2,500	
<b>Subtotal Operating Expense</b>	\$	59,500	\$	30,500	\$	20,500	\$	20,500	\$	20,500	\$	20,500	\$	20,500	\$	25,500	\$	27,500	\$	23,500	\$	23,500	
<b>One-time Expenditures (Startup Costs)</b>	\$	4,000													\$	2,000							\$
Additional Space Costs																							
Subtotal One-time Expense	\$	4,000	\$	\$0	\$	\$0	\$	\$0	\$	\$2,000	\$	\$0	\$	\$0									\$
<b>TOTAL EXPENDITURES</b>	\$	<b>\$205,901</b>	\$	<b>\$175,749</b>	\$	<b>\$168,654</b>	\$	<b>\$171,617</b>	\$	<b>\$176,639</b>	\$	<b>\$257,313</b>	\$	<b>\$253,949</b>	\$	<b>\$266,678</b>	\$		\$				
<b>DIRECT MARGIN</b>																							
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<b>Subtract:</b>																							
Revenue from Transfers within Campus	\$	-	\$	50,688	\$	95,040	\$	95,040	\$	95,040	\$	95,040	\$	95,040	\$	95,040	\$	95,040	\$	95,040	\$	95,040	
<b>NET MARGIN TO THE CAMPUS</b>																							
CUMULATIVE NET MARGIN TO THE CAMPUS																							
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CUMULATIVE NET MARGIN TO THE CAMPUS																							
Campus Overhead Allocation	\$	9,720	\$	35,964	\$	57,348	\$	68,040	\$	77,760	\$	85,536	\$	89,424	\$	88,452	\$						
<b>MARGIN AFTER CAMPUS OVERHEAD</b>																							
CUMULATIVE MARGIN AFTER CAMPUS OVERHEAD																							
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CUMULATIVE MARGIN AFTER CAMPUS OVERHEAD																							

### 3.B.4. Financial and Academic Viability

Table 3 provides minimum enrollments for financial and academic viability. While we project that the program will be net revenue positive by the third academic year, we estimate that the minimum number of enrollments required at year 5 to break-even (i.e. financial viability) is 18 (this assumes 50% full time and 50% part time). This approximation was derived by setting the projected cumulative enrollments at years 1 through 5 at a value that would make the Cumulative Margin After Campus Overhead figures become positive at year 5.

In summary, based on the make-up of the program in terms of existing courses, faculty resources, healthy student demand, and existing UMSL capabilities, we feel assured that this program will be academically and financially viable within by the start of the 4<sup>th</sup> year.

**Table 3. Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.**

<b>Enrollment Status</b>	<b>Full-Time</b>	<b>Part-Time</b>	<b>Total</b>
<b>Number of Students</b>	<b>9</b>	<b>9</b>	<b>18</b>

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

The primary target groups of students for the BA in Organizational Leadership will be individuals who has some college completed, are in the workforce and need the postsecondary degree to move their career up the ladder. Our program will be marketed as a career enhancing educational opportunity and we will seek individuals on their own and employers who will offer tuition assistance. As shown in our support letters, this program idea is attractive to employers both large and small. We will continue to use our alumni and advisory board contacts to connect directly with companies that are looking to improve their workforce. In terms of geographic segments, we will focus on the Saint Louis Metropolitan area to undergird enrollments. In the out years we plan to target the greater mid-west region using our online marketing and the UM System's eLearning Initiatives. Our advertising and marketing strategies include focused paid online advertisements (Google Adwords, Facebook Ads), social media outreach and promotions, as well as free and paid print media publications.

As indicated in the financial projections section (3B), the university administration plans to provide robust support for marketing in order to grow and sustain this program.

In addition to UMSL's campus wide recruitment initiatives such as UMSL Day, billboards, radio spots, web advertising, and UMSL|NOW information sessions. We will specifically carry out the activities listed below.

## **Web Advertising**

A mobile enabled (cross platform) website will be created using UMSL's existing Content Management System. The site will be Search Engine Optimized with keywords that depict various aspects of the this new educational opportunity

Our advertising budget allows for a reasonable scale web advertising campaign through Google Adwords and if possible, Facebook Ads specifically targeting our market segment described above.

Social media accounts using the existing "UMSL NOW" brand, and new "UMSL Organizational Leadership" and "#UMSL-LEADS" brands will be used to maximize the potential use of social media complementing any paid advertising outlets.

## **Print Advertising and Other Promotion Efforts**

UMSL's existing publications and other UM System publications will be requested to feature the new programs and associated developments.

When feasible, we will take out reasonably priced advertisements in the Saint Louis Post Dispatch and Saint Louis Business Journal before program launch.

## **Student Retention**

Apart from other campus wide retention efforts that will also apply to the new program, we will particularly leverage the following:

All students in the organizational leadership program will be UMSL|NOW students. As such they will receive advising specific to their needs at a time and place that works for them. Dedicated UMSL|NOW academic advisors will review each student's goals and recommend concentration areas and elective coursework that meets the individual needs of each student. Dedicated transfer staff will review previous coursework and process transfer credits generously and quickly.

Online education requires different teaching, learning, and technology skills than those found in traditional classes. Many times this creates uncertainty for students. Organizational Leadership students (and faculty) will be provided access to UMSL's Online Mentor Program (OMP). This program supports online students to enhance their learning experience, develop strategies for academic success, and assist with course navigation. The goal of this program is to provide support in the online class to help enrich the learning experience at UMSL.

The most important resource of the OMP is the Online Class Mentors (OCM). Mentors are graduate students who serve both faculty and students to foster an authentic learning environment in the online class. The OCM may be a mentor, liaison, facilitator, participant, confidante, and coach; the OCM is not a teaching assistant. The OCM will assist students with the course tools, including Canvas applications, VoiceThread, Panopto, Kaltura, and Google Apps

Because groups that learn together graduate together, it is the goal of the Organizational Leadership program to track student progress in a cohort model. The

first course, *First, Lead Yourself: Introduction to Organizational Leadership* will build this cohort. The last class, *The Organizational Leadership Capstone*, will solidify the skills attained and convert new knowledge into action through group leadership projects.

#### **4. Institutional Capacity**

UMSL is well-positioned to offer the proposed BA in Organizational Leadership degree immediately. We already offer the vast majority of the coursework and we have most of the faculty in place. With the expectation of two courses (an introduction and a capstone), the curriculum for this interdisciplinary program will use already established UMSL courses, most of which are already offered in an online format.

#### **5. Program Characteristics**

##### **5.A. Program Outcomes**

After completing the UMSL B.A. degree in Organizational Leadership, graduates will be able to:

##### *UNDERSTANDING*

- Articulate a personal leadership style and evaluate her/his own performance for self-improvement
- Demonstrate an understanding of organizational leadership theory as it relates to individuals, communities and wider societies

##### *COMMUNICATING*

- Communicate effectively with a variety of audiences in written, oral and non-verbal mediums

##### *OPERATING*

- Demonstrate critical thinking and problem solving abilities regarding organizational challenges within the chosen area of concentration
- Use tools specific to the area of concentration to manage systems and organizational resources

##### *LEADING*

- Demonstrate an understanding of the ethical principles underlying effective organizational leadership
- Lead teams in the development of innovative solutions to organizational challenges and opportunities within the chosen area of concentration

## 5.B. Structure

### Core Coursework (27 hrs)

#### --Understanding

INTDSC 2001	Introduction to Organizational Leadership	3
SOC 1010	Introduction to Sociology	3

#### --Communicating

COMM 2231	Communication in the Organization	3
COMM 2235	Professional Communications	3

#### --Operating

INFSYS 1800	Computers and Information Systems	3
MGMT 3600	Management and Organizational Behavior	3

#### --Leading

PHIL 1160	Critical Thinking	3
PHIL 2254	Business Ethics	3
INTDSC 4001	Organizational Leadership Capstone Course	3

### Concentration Areas - choose 1 (9 hrs)

#### BUSINESS MANAGEMENT

MGMT 3611	Advanced Management and Organizational Behavior	3
MGMT 3612	Professional Skill Development	3
MGMT 3625	Leadership in Organizations	3

#### COMMUNITY STUDIES

SOC 1040	Social Problems	3
SOC 2203	The City	3
SOC 2160	Social Psychology	3

#### CORPORATE COMMUNICATION

COMM 1150	Intro to Public Relations	3
COMM 3150	Crisis, Disaster, Risk and Communication	3
COMM 3370	Social Media in Public Relations	3

#### CRIMINAL JUSTICE

CRIMIN 1100	Introduction to Criminology and Criminal Justice	3
CRIMIN 2240	Policing	3
CRIMIN 2250	Courts	3

#### HEALTH COMMUNICATION

COMM 1369	Introduction to Health Communication	3
COMM 3150	Crisis, Disaster, Risk and Communication	3
COMM 3368	Advanced Health Communication	3

**INFORMATION SYSTEMS**

INFSYS 2800	Information Systems Concepts and Applications	3
INFSYS 3841	Enterprise Information Systems	3
INFSYS 3842	Data Networks and Security	3

**SUPPLY CHAIN MANAGEMENT (requires MATH 1105 or higher)**

SCMA 3300	Business Analytics	3
SCMA 3301	Introduction to Supply Chain Management	3
SCMA 3320	Advanced Supply Chain and Operations Management	3

**Language Requirement - (11 hours)**

FL 1001	Any Foreign Language I	5
FL 1200	Languages and Identities (or Foreign Language II)	3 (5)
FL 2100	Languages and World Views (or Foreign Language III)	3

Total Credit Hours = 47

**5.C. Program Design and Content**

See below.

## PROGRAM STRUCTURE

### 1. Total credits required for graduation:

General education (and Jr writing):	45
Language requirement (BA only):	11
Core courses:	27
Emphasis area:	9
Free electives or transferred credits:	28
Total:	120

### 2. Residency requirements, if any:

UMSL requires 30 out of the last 36 hours to be earned in residency, and at least 15 major hours in residency.

### 3. General education

Total credits for general education courses: 45 (includes Jr. level writing)

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

Course	Hrs	Course	Hrs	Course	Hrs
First year writing	3	Information literacy	3	Social sciences	9
Communication proficiency	3	US history & government	3	Math & Life/Natural sciences	9
Mathematics proficiency	3	Humanities & fine arts	9	Jr. Writing	3

### 4. Major requirements

Total credits specific to degree: 47 (includes language)

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

Course	Hrs	Course	Hrs	Course	Hrs
INTERDSC 2001	3	INFSYS 1800	3	Concentration Area	9
SOC 1010	3	MGMT 3600	3	Language	11
COMM 1030	3	PHIL 1160	3		
COMM 2235	3	PHIL 2254	3		
		INTERDSC 4001	3		

### 5. Free elective credits

Total free elective credits: 28



**6. Requirement for thesis, internship or other capstone experience:**

*INTDSC 4001: Capstone Course in Organization Leadership* will focus on one individual and one group leadership exercise working on a “real-world” challenge. Other internship opportunities may be available in the emphasis areas.

**7. Any unique features such as interdepartmental cooperation:**

The program is a result of collaboration between the UMSL|NOW program and various departments in both the College of Arts and Sciences and the College of Business Administration. Faculty from eight different departments across the two colleges coordinated and collaborated to build this interdisciplinary program. It is a degree completion program like no other at UMSL. It is rigorous, focused, adaptable, as well as recognized and relevant to the business environment today. Because of faculty expertise and discipline knowledge in sociology, the Sociology department is the “home” department for this important UMSL-wide program.

#### **5.D. Program Goals and Assessment**

The learning outcomes, and thus the outcome from the program, will be assessed in multiple ways:

- Outcomes from individual courses will be measured by passing rates as compared to existing passing rates.
- Outcome from the program will be measured assessments during the capstone course which will be designed to assess mastery of program level objectives in an actual business scenario or leadership challenge
- Longitudinally, we will monitor both career advancement and new job placements at graduation and after graduation to establish a baseline for comparison in the following years.

Because of the focus and enhanced career opportunities upon completion, we expect the graduation rates in this new program to be equal to or higher than what we see in the current adult learner population.

#### **5.E. Student Preparation**

The Organizational Leadership degree is designed for working adults. The program is most appropriate for students who have completed at least 40 transferrable credit hours at the community college level, or have been awarded an A.A. or A.S. degree (or A.A.S. with a general educational underpinning). Prior to enrollment, transcripts from all previous college work will be evaluated to determine academic status and where credits that satisfy degree program requirements will transfer. Once enrolled in the program, additional educational experiences may be reviewed for transfer credit in a prior learning assessment portfolio / competency-based process.

All students in the Organizational Leadership program will be UMMSL|NOW students. As such they will receive advising specific to their needs at a time and place that works for them. Dedicated UMMSL|NOW academic advisors will review each student's goals and recommend Concentration Areas and elective coursework that meets the individual needs of each student. Dedicated transfer staff will review previous coursework and process transfer credits generously and quickly.

Because online education requires different teaching, learning, and technology skills than those found in traditional classes, Organizational Leadership students (and faculty) will be provided access to UMMSL's Online Mentor Program (OMP). This program supports online students to enhance their learning experience, develop strategies for academic success, and assist with course navigation. The goal of this program is to provide support in the online class to help enrich the learning experience at UMMSL.

And because groups that learn together, graduate together, it is the goal of the Organizational Leadership program to track student progress in a cohort model. The first course, *First, Lead Yourself: Introduction to Organizational Leadership* will build this cohort. The last class, *The Organizational Leadership Capstone*, will solidify the skills attained and convert new knowledge into action through group leadership projects.

## **5.F. Faculty and Administration**

### **Individual(s) Responsible for Success of Program**

James Craig, Chair of Sociology, Lieutenant Colonel, U.S. Army (retired)  
Kathleen Burns, PhD, Director of UMSL|NOW  
Coordinator, Faculty position – to be hired  
Program Manager, Staff position – to be hired

### **Faculty Characteristics, Special Requirements, Percentage of Credit Hours to Full-time Faculty**

While most of the coursework for this program already exists and is taught consistently by faculty in other departments, the organizational leadership classes require specific faculty competencies. Our faculty hire will have competencies in leadership through academic study or professional practice (preferably both). We will expect this faculty member to have at least a master's degree in leadership, organizational psychology, management, or a related field (with a preference for a Doctorate/PhD). Our faculty should come with teaching experience as well as practical application. Although we have no candidate in mind at this time, we foresee retired members of the military may fit this role, as well as those who have served locally in elected office or held executive level business roles.

### **Faculty Involvement in Professional Activities, Student Contact, and Teaching/Learning Innovation**

All faculty members in this program will be Non-Tenure Track. As such they will focus on teaching, but will not be evaluated on research production. In their service capacities, they will be required to participate in student mentoring and guidance toward developing appropriate leadership competencies, and they will participate in activities related to community outreach, partnership development, and service.

## **5.G. Alumni and Employer Survey**

We currently don't have a survey or other assessment mechanism for UMSL|NOW students. This program will provide us with the population and a mechanism to establish such a survey and gain valuable insights.

## **5.H. Program Accreditation**

This program will be accredited by HLC through the UMSL and the College of Arts and Sciences. The topic of additional, external accreditation was discussed at the College of Arts and Sciences Advisory Council. This forum indicated accreditations from an external entity is not necessary, instead the skill sets and reputation of the program are much more important. Reputation is especially important for us as most of our graduates are expected to stay in this area. Therefore, we will focus on maintaining our reputation for high quality graduates and providing the right skills as opposed to external accreditation.

## Appendices

### Appendix A: Support Letters

Our proposal has the support of the of the St. Louis area business community. Letters writers include: The Dean of the UMSL College of Business Administration and College of Arts and Sciences, the Chair of the College of Arts and Sciences Advisory Board, The Federal Reserve Bank of St. Louis, Bayer, Pittsburgh Pipe, St. Louis Parking, and the St. Louis Regional Chamber of Commerce.

### Appendix B: Burning Glass Report

This report provides the background research that underpins our conviction that there is a substantial demand in the St. Louis area for the BA in Organizational Leadership and graduates of such a program will be hired at competitive salaries in the regional economy. The specific portions of the report that are presented here are: Employment Potential, Competitive Landscape, and Market Alignment.

### Appendix C: Financial Projections Spreadsheet

Our financial projections were completed with the counsel and support of the office of the UMSL CFO. They are attached as a separate Microsoft Excel file.

### Appendix D: Curriculum Alignment Map

This chart confirms that the core and concentration courses in the BA Organizational Leadership program align with the program level outcomes we identified at the beginning of this process. Courses in this cross-walk are on the left and program objectives are on the top. Course are identified as either “I” - introducing a program objective, “D” – developing are expertise in the program objective, or M – confirming mastery of that program objective.

### Appendix E: Sample 2-year Degree Map

One of the hallmarks of this program is that it provides a clear and understandable pathway to degree completion. This degree map provides an example of how a student would get from enrollment to graduation in 2-years. It provides our recommendation for the sequencing of core and elective courses. A similar, but personalized, road map will be provide for each BA in Organizational Leadership student.

### Appendix F: Sample 3-year Degree Map

One of the hallmarks of this program is that it provides a clear and understandable pathway to degree completion. This degree map provides an example of how a student would get from enrollment to graduation in 3 years. It provides our recommendation of the sequencing of core and elective courses. A similar, but personalized, road map will be provide for each BA in Organizational Leadership student.

## **Appendix A: Support Letters**

Our proposal has the support of the of the St. Louis area business community. Letters writers include: The Dean of the UMSL College of Business Administration and College of Arts and Sciences, the Chair of the College of Arts and Sciences Advisory Board, The Federal Reserve Bank of St. Louis, Bayer, Pittsburgh Pipe, St. Louis Parking, and the St. Louis Regional Chamber of Commerce.



Steven W. Graham, PhD  
Senior Associate Vice President for Academic Affairs  
University Hall  
Columbia, MO 65211

Dear Steve:

The purpose of this letter is to confirm our shared support for the Bachelors of Arts degree program in Organizational Leadership. This degree is a cooperative effort between our colleges, the College of Business Administration and the College of Arts and Sciences, and we are both fully committed to its success.

Because this program is designed for St. Louis area adults who have some college but need a degree to move up in their career, the program will focus its recruiting efforts on students who have completed at least 40 transferrable credit hours at the community college level. According to the American Community Survey, there are over 300,000 residents of the St. Louis area who fit this description. This program will provide them with a way to maximize their previous educational experiences at the same time sharpening their skills and increasing their potential. These capacities are essentials in a rapidly changing workplace.

Notable in the design of this degree is the requirement for each student to choose an area of concentration. These concentration areas will allow adult-learners to reinforce their current experiences and learn a new set of tools and competencies that will aid them in upward and lateral mobility in the workforce. Our partnership is most evident in these areas of concentration. Of the seven initially available, COBA is providing three (Business Management, Information Systems, and Supply Chain Management) and CAS is providing four (Community Studies, Corporate Communications, Criminal Justice and Health Communications)

UMSL has two primary advantages over other institutions in the area that offer this degree. Foremost is tuition cost. Not only does our program cost less than the local private school versions, it also has a more focused path to graduation and it accounts for each student's current domain knowledge. Especially because we commit to the broad use of Affordable & Open Educational Resources (A&EOR), our students will graduate faster and with less debt than our regional competitors. Our second advantage is UMSL's vast experience serving adult and online learners. This is UMSL's expertise – there is no university in our area that is more experienced or more successful with this type of student.

St. Louis needs more college educated people to be the managers and executives in our growing economy. From our perspective UMSL's Organizational Leadership program will directly address our region's management need. We support it and we recommend that you support it also.

Sincerely,

A handwritten signature in black ink, appearing to read "Hoffman", is written over a light blue horizontal line.

Charles Hoffman  
Dean  
College of Business Administration

A handwritten signature in black ink, appearing to read "Andrew E. Kersten", is written over a light blue horizontal line.

Andrew Kersten  
Dean  
College of Arts and Sciences

James Craig  
Chair, Department of Sociology  
University of Missouri-St-Louis  
St. Louis, MO 63121

March 8, 2019

Dear Professor Craig,

The purpose of this letter is to express support for the Bachelor's degree in Organizational Leadership that has been proposed by the University of Missouri-St. Louis and is under consideration at the state level.

The degree, which is a cooperative effort between the UMSL NOW (Night-Online-Weekends) program and the UMSL College of Arts and Sciences, will provide St. Louis area residents with the knowledge, skills and credentials necessary to advance in a rapidly changing workplace. Designed specifically for adult learners, this program will appeal to the current working population in St. Louis and it will help companies like mine increase the capacity of their workforce without sacrificing the working day.

Notable in the design of this degree is the requirement for each student to choose an area of concentration. These concentration areas will allow adult-learners to reinforce their current experiences and learn a new set of tools and competencies that will aid them in upward and lateral mobility in the workforce. I am particularly fond of the concentration in Business Management because expansion of skills and understanding in this area increase capability for employee advancement and effectiveness. This in turn will enhance our business cohesiveness and thus our competitive advantage.

St. Louis needs more college educated people to be the managers and executives in our growing economy. According to the Missouri Economic Research and Information Center (MERIC), job demand for management occupations will increase in the St. Louis Area by 7.9% over the next 8-10 years and projections from my company's HR planning reinforce this trend. UMSL's Organizational Leadership program will directly address our region's management need.

Currently, there are no public universities in the St. Louis area with an undergraduate Organizational Leadership degree, but there are many top tier employers who would seek out this level of educated talent. In today's environment where the cost of education and the return on investment are heavily scrutinized, this program will provide a high quality yet affordable education and a degree program that offers a clear path to a fulfilling career.

As I envision opportunities to improve my workforce, I look forward to using the UMSL Organizational Leadership program to reinforce the leadership and technical competencies that I need in my management-level employees.

Sincerely,  
*Terry Varney Freerks, Ph.D.*  
Terry Varney Freerks, Ph.D.  
CSP Swimming CFO & CEO Emeritus  
[tvf@cspswim.com](mailto:tvf@cspswim.com)  
[www.cspswim.com](http://www.cspswim.com)





FEDERAL RESERVE BANK *of* ST. LOUIS  
CENTRAL TO AMERICA'S ECONOMY™

P.O. Box 442  
St. Louis, MO 63166

June 10, 2019

Professor James Craig  
Chair, Department of Sociology  
University of Missouri-St. Louis

Dear Professor Craig,

The purpose of this letter is to express support for the Bachelor's degree in Organizational Leadership that has been proposed by the University of Missouri-St. Louis and is under consideration at the state level.

The degree, which is a cooperative effort between the UMSL NOW (Night-Online-Weekends) program and the UMSL College of Arts and Sciences, will allow St. Louis area residents to make investments in their human capital that will allow them to advance in a rapidly changing workplace. Designed specifically for adult learners, this program will appeal to the current working population in St. Louis and it will help companies like mine increase the capacity of their workforce – without sacrificing the working day.

Notable in the design of this degree is the requirement for each student to choose an area of concentration. These concentration areas will allow adult-learners to reinforce their current experiences and learn a new set of tools and competencies that will aid them in upward and lateral mobility in the workforce. I am particularly pleased to see the concentration in information systems. Technology is integral to all businesses, and finding expertise in this area is challenging. Employees with experience who develop skills in information systems will be valuable assets to area companies. I am also pleased to see an emphasis on critical thinking and problem solving within an emphasis area. These are skills that are often in short supply because people often don't learn these skills in more traditional programs.

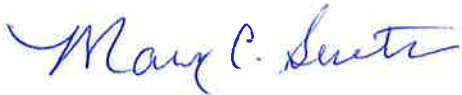
St. Louis needs more college educated people to be the managers and executives in our growing economy. From my perspective UMSL's Organizational Leadership program will directly address our region's management need in a way that traditional programs can't. Working people need flexibility to make the investments they need to succeed.

Currently, there are no public universities in the St. Louis area with an undergraduate Organizational Leadership degree, but there are many top tier employers who would seek out this level of educated talent. In today's environment where the cost of education and the return

on investment are heavily scrutinized, this program will provide a high-quality yet affordable education and a degree program that offers a clear path to a fulfilling career.

As I envision opportunities to improve the St. Louis-area workforce, I see the UMSL Organizational Leadership program as a way to reinforce leadership and technical competencies needed in management-level employees.

Sincerely,

A handwritten signature in blue ink that reads "Mary C. Suiter". The signature is written in a cursive style with a large initial "M".

Mary C. Suiter, Ph.D.  
Assistant Vice President and  
Economic Education Officer



Prof. James Craig  
Chair, Department of Sociology  
University of Missouri-St-Louis

Dear Professor Craig,

The purpose of this letter is to express support for the Bachelor's degree in Organizational Leadership that has been proposed by the University of Missouri-St. Louis and is under consideration at the state level.

The degree, which is a cooperative effort between the UMSL NOW (Night-Online-Weekends) program and the UMSL College of Arts and Sciences, will provide St. Louis area residents with the knowledge, skills and credentials necessary to advance in a rapidly changing workplace. This degree is designed specifically for adult learners and will appeal to the current working population in St. Louis. I see value in this degree as it will create addition skilled personnel that will be available to companies like Bayer as we increase the intellectual capacity of our workforce without sacrificing the working day.

Notable in the design of this degree is the requirement for each student to choose an area of concentration. These concentration areas will allow adult-learners to reinforce their current experiences and learn a new set of tools and competencies that will aid them in upward and lateral mobility in the workforce. I am especially interested in the interdisciplinary nature of the program that will address employee's strengths, interactions and performance to deliver customized solutions and help organizations function more effectively. Areas such as corporate communications must deal with cross functional teams and the messages that are ultimately delivered are critical to a company's reputation and community outreach.

St. Louis needs more college educated people to be the managers and executives in our growing economy. From my perspective UMSL's Organizational Leadership program will directly address our region's management need. Companies like Bayer deal with complexity at many levels and programs such as this can indeed add value to our mid-career employees to manage that complexity more efficiently. Further, our region is experiencing a surge in start-up companies. A degree in Organizational Management would also benefit from those working in this space and is beneficial to sustain start-up business, which of course is a positive to help our region thrive.

Currently, there are no public universities in the St. Louis area with an undergraduate Organizational Leadership degree, but there are many top tier employers who would seek out this level of educated talent. In today's environment where the cost of education and the return on investment are heavily scrutinized, this program will provide a high quality yet affordable education and a degree program that offers a clear path to a fulfilling career.

Finally, as a Life Science company, Bayer has a large number of scientists as various education levels. One area that scientists are challenged by is organization management. Scientists are rarely taught this competency during their education. An opportunity such as this I believe would be very intriguing to scientists looking to expand their level of influence in managerial career paths.

As I envision opportunities to improve my workforce, I look forward to using the UMSL Organizational Leadership program to reinforce the leadership and technical competencies that I need in my management-level employees.

Sincerely,  
*Ty Vaughn*

*Dr. Ty Vaughn*

**SVP, Head of Regulatory Science**

////////////////////

Bayer – Crop Science Division

700 Chesterfield Parkway

Chesterfield, MO 63017

Tel: 636-737-9529

Mobile: 314-910-0906

E-mail: [ty.vaughn@bayer.com](mailto:ty.vaughn@bayer.com)

Web: <http://www.bayer.com>



# Pittsburgh Pipe

THE RIGHT PIPE • RIGHT ON TIME

CELEBRATING 40 YEARS

June 10, 2019

Professor James Craig  
Chair, Department of Sociology  
University of Missouri-St. Louis

Dear Professor Craig,

I am writing this letter in support of the Bachelor's degree in Organizational Leadership that has been proposed by the University of Missouri-St. Louis and is under consideration at the state level.

The degree program's cooperative effort with the UMSL NOW (Night-Online-Weekends) program and the UMSL College of Arts and Sciences will give St. Louis' large pool of adult-learners the knowledge, skills and credentials necessary to advance in a rapidly changing workplace. Not only will it help companies like mine increase the capacity of their workforce, but it will enrich and deepen the population of college educated women and men who make up the Greater St. Louis community.

As you may know, the design of this degree requires each student to choose an area of concentration. These concentration areas will allow adult-learners to reinforce their current experience and learn a new set of tools and competencies that will aid them in upward and lateral mobility in the workforce.

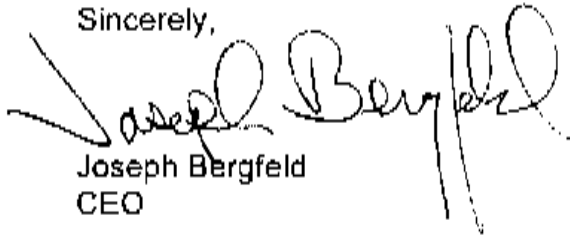
I am a proud UMSL grad who, like the majority of UMSL grads over the past 50 years, chose after graduation to remain in the St. Louis metro area. St. Louis needs more college educated people to be the managers and executives in our growing economy and, from my perspective, UMSL's Organizational Leadership program will directly address and deepen our response to this need.

There are currently no public universities in the St. Louis area with an undergraduate Organizational Leadership degree, but I am confident there are many top tier employers who would seek out this level of educated talent, especially in today's challenging labor market. As the cost of education and the return on investment become more heavily scrutinized, this program will stand out as a high quality yet affordable education and a degree program that offers a clear path to a fulfilling career.

Professor James Craig  
Chair, Department of Sociology  
University of Missouri-St. Louis  
June 10, 2019  
Page 2

As I work with my company's leadership team to grow our company and improve our workforce, I sincerely hope that I'll be able to look to the UMSL Organizational Leadership program to reinforce the leadership and technical skills that I know my company employees will need.

Sincerely,

A handwritten signature in black ink, appearing to read "Joseph Bergfeld". The signature is fluid and cursive, with a large initial "J" and "B".

Joseph Bergfeld  
CEO

**St. Louis Parking Company**

1617 South 3<sup>rd</sup> Street  
St. Louis, Missouri 63104  
www.stlouisparking.com  
Telephone: 314-241-7777 Fax: 314-241-4960

April 23, 2019

Professor James Craig  
Chair, Department of Sociology  
University of Missouri-St Louis

RE: The UMSL Organizational Leadership Program

Dear Professor Craig,

I am writing this letter in support of the proposed University of Missouri-St. Louis' "Organizational Leadership Program" which is a cooperative effort between the UMSL NOW program and the UMSL College of Arts and Sciences.

As an owner of a now third generation business in the St. Louis community, I have noticed a shortage of qualified managers. I feel that this program will help improve our chances of hiring well-educated professionals for open entry and mid-level managerial positions. Having well-educated employees in a market with skills gaps, coupled with increased complexity from natural automation, would be of great benefit to companies like mine to increase the capacity of our workforce – without interfering with their normal work day. Notably, as technology requires our managers to operate in more complex relationship building, candidates with particular skills in Corporate Communication and Business Management will help serve our clients with the business-owner perspective we strive for.

I am confident that UMSL is diligently putting a solid program together that will truly work in our community. Not only will this type of a curriculum benefit companies like mine, the program will also provide a high-quality, yet affordable education degree program that will lead to fulfilling careers.

In addition to a providing a much needed program in the St. Louis area, it would certainly help our fellow St. Louisans thrive in today's skills gap world of employment. Furthermore, as a family of 5<sup>th</sup> generation St. Louisans, I feel this program will make St. Louis an even better place to live and work, and will also improve our community. If you need to discuss my recommendation in more detail, please do not hesitate to call me at 314.575.2402.

Sincerely,



Gary B. Pohrer



One Metropolitan Square  
211 North Broadway  
Suite 1300  
St. Louis, MO 63102

Phone • 314.231.5555  
Fax • 314.444.1122  
stlregionalchamber.com

March 15, 2019

James Craig  
Chair, Department of Sociology  
University of Missouri-St-Louis

Dear Professor Craig,

On behalf of the St. Louis Regional Chamber, I would like to offer enthusiastic support for the creation of a new program in Organizational Leadership for the University of Missouri-St. Louis. We think this program meets a clear industry need in the St. Louis region while also expanding opportunities for adult learners—a critical demographic that the Chamber and its partners are directly supporting and anticipate benefiting substantially from this program.

The St. Louis Regional Chamber recently conducted a study aimed at understanding our region's top workforce pain points. The results from this survey indicated that employers place a high premium on the applied skills that would be cultivated in the Organizational Leadership program. Strong communication, critical thinking, and leadership skills are in high demand by employers across industries. Moreover, a significant portion of survey respondents – a little over 70% -- indicated that finding qualified managers and executives is somewhat or very difficult. Candidates with organizational leadership expertise would be qualified for these positions. This program offers additional value in that it enables student to choose pathways of concentrated study in areas with expected growth and in high need. These include business management, information systems, and health communication.

The St. Louis Regional Chamber also applauds the leadership of UMSL NOW, in particular, for proposing this new program. We know that we have 400,000 adults in the St. Louis region who have some college credit but no degree. The Chamber is particularly interested in seeing more responsive programs designed to increase the skillset of working adults, knowing that life-long learning is essential in today's economy. Since this proposed program is part of UMSL NOW, it will meet a specific need for employers as they seek to grow talent from within their companies. By ensuring that this program is flexible in responding to the needs of adult learners, which is increasingly becoming the "traditional" student population, we believe that it is ahead of the curve and cutting edge.

In short, the Organizational Leadership Program offered through UMSL NOW and the UMSL College of Arts and Sciences will have a significant impact on our regional employers' ability to fill in-demand occupations that require coveted skills. We hope to partner with UMSL NOW to shape this program and to connect its graduates to opportunities for employment.

Sincerely,

A handwritten signature in black ink that reads "Greg Laposa". The signature is fluid and cursive.

Greg Laposa  
Vice President of Education Strategies  
St. Louis Regional Chamber



## **Appendix B: *ProgramInsight*<sup>™</sup> Report from Burning Glass**

This report provide the background research that underpins our conviction that there is a substantial demand in the St. Louis area for the BA in Organizational Leadership and graduates of such a program will be hired at competitive salaries in the regional economy. The specific portions of the report that are presented here are: *Employment Potential*, *Competitive Landscape*, and *Market Alignment*.

# VALIDATE: EMPLOYMENT POTENTIAL

## PROJECT CRITERIA

Validate	Programs
Metro Areas (MSAs)	St. Louis, MO-IL
Degree Level	Bachelor's degree
Time Period	6/1/2018 - 5/31/2019
Selected Programs	Operations Management and Supervision (52.0205), Organizational Leadership (52.0213), Project Management (52.0211), Non-Profit/Public/Organizational Management (52.0206), Business Administration, Management and Operations, Other (52.0299), Social Sciences, Other (45.9999)
Career Outcomes mapped to Selected Programs of Study	Account Executive, Administrative Supervisor, Call Center Manager, Customer Service Manager, Project Manager, Account Manager / Representative, Human Resources Assistant, Recruiter, Policy Analyst, Logistician / Supply Chain Specialist, Business / Management Analyst, Compensation / Benefits Analyst, Administrative Manager, General Manager, Business Development / Sales Manager, Human Resources Manager, Program Manager, Operations Manager / Supervisor, Industrial-Organizational Psychologist, Social / Human Services Manager, Warehouse / Distribution Supervisor, Transportation Supervisor, Production Supervisor, Production Plant Manager, Transportation Manager, Storage / Distribution Manager, Quality Control Systems Manager, Construction Manager, Office / Administrative Assistant  Public Administrator, Supply Chain / Logistics Manager

## HOW MANY JOBS ARE THERE FOR YOUR GRADUATES?

For your project criteria, there were **20,451** job postings in the last 12 months.

Compared to:

- 309,869 total job postings in your selected location
- 116,266 total job postings requesting a Bachelor's degree in your selected location

The number of jobs is expected to **grow** over the next 8 years.

## GROWTH BY GEOGRAPHY

Geography	Selected Occupations	Total Labor Market	Relative Growth
St. Louis, MO	4.74%	6.79%	Average
Missouri	5.18%	6.68%	Average
Nationwide	4.09%	5.78%	Average

## HOW HAS EMPLOYMENT CHANGED FOR CAREER OUTCOMES OF YOUR PROGRAM?

	2014	2015	2016	2017	2018	2028
Employment (BLS)	115,620	117,980	119,950	117,210	118,282	121,249



Employment data between years 2019 and 2028 are projected figures.

## DETAILS BY OCCUPATION

Occupation Group	Postings	LQ	Employment (2018)	Employment Growth (2017 - 2018)	Projected Employment Growth (2019-2028)
Client Support and Sales	3,193	1.2	13,290	2.3%	2.3%

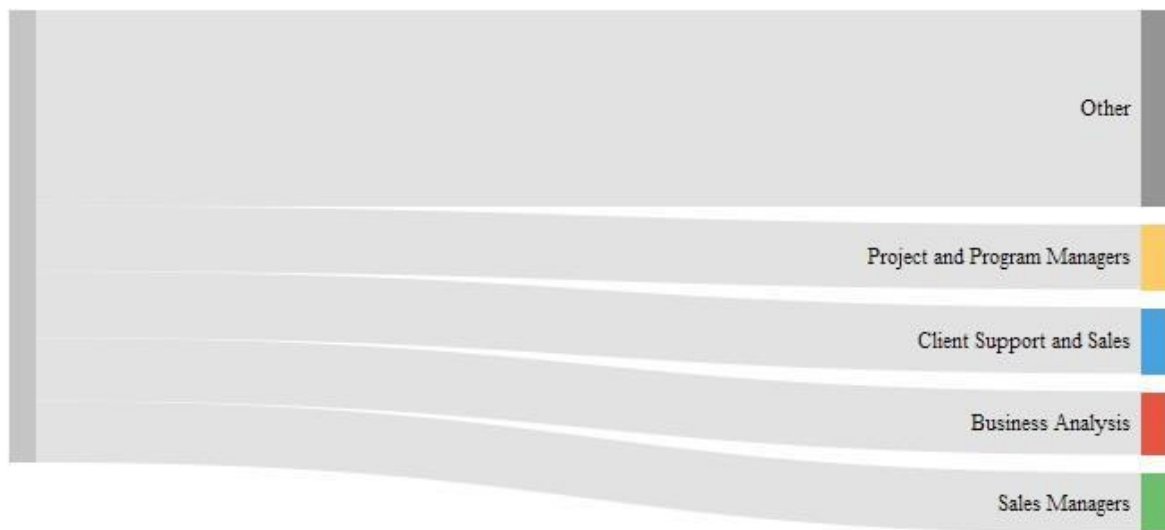
Project and Program Managers	3,127	1.1	3,460	-9.4%	15.9%
Business Analysis	3,056	1.3	4,440	9.9%	-0.3%
Sales Managers	2,953	1.1	3,380	-3.7%	7.9%
Human Resources Specialists	2,458	1.1	9,180	3.8%	-1.1%
Operations Managers	1,735	1.0	26,700	5.4%	0.6%
Production Managers	816	1.3	7,360	-0.9%	-0.3%
General Managers	798	0.9	25,800	5.4%	0.5%
Logistics and Supply Chain Managers	448	1.1	2,902	115.0%	9.1%
Customer Service Managers	367	1.1	11,250	-3.8%	11.3%
Office and Building Administration	240	0.7	13,940	-4.2%	11.7%
Logistics and Supply Chain Analysts/Specialists	233	1.1	2,360	8.8%	-6.1%
Human Services	212	0.9	890	7.2%	NA
Construction Managers	110	0.6	1,880	13.9%	-9.1%
Policy Analysis and Planning	31	0.5	NA	NA	NA
Administrative Assistants	28	1.1	29,400	-6.8%	10.0%

## HOW VERSATILE IS MY PROGRAM?

Graduates of this program usually transition into any of the 16 different occupation groups:

Occupations Group	Market Size (postings)	Percentage of Career Outcome demand
Client Support and Sales	3,193	14.7%
Project and Program Managers	3,127	14.3%
Business Analysis	3,056	14.0%
Sales Managers	2,953	13.6%
Human Resources Specialists	2,458	11.3%

Operations Managers	1,735	8.0%
Administrative Assistants	1,389	6.4%
Production Managers	816	3.7%
General Managers	798	3.7%
Construction Managers	737	3.4%
Logistics and Supply Chain Managers	448	2.1%
Customer Service Managers	367	1.7%
Office and Building Administration	240	1.1%
Logistics and Supply Chain Analysts/Specialists	233	1.1%
Human Services	212	1.0%
Policy Analysis and Planning	31	0.1%



### WHAT SALARY WILL MY GRADUATES MAKE?

The average salary in St. Louis, MO-IL for graduates of your program is **\$72,344**. This average salary is **Above** the average living wage for St. Louis, MO-IL of \$29,016.

*(Note – this salary average has been skewed by job categories like “software developer” and “supply chain manager.” UMSL prefers to consider the range of \$42,000-\$65,000 as a reasonable expectation.)*

Salary numbers are based on Burning Glass models that consider advertised job posting salary, BLS data, and other proprietary and public sources of information.

<b>Occupation Group</b>	<b>25<sup>th</sup> Percentile</b>	<b>Average</b>	<b>75<sup>th</sup> Percentile</b>
Sales Managers	\$62,414	\$78,624	\$92,680
Business Analysis	\$64,390	\$77,027	\$89,275
Project and Program Managers	\$56,345	\$79,963	\$100,793
Client Support and Sales	\$49,294	\$66,610	\$80,395
Human Resources Specialists	\$44,472	\$59,949	\$73,628
Operations Managers	\$51,618	\$66,868	\$81,421
General Managers	\$55,530	\$71,195	\$107,543
Production Managers	\$54,381	\$65,752	\$86,314
Logistics and Supply Chain Analysts/Specialists	\$51,072	\$59,497	\$0
Logistics and Supply Chain Managers	\$47,435	\$68,559	\$90,895
Customer Service Managers	\$43,044	\$71,431	\$80,807
Human Services	\$41,762	\$45,144	\$0
Software Development	\$77,938	\$86,699	\$0
Office and Building Administration	\$48,654	\$50,900	\$75,061
Construction Managers	\$56,632	\$81,883	\$0
Network and Systems Engineering	\$0	\$91,783	\$83,329
Civil and Safety Engineering	\$0	\$81,208	\$82,176
Accounting Professionals	\$0	\$84,784	\$0

# VALIDATE: COMPETITIVE LANDSCAPE

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## PROJECT CRITERIA

Validate	Programs
Metro Areas (MSAs)	St. Louis, MO-IL
Degree Level	Bachelor's degree
Time Period	6/1/2018 - 5/31/2019
Selected Programs	Operations Management and Supervision (52.0205), Organizational Leadership (52.0213), Project Management (52.0211), Non-Profit/Public/Organizational Management (52.0206), Business Administration, Management and Operations, Other (52.0299), Social Sciences, Other (45.9999)
Career Outcomes mapped to Selected Programs of Study	Account Executive, Administrative Supervisor, Call Center Manager, Customer Service Manager, Project Manager, Account Manager / Representative, Human Resources Assistant, Recruiter, Policy Analyst, Logistician / Supply Chain Specialist, Business / Management Analyst, Compensation / Benefits Analyst, Administrative Manager, General Manager, Business Development / Sales Manager, Human Resources Manager, Program Manager, Operations Manager / Supervisor, Industrial-Organizational Psychologist, Social / Human Services Manager, Warehouse / Distribution Supervisor, Transportation Supervisor, Production Supervisor, Production Plant Manager, Transportation Manager, Storage / Distribution Manager, Quality Control Systems Manager, Construction Manager, Office / Administrative Assistant, Public Administrator, Supply Chain / Logistics Manager

## OVERVIEW

	#	% Change (2013-2017)
Degrees Conferred	18	0%
Number of Institutions	3	0%
Average Conferrals by Institution	6	0.00%
Median Conferrals by Institution	7	0.00%

## MARKET SHARE BY PROGRAM

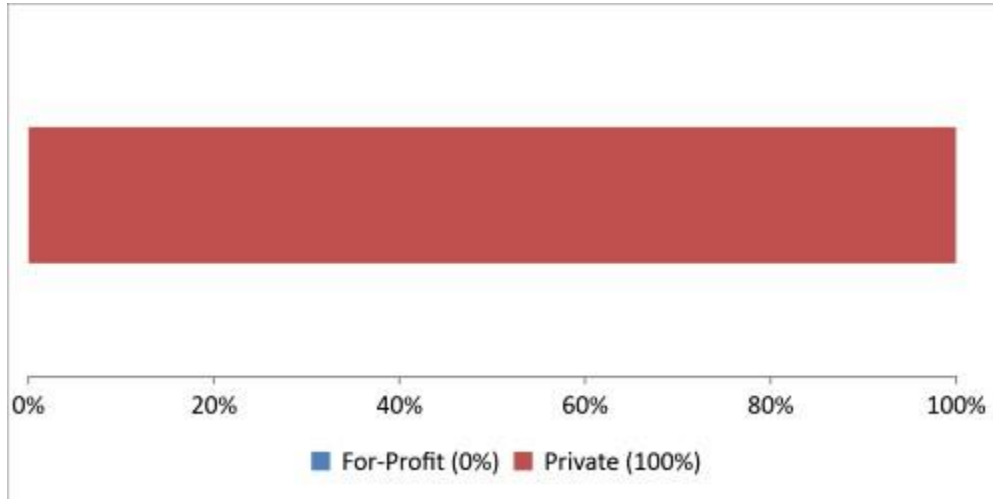


Program	Conferrals (2017)	Market Share (%)
Organizational Leadership	9	50.00%
Business Administration, Management and Operations, Other	9	50.00%
Project Management	0	0.00%



Non-Profit/Public/Organizational Management	0	0.00%
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### MARKET SHARE BY INSTITUTION TYPE



Institution Type	Conferrals (2017)	Market Share (%)
For-Profit	0	0.00%
Private	18	100.00%

### TOP 10 INSTITUTIONS

Institution	School Type	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
Blackburn College	Private	61.11%	0.00%	11	0.00%
Saint Louis University	Private	38.89%	38.89%	7	100.00%
ITT Technical Institute-Arnold	For- Profit	0.00%	0.00%		-100.00%
Lindenwood University	Private	0.00%	-38.89%	0	-100.00%

TOP 10 PROGRAMS

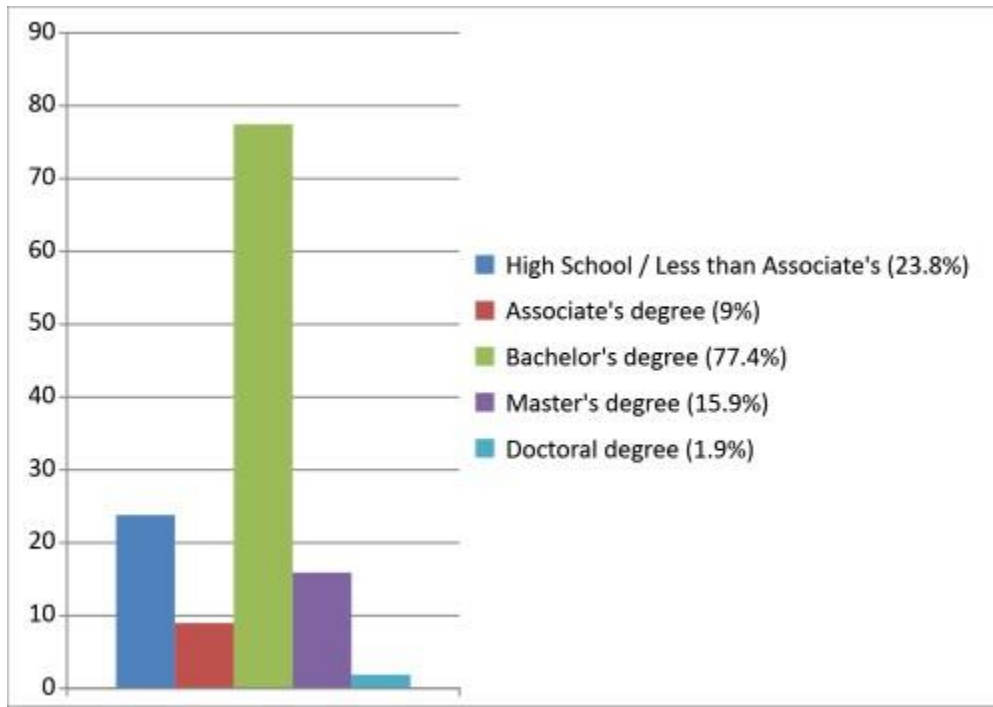
Program	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
Organizational Leadership	50.00%	44.44%	9	800.00%
Business Administration, Management and Operations, Other	50.00%	-5.56%	9	-10.00%
Project Management	0.00%	0.00%		-100.00%
Non- Profit/Public/Organizatio nal Management	0.00%	-38.89%	0	-100.00%

# VALIDATE: MARKET ALIGNMENT

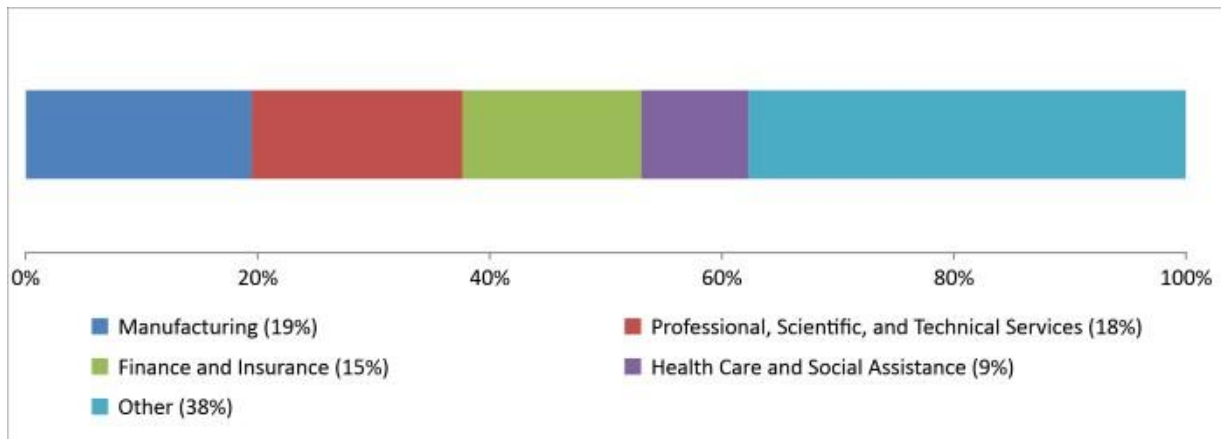
## PROJECT CRITERIA

Explore	Programs
Metro Areas (MSAs)	St. Louis, MO-IL
Degree Level	Bachelor's degree
Time Period	6/1/2018 - 5/31/2019
Selected Programs	Operations Management and Supervision (52.0205), Organizational Leadership (52.0213), Project Management (52.0211), Non-Profit/Public/Organizational Management (52.0206), Business Administration, Management and Operations, Other (52.0299), Social Sciences, Other (45.9999)
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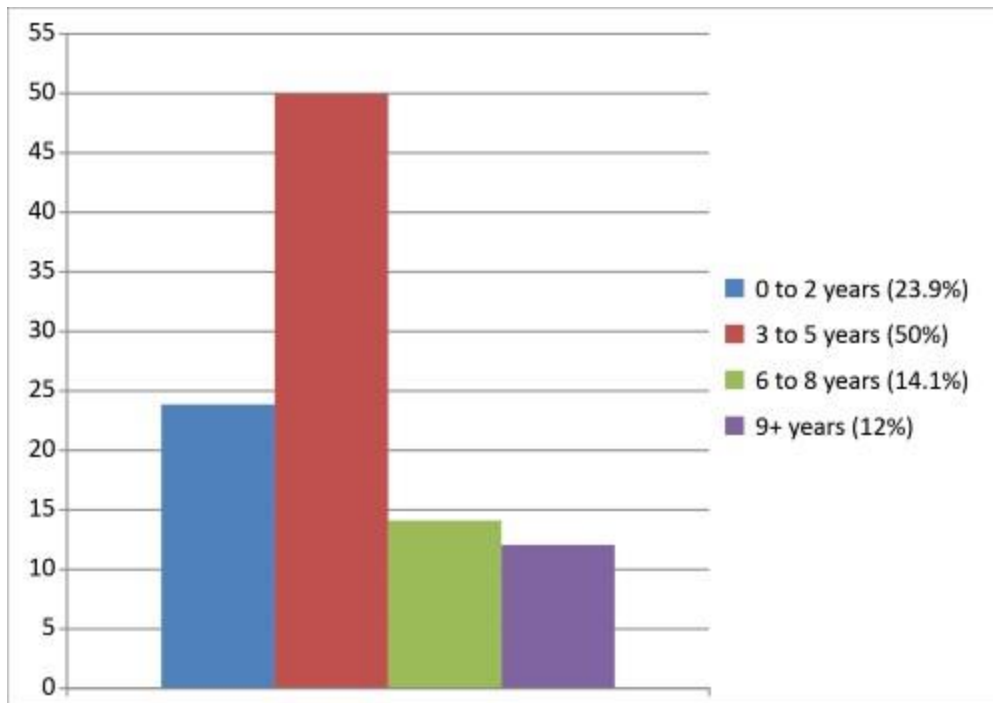
## JOB POSTINGS BY ADVERTISED EDUCATION (%)



## JOB POSTINGS BY INDUSTRY (%)



## JOB POSTINGS BY EXPERIENCE REQUESTED (%)



## TOP TITLES

### Experientie Level: All Experience

Title	Postings	Market Share (%)
Account Manager	893	6.47%
Business Analyst	881	6.38%
Project Manager	524	3.80%
Recruiter	309	2.24%
Sales Manager	243	1.76%
Program Manager	197	1.43%
Human Resources Manager	194	1.41%
Operations Manager	175	1.27%
Regional Sales Manager	169	1.22%

Account Executive	167	1.21%
Production Supervisor	166	1.20%
Territory Manager	158	1.15%
Senior Business Analyst	155	1.12%
Director of Sales	153	1.11%
Senior Project Manager	145	1.05%

## TOP EMPLOYERS HIRING

**Experience Level:** All Experience

Employer	Postings	Market Share (%)
Express Scripts	294	2.13%
U.S. Bancorp	255	1.85%
Anthem Blue Cross	145	1.05%
The Boeing Company	140	1.01%
Charter Communications	133	0.96%
Centene Corporation	123	0.89%
Health Net Incorporated	119	0.86%
Spectrum	119	0.86%
Washington University in St. Louis	111	0.80%
BJC Healthcare	100	0.72%
Mercy	100	0.72%
Enterprise Rent-A-Car	90	0.65%
Navisite Incorporated	74	0.54%

**Appendix C: Financial Projections Spreadsheet (attached as a separate Microsoft Excel file)**

Our financial projections were completed with the counsel and support of the office of the UMSL CFO. They are attached as a separate Microsoft Excel file.

## Appendix D: Curriculum Alignment Map

This chart confirms that the core and concentration courses in the BA Organizational Leadership program align with the program level outcomes we identified at the beginning of this process. Courses in this cross-walk are on the left and program objectives are on the top. Course are identified as either “I” - introducing a program objective, “D” – developing are expertise in the program objective, or M – confirming mastery of that program objective.

*Note: not all courses address all program objectives, but all program objectives are addressed over the program cycle.*

Curriculum Alignment Map: BA in Organizational Leadership							
<i>Program Objectives</i>							
<b>Program Courses</b>	UNDERSTANDING		COMMUNICATING	OPERATING		LEADING	
	Articulate a personal leadership style and evaluate her/s own performance for self-improvement	Demonstrate an understanding of organizational leadership theory as it relates to individuals, communities and wider societies	Communicate effectively with a variety of audiences in written, oral and non-verbal mediums	Demonstrate critical thinking and problem solving abilities regarding organizational challenges within the chosen emphasis area	Use tools specific to the chosen emphasis area to manage systems and organizational resources	Demonstrate an understanding of the ethical principles underlying effective organizational leadership	Lead teams in the development of innovative solutions to organizational challenges and opportunities within the chosen emphasis area
<b>CORE</b>							
INTDSC 2001	I	I	I	I	I	I	I
SOC 1010		D	D				D
COMM 1030	D		D				
COMM 2235			M		D		D
ENGL3100, 3120 or 3130			M				
INFOSYS 1800					D		
MGMT 3600		D		D			D
PHIL 1160	D					D	
PHIL 2254	D	D				M	
INTDSC 4001	M	M	D	M	M	D	M
<b>CONCENTRATIONS</b>							
MGMT 3611		D			D		D
MGMT 3612		D			D		D
MGMT 3625	D	D			D	D	D
SOC 1040		D		D	D		
SOC 1241				D	D		
SOC 2160				D	D		D
COMM 1150			D		D		
COMM 3150			D		D		D
COMM 3370			D		D		
CRIMIN 1100					D		D
CRIMIN 2240					D		D
CRIMIN 2250					D		D
COMM 1369			D		D		
COMM 3150			D		D		D
COMM 3368			D		D		
INFOSYS 2800					D		
INFOSYS 3841					D		
INFOSYS 3842					D		
SCMA 3300				D	D		D
SCMA 3301				D	D		
SCMA 3320				D	D		



## **Appendix E: Sample 2-year Degree Map**

One of the hallmarks of this program is that it provides a clear and understandable pathway to degree completion. This degree map provides an example of how a student would get from enrollment to graduation in 2-years. It provides our recommendation for the sequencing of core and elective courses. A similar, but personalized, road map will be provided for each BA in Organizational Leadership student.

## ORGANIZATIONAL LEADERSHIP BA

Complete your degree in **TWO YEARS** by following this checklist with year-round offerings. Below is a sample academic map for the courses to take each academic semester/session.

### Transfer Courses transferred

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	ALL GEN ED - AA OR AS DEGREE	42		ACCREDITED AA OR AS DEGREE	<input type="checkbox"/>
	PLA OR OTHER TRANSFER CREDITS	18		PORTFOLIO BUILT / EVALUATED DURING INTDSC 2001	<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits:</b>		<b>60</b>	<b>0</b>		

### Welcome to UMSL!

**1**

Year 1: Fall

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
INTDIS 2001	INTRO TO TO ORG LEADERSHIP	3	3		<input type="checkbox"/>
SOC 1010	INTRO TO SOCIOLOGY	3	3		<input type="checkbox"/>
COMM 2235	PROFESSIONAL COMMUNICATIONS	3	3		<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits:</b>		<b>9</b>	<b>9</b>		

Year 1: Winter Intersession

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>3</b>	<b>0</b>		

Year 1: Spring

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
ENGL 31xx	JR WRITING, BUS. WRITING, OR TECH. WRITING	3	3		<input type="checkbox"/>
INFSYS 1800	COMPUTERS AND INFO SYSTEMS	3	3		<input type="checkbox"/>
	CONCENTRATION AREA COURSE 1	3	3		<input type="checkbox"/>
	CULTURAL DIVERSITY ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>12</b>	<b>9</b>		

Year 1: Summer

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
COMM 1030	INTERPERSONAL COMMUNICATIONS I	3	3		<input type="checkbox"/>
MGMT 3600	MANAGEMENT AND ORG BEHAVIOR	3	3		<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>6</b>	<b>6</b>		
<b>Total credits for the year (must be AT LEAST 30)</b>		<b>30</b>			

**2**

Year 2: Fall

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
PHIL 1160	CRITICAL THINKING	3	3		<input type="checkbox"/>
	CONCENTRATION AREA COURSE 2	3	3		<input type="checkbox"/>
	CONCENTRATION AREA COURSE 3	3	3		<input type="checkbox"/>
	LANGUAGE OR ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>12</b>	<b>9</b>		

Year 2: Winter Intersession

Advising note: Keep Gen Ed requirements in mind

FIRST YEAR WRITING 3HRS	COMMUNICATION PROFICIENCY 3HRS	MATHEMATICS PROFICIENCY 3HRS	INFORMATION LITERACY 3HRS	US HISTORY & GOVERNMENT 3HRS
<b>HUMANITIES &amp; FINE ARTS</b> <b>9HRS</b>	<b>SOCIAL SCIENCES</b> <b>9HRS</b>	<b>MATH &amp; SCIENCES</b> <b>9HRS</b>		

### General Education Tracking

			Fulfilled?	When?
<b>Core</b>	First Year Writing	3 Hours	<input checked="" type="checkbox"/>	AA/AS
	Communication	3 Hours	<input checked="" type="checkbox"/>	AA/AS
	Math	3 Hours	<input checked="" type="checkbox"/>	AA/AS
	Info Lit	3 Hours	<input checked="" type="checkbox"/>	AA/AS
<b>Explore</b>	US History & Govt	3 Hours	<input checked="" type="checkbox"/>	AA/AS
	Humanities	9 Hours	<input checked="" type="checkbox"/>	AA/AS
	Social Sciences	9 Hours	<input checked="" type="checkbox"/>	AA/AS
	Math & Sciences	9 Hours	<input checked="" type="checkbox"/>	AA/AS

### Graduation Requirement Tracking

Courses				
	Cultural Diversity	3 Hours	<input checked="" type="checkbox"/>	
	Junior-Level Writing	3 Hours	<input checked="" type="checkbox"/>	
	Milestone courses identified		<input checked="" type="checkbox"/>	
<b>Hours</b>	30-45 credits a year		<input checked="" type="checkbox"/>	
	9 hours in major in 1st Year		<input checked="" type="checkbox"/>	
	45 hours (in total) at 2000 or above		<input checked="" type="checkbox"/>	
	Meet degree requirement hours		<input checked="" type="checkbox"/>	
	Meet UMSL hours (120)		<input checked="" type="checkbox"/>	

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
PHIL 2254	BUSINESS ETHICS	3	3		<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		3	3		

Year 2: Spring

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
INTDSC 4001	ORG LEADERSHIP CAPSTONE	3	3		<input type="checkbox"/>
	LANGUAGE OR ELECTIVE	3			<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		12	3		

Year 2: Summer

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	LANGUAGE OR ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		3	0		

Total credits for the year (must be AT LEAST 30) **30**

**Degree Complete!**

## **Appendix F: Sample 3-year Degree Map**

One of the hallmarks of this program is that it provides a clear and understandable pathway to degree completion. This degree map provides an example of how a student would get from enrollment to graduation in 3 years. It provides our recommendation of the sequencing of core and elective courses. A similar, but personalized, road map will be provide for each BA in Organizational Leadership student.

## **Appendix F: Sample 3-year Degree Map**

One of the hallmarks of this program is that it provides a clear and understandable pathway to degree completion. This degree map provides an example of how a student would get from enrollment to graduation in 3 years. It provides our recommendation of the sequencing of core and elective courses. A similar, but personalized, road map will be provide for each BA in Organizational Leadership student.

## ORGANIZATIONAL LEADERSHIP BA

Complete your degree in **THREE YEARS** by following this checklist with year-round offerings. Below is a sample academic map for the courses to take each academic semester/session.

### Transfer Courses transferred

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	TRANSFER CREDITS	12		WRITING, SOCIAL SCIENCE, GOVT, SCIENCE	<input type="checkbox"/>
	PLA OR OTHER TRANSFER CREDITS	15		FREE ELECTIVES	<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits:</b>		<b>27</b>	<b>0</b>		

### Welcome to UMSLI

#### 1 Year 1: Fall

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
INTDIS 2001	INTRO TO TO ORG LEADERSHIP	3	3		<input type="checkbox"/>
SOC 1010	INTRO TO SOCIOLOGY	3	3		<input type="checkbox"/>
COMM 2235	PROFESSIONAL COMMUNICATIONS	3	3		<input type="checkbox"/>
	SCIENCE ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits:</b>		<b>12</b>	<b>9</b>		

#### Year 1: Winter Intersession

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	HUMANITIES/FA ELECTIVE COURSE	3			<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>3</b>	<b>0</b>		

#### Year 1: Spring

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
ENGL 3120	BUSINESS WRITING (OR TECH WRITING)	3	3		<input type="checkbox"/>
INFSYS 1800	COMPUTERS AND INFO SYSTEMS	3	3		<input type="checkbox"/>
MATH 1020	CONTEMPORARY MATH	3			<input type="checkbox"/>
	CULTURAL DIVERSITY ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>12</b>	<b>6</b>		

#### Year 1: Summer

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
COMM 1030	INTERPERSONAL COMMUNICATIONS I	3	3		<input type="checkbox"/>
	HUMANITIES/FA ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>6</b>	<b>3</b>		
<b>Total credits for the year (must be AT LEAST 30)</b>		<b>33</b>			

#### 2 Year 2: Fall

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
PHIL 1160	CRITICAL THINKING	3	3		<input type="checkbox"/>
MGMT 3600	MANAGEMENT AND ORG BEHAVIOR	3	3		<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
	LANGUAGE 1 OR ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
<b>Total credits</b>		<b>12</b>	<b>6</b>		

#### Year 2: Winter Intersession

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
					<input type="checkbox"/>

Advising note: Keep Gen Ed requirements in mind

FIRST YEAR WRITING	COMMUNICATION PROFICIENCY	MATHEMATICS PROFICIENCY	INFORMATION LITERACY	US HISTORY & GOVERNMENT
HUMANITIES & FINE ARTS 9 HRS	SOCIAL SCIENCES 9 HRS	MATH & SCIENCES 9 HRS		

#### General Education Tracking

Core	Course	Hours	Fulfilled?	When?
	First Year Writing	3 Hours	<input checked="" type="checkbox"/>	TRANSFERED
	Communication	3 Hours	<input checked="" type="checkbox"/>	FALL 1
	Math	3 Hours	<input checked="" type="checkbox"/>	spring 1
	Info Lit	3 Hours	<input checked="" type="checkbox"/>	spring 1
	US History & Govt	3 Hours	<input checked="" type="checkbox"/>	TRANSFERED
Explore	Humanities	9 Hours	<input checked="" type="checkbox"/>	complete spring 2
	Social Sciences	9 Hours	<input checked="" type="checkbox"/>	COMPLETED FALL 2
	Math & Sciences	9 Hours	<input checked="" type="checkbox"/>	complete spring 2

#### Graduation Requirement Tracking

Courses	Requirement	Hours	Fulfilled?	When?
	Cultural Diversity	3 Hours	<input checked="" type="checkbox"/>	SPRING 1
	Junior-Level Writing	3 Hours	<input checked="" type="checkbox"/>	SPRING 1
	Milestone courses identified		<input checked="" type="checkbox"/>	
Hours	30-45 credits a year		<input checked="" type="checkbox"/>	
	9 hours in major in 1st Year		<input checked="" type="checkbox"/>	
	45 hours (in total) at 2000 or above		<input checked="" type="checkbox"/>	
	Meet degree requirement hours		<input checked="" type="checkbox"/>	
	Meet UMSL hours (120)		<input checked="" type="checkbox"/>	

PHIL 2254	BUSINESS ETHICS	3	3		<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		3	3		

Year 2: Spring

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	CONCENTRATION AREA COURSE 1	3	3		<input type="checkbox"/>
	LANGUAGE 2 OR ELECTIVE	3			<input type="checkbox"/>
	HUMANITIES / FA ELECTIVE	3			<input type="checkbox"/>
	SCIENCE ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		12	0		

Year 2: Summer

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	ELECTIVE	3			<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		6	0		

Total credits for the year (must be AT LEAST 30) **33**

**3**

Year 3: Fall

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	CONCENTRATION AREA COURSE 2	3	3		<input type="checkbox"/>
	LANGUAGE 3 OR ELECTIVE	3			<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		12	0		

Year 3: Winter Intercession

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
	ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		3	0		

Year 3: Spring

Course Number	Course Name	Credits	Credits toward major	Notes	Milestone Course
INTDSC 4001	ORG LEADERSHIP CAPSTONE	3	3		<input type="checkbox"/>
	CONCENTRATION AREA COURSE 3	3	3		<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
	ELECTIVE	3			<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
Total credits		12	6		

Total credits for the year (must be AT LEAST 27 - without summer) **27**

**Degree Complete!**

## **New Degree Program, Master of Science in Business "Stackable Certificates", MU Executive Summary**

This proposal details how an **MS in Business** degree can be built around existing and new certificate programs, which can be combined or “stacked” in unique ways to fulfill degree requirements. The concept behind “**Stackable Certificates**” is somewhat new in higher education. The format of the MS in Business degree program, proposed herein by the **Trulaske College of Business (TCoB)** and with cooperation across campus and the UM System, will be unique within higher education. Specifically, we believe it will be the first university program in the nation to provide an avenue for students to combine business certificates, certificates offered jointly by business and another college (e.g., law, engineering), and/or certificates offered by other colleges at MU (e.g., engineering, law, CAFNR, medicine, A&S, etc.) or UM System business schools. In this regard, students can *customize* a degree which is either narrowly focused on business, or is truly *interdisciplinary* with a solid business foundation.

The basic framework for the degree involves **three components**: 1) a required set of *Core Business Foundations* courses offered by the TCoB, perhaps as a certificate, *and* 2) choice of a certificate offered by the TCoB, *and* 3) choice of another certificate offered by the TCoB, OR an approved certificate offered by another college on campus, OR an approved certificate offered by another business school in the UM System. Certificates incorporate a minimum of 12 credit hours of required and elective courses around a single focused theme, delivered at the master’s level using in-seat (on-campus), on-line, or hybrid format. Some of the certificates used to satisfy MS degree requirements already exist, others are currently in development, and others will be added over time to reflect student demand and faculty expertise. We are encouraging units within the TCoB to develop programs in on-line format to improve our ability to attract net new students, and particularly adult learners seeking a graduate degree.

***This proposal focuses on the requested approval for the framework for the MS in Business degree.*** Unlike other stand-alone degree program proposals, where the curriculum is clearly established within a single disciplinary framework, the MS in Business (Stackable Certificates) degree allows for unique combinations of existing certificates. As a result, the curriculum, revenue, and cost basis for the program is not straightforward to delineate. However, given that the degree will be comprised of *existing* certificates, and will primarily leverage *existing* resources and infrastructure, the marginal cost to offer the degree will be small.

The landscape of higher education is evolving. Students are expecting easier access to education (e.g., online formats), more micro-credentialing or modular programs, and the ability to customize and choose interdisciplinary programs. The creation of the MS in Business degree will allow us to combine existing resources to evolve with the educational market and to meet these expectations. More generally, increasing our online and certificate-based options will help us **build capacity**, which will allow us to more easily offer programs to corporate partners and international students (e.g., 3 + 1 + 1 programs), and provide additional opportunities for students in existing programs such as our residential, two-year Crosby MBA). In fact, given the changing landscape graduate



education in business, the additional capacity represented by certificates aligned with the MS in Business degree, particularly those offered on-line, will potentially allow MBA students more options in the completion of their degree, thereby strengthening our existing Crosby MBA program through added flexibility. In summary, the MS in Business degree, and the Stackable Certificates approach more generally, will help us meet a number of specific strategic goals in the TCoB, MU, and the UM System. These include:

- 1) Increasing access to Missouri residents, corporate partners, and extending our global reach
- 2) Increasing our graduate degree completions, particularly for online students
- 3) Developing new modular and interdisciplinary programs

No.2

Recommended Action – MS Business, University of Missouri, Columbia

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President Mun Choi, recommended by the Academic, Student Affairs, & RED 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 MS Business to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Chatman  
Curator Layman  
Curator Snowden  
Curator Williams

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

Roll call vote of the Board: YES NO

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

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

**University of Missouri - Columbia**

**Master of Science in Business  
New Graduate Degree Program Proposal**

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## Executive Summary

This proposal details how an **MS in Business** degree can be built around existing and new certificate programs, which can be combined or “stacked” in unique ways to fulfill degree requirements. The concept behind “**Stackable Certificates**” is somewhat new in higher education. The format of the MS in Business degree program, proposed herein by the **Trulaske College of Business (TCoB)** and with cooperation across campus and the UM System, will be unique within higher education. Specifically, we believe it will be the first university program in the nation to provide an avenue for students to combine business certificates, certificates offered jointly by business and another college (e.g., law, engineering), and/or certificates offered by other colleges at MU (e.g., engineering, law, CAFNR, medicine, A&S, etc.) or UM System business schools. In this regard, students can *customize* a degree which is either narrowly focused on business, or is truly *interdisciplinary* with a solid business foundation.

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***This proposal focuses on the requested approval for the framework for the MS in Business degree.*** Unlike other stand-alone degree program proposals, where the curriculum is clearly established within a single disciplinary framework, the MS in Business (Stackable Certificates) degree allows for unique combinations of existing certificates. As a result, the curriculum, revenue, and cost basis for the program is not straightforward to delineate. However, given that the degree will be comprised of *existing* certificates, and will primarily leverage *existing* resources and infrastructure, the marginal cost to offer the degree will be small.

The landscape of higher education is evolving. Students are expecting easier access to education (e.g., online formats), more micro-credentialing or modular programs, and the ability to customize and choose interdisciplinary programs. The creation of the MS in Business degree will allow us to combine existing resources to evolve with the educational market and to meet these expectations. More generally, increasing our online and certificate-based options will help us **build capacity**, which will allow us to more easily offer programs to corporate partners and international students (e.g., 3 + 1 + 1 programs), and provide additional opportunities for students in existing programs such as our residential, two-year Crosby MBA). In fact, given the changing landscape graduate

education in business, the additional capacity represented by certificates aligned with the MS in Business degree, particularly those offered on-line, will potentially allow MBA students more options in the completion of their degree, thereby strengthening our existing Crosby MBA program through added flexibility. In summary, the MS in Business degree, and the Stackable Certificates approach more generally, will help us meet a number of specific strategic goals in the TCoB, MU, and the UM System. These include:

- 1) Increasing access to Missouri residents, corporate partners, and extending our global reach
- 2) Increasing our graduate degree completions, particularly for online students
- 3) Developing new modular and interdisciplinary programs

## 1. Introduction

### Why the MS in Business “Stackable Certificates” program, and why now?

Trends in higher education, and particularly in graduate-level business education, are moving toward more **flexibility**, **customization**, and more **interdisciplinary** options. At the same time, the proliferation of online programs and for-profit universities raises concerns about program **rigor**. If we want to retain students, and attract new students, we have to design programs that meet these needs effectively, and are backed-up by the quality orientation of MU as Missouri’s flagship university.

**Flexibility** implies that students can complete coursework at a speed that works for them (e.g., part-time while working and/or parenting), and in a place that is convenient for them (i.e., off campus or on-campus). The MS in Business degree will allow part-time students to complete the degree at their pace. In addition, although some programs might offer some certificates and/or some courses on campus, we predict that most certificates will be offered with the flexibility of an online format. Importantly, the stackable certificate approach will allow students to gain transcriptable graduate credentials as they work their way through the program. For example, a student who withdraws from the program after completing a single certificate will still have that certificate transcribed as part of their permanent academic record. This might be particularly appealing (and marketable) to students who are concerned about their ability to complete the full degree, and who want to have something concrete to show for their efforts if they must cut their degree short.

**Customization** implies that a one-size-fits all approach might not appeal to all degree seekers. Although general degree programs such as the MBA typically allow students to take electives for breadth, and specialized masters programs (e.g., MS in Finance) offer considerable depth within a single discipline, the MS in Business will allow students to achieve a high level of depth based on the focused curriculum in the certificates they choose, and also allows a for breadth through the ability to choose very different certificates to include in their degree. The MS in Business degree will allow students to determine a path to the degree that best fits their needs and interests. For example, a prospective student with a bachelor’s degree who is an employee at a financial firm might wish to pursue the MS in Business with certificates in “Investments” and in “Tax” to enable her to better serve existing clients and improve her promotability. Similarly, a student who works as a dispatcher in the office of a trucking firm might want to do some coursework in global supply chain management and dispute resolution (law) in order to help clients craft better processes and to negotiate contracts with those clients. As another example, a current MU undergraduate student in Textile and Apparel Management (TAM) might wish to start his own business, but realizes that his basic business skills are lacking. For him, the MS in Business is appealing because it comes from a school he trusts, the Core curriculum gives him a broad understanding of business, and he can add on graduate certificates in Entrepreneurship and TAM to focus on the specific skills he will need to start his business one day. Finally, another MU student hears about the certificate in Marketing Analytics taught in-seat at MU, and decides to take some of the

classes in her final year in her undergraduate program. She plans to stay an extra semester past graduation to complete the certificate, and plans to go on the job market after that semester. After she gets a job, she will work on completing her MS in Business as a part-time student through on-line options.

**Interdisciplinary** refers to the ability to take coursework from multiple disciplines toward one's degree. The MS in Business will be interdisciplinary in two ways. First, we anticipate that some of the certificates offered through the program will be sponsored jointly by two or more MU Colleges. For example, a Global Supply Chain Management certificate currently under development will be offered by Engineering, Management (TCoB), and CAFNR. Similarly, a certificate in Human Resource Management is being developed that would be jointly sponsored by Management (TCoB) and Law. Second, approved certificates offered by MU colleges outside of the TCoB will be allowed as a component for the degree. We anticipate being fairly *inclusive* in developing the list of non-TCoB certificates allowed for stacking in the MS in Business degree, as we want *students* to determine what best fits with *their* goals.

Finally, **rigor** refers to the quality, challenge, and thoroughness of the program. The flexibility, customizability, and interdisciplinary nature of the MS in Business degree will in no way compromise the rigor underlying each certificate. First, each certificate will be fully vetted through normal campus, system, and state review procedures. At each step in that process, individual certificates should be evaluated for rigor, relevance, and excessive duplication. In addition, at the academic unit level, the units will be responsible for maintaining the academic rigor and relevance of their certificates, including staffing, the determination of any pre-requisites, and monitoring the quality of individual courses. Also, one of the advantages of a certificate-based degree is that because certificates are comprised of a relatively small number of courses (typically just 4-5), the home units for those certificates are not as heavily committed to their continuation as they might be for larger programs (e.g., 30-60 credit hour master's programs). Therefore, decisions to update, discontinue, or replace certificates with more up-to-date and relevant curricula will be easier to make than they would be for full master's programs, because the changes are smaller and less disruptive. Finally, the MS in Business degree program will be overseen by a standing faculty committee (TCoB's Master's Programs Policy Committee), which will evaluate all certificates proposed for inclusion for relevance within the MS in Business framework. Specifically, they will determine whether each certificate can be meaningfully and plausibly combined with the Core curriculum and other business certificates to advance individuals' careers and/or job prospects.

#### Program Success and Administration

Responsibility for the success of the program will be shared among five parties:

- 1) The administration and success of the overall program will lie with the **Associate Dean for Graduate Studies and Research in the TCoB** (Dr. Chris Robert). This includes overseeing the process of including certificates from the TCoB, other colleges at MU, and other business schools in the UM System.



- 2) The TCoB's **standing faculty committee on graduate programs, the Master's Programs Policy Committee**, will a) review all certificates for initial inclusion in the MS in Business framework (i.e., review syllabi, content, learning goals, and potential overlap with other certificates), b) periodically review certificates being offered within the program, as well as courses being offered in the Core, and c) identify and approve new certificates to include within the MS in Business framework.
- 3) The day-to-day operation of the program (i.e., admissions, recruiting, student services) will be overseen by the **Director of the TCoB Graduate Programs Office (GPO)**, Jana Stern. Jana and her staff (three advising and student services staff, four admissions and recruitment staff) will ensure that all materials pertaining to the degree program are up to date in print and online, and will be prepared to answer student inquiries about the program, its costs, and requirements. We believe we currently have capacity to serve the MS in Business degree program, but we will be able to expand these core services by adding staff contingent upon meeting enrollment projections. The Director of the GPO will also work with the Associate Dean and the **Director of Marketing Communications** to develop plans for advertising and marketing the MS in Business degree.
- 4) The GPO will be in close contact with the individuals designated to be the faculty coordinators for their respective certificates. **Faculty certificate coordinators** will help communicate certificate-specific information such as pre-requisites and possible course substitutions to the GPO staff.
- 5) Finally, **academic units and their chairs** will be responsible for their respective certificates. In particular, academic units ensure appropriate staffing of courses, evaluation of learning goals, and make determinations about whether enrollments are sufficient to continue offering certificates.

### Curriculum Overview

We have chosen to include an extensive description of the curriculum here, early in this proposal, because the unique nature of this program requires that the reader understands the basic structure in order to follow the remainder of this proposal. The concept underlying the proposed MS in Business degree is that stand-alone certificates can be combined or "stacked" to fulfill the degree requirements. The basic structure of the degree would involve **3 components**:

1) Core Business Foundations Curriculum: A business "Core" of 12 credit hours (CH) has been designed and approved by Trulaske College of Business (TCoB) faculty to introduce students to graduate-level concepts in each of the primary business disciplines (Accounting, Finance, Management, and Marketing). We also hope to submit this curriculum as an independent certificate that can be taken as a stand-alone certificate pending approval.

AND

2) Business Certificate A: Students would choose a certificate (12 CH minimum, typically 12 or 15 CH) offered by the TCoB, or jointly between the TCoB and another college from a list of certificates designated by the TCoB as eligible for the MS in Business. These certificates will likely include courses that are part of existing or planned MS programs or other curriculum offered in the TCoB, though new certificates can be added to reflect student demand and faculty expertise.

AND

3) Business Certificate B: Students choose an additional certificate (12 CH minimum) from the TCoB list

OR

3) Other College Certificate: The TCoB's Master's Programs Policy Committee will identify and approve a list of certificates offered by other schools and colleges at MU or from business schools within the UM System that are eligible to be "stacked." We expect to be fairly inclusive with this list, as we want to allow students the flexibility to craft a degree as *they* see fit, not as *we* see fit. Students can choose a certificate from this menu. All certificates to be included in this list will have been independently approved by the UM System, and will be available to students independent of the MS in Business degree program.

#### Required Hours

The MS in Business program requires 30 CH minimum (36 CH with up to 6 CH waived—see below). Of the 30 CH, a minimum of 21 hours needs to originate from TCoB courses or courses from certificates jointly offered by the TCoB and one or more other colleges. For example, if the TCoB and College of Engineering jointly offer a 12 CH certificate in Global Supply Chain Management, all 12 hours can count toward the 21 CH minimum. Undergraduate students with any required prerequisites may take graduate level courses to count toward the MS in Business, but will need to pay any program fees associated with those courses.

The Graduate School typically sets a maximum for transfer of graduate credit to 20% of credit hours (effectively 6 CH). There are some programs at MU for which exceptions have been made. With this proposal we are seeking a waiver of this rule such that students who take an approved certificate from one of the UM System business schools be allowed to count all of the credit hours required for that certificate toward the MS in Business degree. Thus, if a student takes a certificate from UMSL, UMKC, or S&T that requires 12-18 CH, the hosting school would confer the certificate, and all hours could be counted toward the MS in Business degree conferred by MU. Students are still held to the 21 CH minimum noted in the preceding paragraph.

## The Core

The “Core Business Foundations” courses have been approved by the faculty, and include 3 CH from each of the TCoB’s four academic departments: Accountancy, Finance, Management, and Marketing. These courses represent graduate level curriculum deemed necessary for an appreciation of fundamental concepts. The specific courses all exist, and all are part of the first year curriculum for the Crosby MBA program. All courses are currently being taught in-seat. In addition, Acct 7310, Fin 7410, and Fin 7210 are available in online format, as they are required courses within the Master of Accountancy (MAcc) and MS in Finance (MSF) programs, respectively. Mktg 7470, Mktg 7460, Mngt 7390, and Mngt 7970 will need to be converted into online versions. Courses include:

- Accounting for Managers (7310, 3 CH)
- Managerial Finance (7410, 1.5 CH)
- Microeconomics for Business (7210, 1.5 CH)
- Advanced Marketing Management (7470, 1.5 CH)
- Managerial Marketing (7460, 1.5 CH)
- Org Behavior and Management: Dyadic, Group, and Org Processes (7390, 1.5 CH)
- Intro to Strategic Management (7970, 1.5 CH)

## Waivers

Students will be able to *waive up to 6 CH* from the Core. However, if the Core is converted into a 12 CH certificate, they would not be eligible to receive the certificate in Core Business Foundations. The degree minimum 30 CH still applies, and students need to complete the minimum number of independent CH for each certificate.

- Students who graduate with an undergraduate degree in business can waive the 3 CH associated with their major/emphasis area (e.g., a finance major can waive Fin 7410 and Fin 7210). This is not a waiver based on completion of a specific course. Rather, the TCoB believes that students who completed an undergraduate major in one of the business disciplines would have already covered the content associated with the 3 CH in the Core in that discipline.
- Students who complete a course from the Core which is *also* included in a certificate as a required or elective course can waive that course in the Core.
- If students wish to complete the Core Business Foundations certificate, as well as two or more TCoB certificates that include Core courses, they can substitute a class from the Core with an elective within the certificate if available (to complete the minimum number of CH required for the certificate), or they can request that a substitute course be offered by the certificate coordinator/department.

## Waiver Examples

- Example A: A student with an undergraduate degree in accounting can waive the 3 CH Accounting for Managers (7310) course from the Core. In addition, if that same student chooses a 12 CH certificate from Marketing that requires completion

of Marketing 7470 and Marketing 7460 (1.5 CH each), they could take those two courses, and count them toward the Marketing certificate (which requires completion of 12 CH), and they would be waived from the Core (i.e., credit hours cannot be double-counted, though the student can use courses to fulfill or waive requirements). Thus, that student would get 6 CH from Core courses, 12 CH from the Marketing certificate, and could then take another 12 CH (min) certificate to complete the degree with 30 CH. If the Core is approved in the future as a stand-alone certificate, this student would have to work with the Core certificate coordinator to identify an additional 6 CH to fulfill the Core certificate requirements.

- Example B: A student wishes to complete the Core Business Foundations certificate (if approved) and takes all 12 CH within the certificate. That same student wishes to take a certificate offered by the Accounting department that requires Accounting 7310. That student can either a) take an available elective offered for that certificate, or b) if no elective is listed, the student can request that an alternative course be identified by the certificate coordinator. If the student takes another 12 CH certificate, that student would graduate with 36 CH, and three transcriptable certificates.

## 2. Fit With University Mission and Other Academic Programs

### 2.A. Alignment With Mission and Goals

#### Campus Goals

In addition to the more general goal of enhancing access to Missouri students as part of our flagship mission, the MS in Business degree program will help meet a number of goals within MU's strategic plan. Most notably, the proposed program is in line with strategies listed under "Goal 1: Increase the annual number of undergraduate, graduate/professional degree programs and graduate credential completions to 10,000 by 2023" (see p. 13 of the plan). One of those strategies is to **"Include stackable certificates,"** and the degree program proposed herein is the first of which we are aware to address this goal and strategy. In addition, the proposed degree represents an interdisciplinary program (both between and within certificates) which is consistent with the Goal 1 strategy of **"Develop new and revise existing interdisciplinary undergraduate and graduate degree programs."** It is also clearly consistent with the strategy **"Develop structured course pathways toward degree completion for online students."** We also suspect that MU alumni will be our best recruiting base, and that many alumni will be attracted to our certificates or the full MS program. This is consistent with the strategy **"Increase continuing education opportunities for MU Alumni."**

#### Trulaske College of Business Goals

The TCoB has recently undergone a strategic planning process. The MS in Business degree program is strongly supportive of the mission, goals, and priorities identified in

our 5-year strategic plan. For example, one aspect of our mission is to “**Attract exceptional students and prepare them for success as global citizens, business leaders, scholars, innovators, and entrepreneurs.**” The MS in Business degree’s focus on *modular education* (one of our strategic priorities) should help us reach new students to whom we have had limited access in the past. It will provide students with educational opportunities in a more flexible, market-adaptable manner. This will be particularly true for certificates delivered in online or hybrid formats, and we anticipate that many certificates within the MS in Business framework will be delivered either in a fully or partially online format. Moreover, the nimble nature of certificate programs (see above) should enable our program offerings to stay on the cutting edge.

Another mission defined by our strategic plan is to “**Activate our teaching, research, and mentorship for emerging learning environments.**” The MS in Business degree is specifically designed to allow us to take a major leap forward in delivering our programs in new ways that meet the needs of today’s students. Finally, one of our strategic priorities is “**Global Engagement.**” The MS in Business degree program, with the majority of programs being offered in online format, will allow us to more easily reach students from across the globe. Moreover, it will enable us to develop capacity in our offerings such that global partnerships with other universities can be developed to offer programs such as 3 + 1 + 1, or 2 + 2 + 1, which can leverage our new fully-online BS/BA program.

### Department Goals

Departments within the TCoB can use the MS in Business platform to provide educational programs that are consistent with the development of their individual strengths. Some certificate programs will be developed from existing or proposed master’s degree programs that capitalize on each unit’s strengths. For example, the Marketing Department has developed strengths in **Sales and Customer Development**, including a center. At the undergraduate level, they have developed a very popular certificate program, and they are developing a proposal for a graduate certificate in Sales and Customer Development. In addition, the Marketing department has an existing in-seat **Marketing Analytics** certificate which will be available to students in the MS in Business degree program. Having some in-seat certificates might allow undergraduate students who are completing their bachelors to begin graduate work while still on campus. The Management department has proposed an **MS in Entrepreneurship and Innovation** degree program as part of their focus on developing teaching and research expertise in that area (including the new Center for Entrepreneurship and Innovation). They, too, will develop one or more certificate programs from existing or proposed coursework in that space. In addition, the Management department (in cooperation with Engineering) has proposed a graduate certificate in **Global Supply Chain Management** which was recently approved by MDHE. Both the School of Accountancy and the Department of Finance have new master’s programs that started in Fall 2018. Both of those units are working on developing certificate programs from their existing course offerings in those programs, or are in the process of removing in-degree designation on their certificates (e.g., **Taxation, Auditing/Assurance, and Investments**).

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

Because of its interdisciplinary nature, the MS in Business degree would be unique to the TCoB, MU and UM System, and based our research, to higher education more generally.

There will always be some potential for duplication in specific certificates offered by different campuses. The approval process for certificates at the campus, system, and MDHE levels should reasonably be expected to monitor excessive duplication.

That being said, it is important to make two points about duplication:

A) Some graduate degree programs and certificates are duplicated because they are in high demand, are core programs within the discipline (e.g., MBA programs), and/or leverage existing resources on each campus. Also, there is often student demand locally and/or in online platforms that does not necessarily represent cross-campus competition. Some duplication, therefore, is expected and healthy for bringing in students to our campuses who might otherwise go to a non-System campus.

B) One of the potential benefits of the MS in Business framework is that it allows for non-duplicated certificates at non-MU campuses within the UM System to be offered as a certificate to our students. For example, UMKC (Bloch) offers a certificate in Urban Policy Administration that is not offered elsewhere in the system. Similarly, UMSL offers certificates in Digital and Social Media Marketing, and Cybersecurity, and S&T offers certificates in Human-Computer Interaction and User Experience, and Enterprise Resource Planning (ERP) that are not offered at MU. We would like some of these certificates to be made available as options for students to “stack” for the MS in Business degree. We believe this type of certificate sharing within the UM System would help bring net new students to all participating campuses, and would be an effective use of System resources. The TCoB has been in contact with Deans and other administrators at each UM System campus, and will be pleased to continue working with them to identify certificates that could be included within the MS in Business framework.

## **3. Business-Related Criteria and Justification**

### **3.A. Market Analysis**

#### **3.A.1. Need for Program**

Assessing market need for any program requires the compilation of evidence from multiple sources, and cannot be assessed with certainty. That being said, there are many reasons to believe that the MS in Business degree program specifically, and a move toward more micro-credentialing in general (e.g., certificates) will help MU keep up with trends in student demand, employer demand, and the shifting nature of higher education. In this regard, we note the following:

Specific Occupational Trends: To illustrate how the MS in Business would fulfill market need, we note data from the **Bureau of Labor Statistics** (BLS) for a number of

occupational titles that are a close fit with specific certificates that will be included within the Stackables framework. Specific job titles, salary and outlook data include:

- *Operations Research Analysts*: Median salary \$83,390; Job outlook +27% (much faster than average)—supported by “Global Supply Chain Management” certificate
- *Market Research Analysts*: Median salary, \$63,120; Job outlook +23% (much faster than average)—supported by “Marketing Analytics” certificate
- *HR Managers*: Median salary, \$113,300; Job outlook +9% (as fast as average)—supported by “Human Resource” certificate
- *Training and Development Managers*: Median salary, \$111,340; Job outlook +10% (faster than average)— supported by “Human Resources” certificate
- *Financial Analyst*: Median salary \$85,660; Job outlook +11% (faster than average)—supported by “Investments” and/or “Tax” certificates
- *Sales Manager*: Median salary \$124,220; Job outlook +7% (as fast as average)—supported by “Sales” certificate
- *Financial Examiner*: Median salary \$80,180; Job outlook +10% (faster than average)—supported by “Audit” and/or “Tax” certificates
- *Financial Manager*: Median salary \$127,990; Job outlook +19% (much faster than average)—supported by “Investments” certificate

Within this data, it is important to note:

- Salary data indicates that salaries for these illustrative job titles are good to excellent. Additional **data provided by Mizzou Online and sourced from Burning Glass** indicates that there were 559,159 postings that specifically listed a master’s degree in business as a specific educational qualification. The average salary for incumbents in those jobs was over \$93,000.
- Job outlook data (BLS projections through 2026) indicate positive growth in all job categories, and some job titles expect faster or “much faster than average” job growth. Broader **data sourced from Burning Glass** indicates that job categories typically requiring a master’s in business are experiencing at least average growth. Appendix C provides a graph of demand for business masters degrees, which demonstrates a spike in demand over the last year.
- An examination of BLS descriptions of educational requirements for these job titles indicates that bachelor’s degrees are expected, with additional graduate work or a master’s degree being preferred in some organizations for some jobs. This indicates that master’s-level coursework is valued in these job titles, especially for the best jobs and for advancement

Trends in MBA Programs: One important macro-trend in business education is that although demand for graduate business education is stable or increasing, as are the qualifications of applicants (GMAC Application Trends Survey Report 2018), there is declining interest in residential MBA programs that require students to leave lucrative jobs (GMAC report: <https://www.gmac.com/market-intelligence-and-research/research-library/admissions-and-application-trends/2018-mbacom-prospective-students-survey->

demand-for-mba-and-business-masters-programs: WSJ, Oct., 1, 2018; <https://www.wsj.com/articles/m-b-a-applications-keep-falling-in-u-s-this-year-hitting-even-elite-schools-1538366461>). This trend suggests that although MBA programs remain an important reputational feature of the business school landscape, and salaries of MBA graduates are on the rise (BizEd Magazine, April 2018, p. 16), many schools are moving toward more online, flexible, and customizable options, and with more focus on depth of knowledge in emerging areas. In support of this assertion, Alex Hunter (Managing Director, Navigent, and Crosby MBA Advisory Board member) said “As currently configured, I believe the stackable certificate program would be extremely valuable to our students and would help them leverage a more integrated set of disciplines (in a compressed timeframe) while they pursue their respective careers. In the healthcare (consulting) field, as an example, we are consistently seeking candidates who have skills ranging from finance, to data analytics, to health policy, to strategic planning.” We also believe the TCoB’s move toward more specialized business master’s programs (e.g., MSF and MAcc) will help us better serve these students and their changing needs. The proposed MS in Business program will be an especially attractive degree program for students who wish to complete graduate education in a customizable manner. Perhaps *most importantly, the MS in Business degree will allow students to customize their degree in an interdisciplinary manner, which is a novel approach in the current educational landscape.*

Student profiles: GMAC data (<https://www.gmac.com/-/media/files/gmac/research/prospective-student-data/2018-mbacom-prospective-students-survey-mba-and-business-masters-demand-may-2018.pdf>) also suggests that while prospective MBA students begin to consider MBA education about 1 year on average *after* acquiring their undergraduate degree, students who are considering a specialized master’s program begin considering this degree 10 months *prior* to graduating with their undergraduate degree. This suggests that having a master’s program such as the MS in Business in place will enable MU to effectively market to our current students, who are likely to be actively considering master’s degrees.

Alignment with Missouri Workforce Development Plans: The Missouri Chamber of Commerce and Industry has proposed their Missouri 2030 plan, which focuses on statewide and global economic development. An important recommendation within the plan includes broadening the availability of “*stackable credentials*,” particularly in emerging and high-demand fields (see Missouri Business Magazine, Spring 2018, p. 26). The MS in Business degree is fully consistent with this recommendation. Specifically, by focusing on certificate programs that are more focused and more easily developed (and abandoned if no longer economically relevant), the MS in Business framework will allow MU to be more nimble in offering programs to meet changing demands for skills in emerging fields.

Corporate Support- Discussions with Advisory Boards and Survey Results: One of the important indicators of need for business graduate programs is the response from employers. The TCoB benefits from the advice and counsel of over 100 businessmen and businesswomen who serve on our advisory boards, and the stackable certificates idea has been socialized extensively with members of those advisory boards (e.g., Strategic



Development Board, MBA Advisory Board, execMBA Advisory Board, Marketing Advisory Board, Management Advisory Board, and Vasey Academy Advisory Board). Responses by board members have been overwhelmingly positive and enthusiastic. As one example, Lu Alleruzzo (CEO, Immunophotonics, Inc., Crosby MBA Advisory Board Member) said:

“Innovation drives opportunity. The stackable certificate program offers necessary innovation and differentiation with tremendous potential for success.”

Letters of support from Kerry Goyette (President, Aperio Consulting Group) and Steven P. Rasche (Executive VP and CFO, Spire Inc.) echo the strong support we have received for the ideas described herein, and they are appended to this proposal.

In addition, in the summer of 2018 the TCoB surveyed members of our MBA Advisory Board, and our Career Services Advisory board, to get feedback about the value of TCoB potential certificates, certificates completed jointly with other units on campus, or certificates offered by other MU units. Specifically, we listed a number of certificates likely to be included in the program, and asked whether each certificate would a) make applicants to their organizations more attractive, and b) make their current employees more valuable.

There were 18 respondents to the survey. The results strongly suggested that the following existing or potential future certificates (offered by TCoB unless otherwise noted) would make applicants more attractive, and current employees more valuable. These are presented for illustrative purposes.

- Marketing Analytics
- Sales and Customer Management
- Entrepreneurship and Innovation
- Human Resource Management/HR Law (TCoB & Law)
- Global Supply Chain Management (TCoB & Engineering)
- Engineering Management (TCoB & Engineering)
- Investments
- Audit
- Taxation
- Organizational Consulting and Change (Public Affairs)
- Leadership (Journalism & TCoB)
- Data Science and Analytics (Data Science)
- Public Health (School of Health Professions)
- Informatics for Public Health (Medicine)
- Health Informatics (Medicine)
- Life Science Innovation and Entrepreneurship (TCoB, Medicine, Engineering)

Net New Students: Because many of the anticipated offerings within this framework will be available in online format, we expect that we will be serving net new students. In particular, we expect to attract students from these categories (and their overlap):

- Working professionals who are looking to develop in their current career or to increase their skill-sets to change careers
- Current undergraduate students (particularly MU and UM System students) who want to continue with some graduate education
- MU and UM System graduates who are looking to expand their skill-sets for current or future jobs, and who trust the University of Missouri brand
- Employees of firms with whom we partner to provide graduate education in areas that support their mission (typically St. Louis or Kansas City-based firms). We have started developing these relationships.

Cross-Disciplinary Collaboration: Realistically, many of the topic areas in which certificates may be developed can or should involve cross-disciplinary coursework (e.g., entrepreneurship, analytics, global supply chain management, human resource management). Because certificates are more tightly focused credentials, it is easier to develop and maintain interdisciplinary certificate programs that require, for example, two courses to be taught by each of two academic units. Thus, certificate programs should encourage the development of more cross-disciplinary program offerings, which might be particularly attractive to students. Such collaborations might also spill over into better cross-disciplinary relationships and research collaborations.

Increasingly Nimble Program Offerings: A certificate-based program will allow the departments that contribute certificates to be more flexible and nimble in response to changing market pressures. Specifically, as students' demands for programs change over time, it is much easier to add certificate programs that are in demand, or to delete programs that are no longer drawing students, than it is to add or delete larger programs. For example, MS programs require a minimum of 30 credit hours (CH) of coursework, but developing and maintaining them requires a substantial commitment of faculty time and resources (i.e., typically courses and oversight by at least 5 faculty members). Thus, departments with MS programs that are losing student markets will likely be slower to adapt to a changing student demand landscape due to inertia, as it will require a substantial redeployment of faculty teaching resources. In contrast, a 12 CH certificate program could be maintained with contributions of as few as 2 faculty members, and therefore, decisions to abandon programs could be made more quickly and with less disruption.

### **3.A.2. Student Demand for Program**

Capacity Building and Multiple Enrollment Options: Although this proposal seeks approval for the framework for an MS in Business degree, it is important to point out that the MS degree itself is just one option we could offer students once the TCoB and other colleges develop capacity to deliver tightly focused and contemporary graduate certificates as credentials. We want to attract students to MU to complete the degree, but once we build *capacity* to deliver the MS in Business degree, there will be multiple avenues for delivering those courses and credentials to students. These include:

- Full-time completion of the MS in Business (i.e., one year)
- Part-time completion of the MS in Business
- Completion of stand-alone certificates
- Delivery of certificates or individual courses to corporate partners (perhaps customized by contract for delivery)
- Integrating or offering certificate courses within existing degree programs (e.g., Crosby MBA, execMBA)
- Use of courses or certificates to offer global educational programs (e.g., 2 + 2 or 3 + 1 + 1 programs)
- Use of courses or certificates to offer 4 + 1 programs to current MU students.

Value of the “Core” to Non-MS in Business Students: We anticipate applying for certificate status for the 12 CH Core Business Foundations curriculum. This certificate might be highly valuable on its own, outside of the MS in Business framework. Specifically, because it provides graduate-level coursework aimed at introducing students to the practical applications of the major business functions (i.e., accounting, finance, marketing, and management) it represents an excellent option for students completing other graduate programs to gain broad working knowledge of business concepts that they can take to careers in other disciplines (e.g., medicine and health sciences, journalism, agriculture, law, etc.).

Professional Science Masters (PSM): The Core Business Foundations curriculum can also be used for Professional Science Masters (PSM) programs currently being considered by units on campus (e.g., Veterinary Medicine). PSM programs typically require students to complete a broad core of business curriculum, and the Core Business Foundations certificate represents that well.

Low Cost -> Low Risk: Predicting student demand with any accuracy is extremely challenging for any new program. Programs seldom have documented pent-up demand for a new program, whereby a regular source of students is assured. For the MS in Business this is particularly true, given the fact that the framework being proposed is completely novel, meaning that comparable data on enrollments for similar programs at other similar universities is unavailable. As we have outlined above, we believe the proposed MS program is consistent with market trends toward more micro-credentialing, the attractiveness of on-line education, and the ability to deliver up-to-date education. In addition, data from the BLS (see section 3.A.1 above) demonstrates that many of the job categories for which TCoB certificates would make students more qualified are in high demand and are highly paid, and our industry partners view the certificates we plan to offer as making applicants and current employees more valuable. Moreover, approval of the MS in Business degree will provide a framework within which the TCoB and other units on campus will build capacity that can allow for various forms of full-time, part-time, and global delivery.

However, a key point to stress is that although actual enrollments are difficult to predict, **the resources to deliver the program are largely in place, and the MS in Business**

**degree can be offered largely through existing resources.** Some of the existing resources that would be leveraged include:

- Curriculum from existing programs will be used, in many cases without adjustment, to deliver courses and certificates. This includes certificates that already exist and are being offered (both in the TCoB and around campus and UM System). In other cases new certificates can be offered by re-packaging existing resources (e.g., converting courses offered in the Crosby MBA program into online courses) with minimal up-front investment.
- The TCoB’s Graduate Programs Office (GPO) is fully staffed and can take primary responsibility for recruiting, admissions, student services, instructional technologies, and career services. We anticipate that current staffing levels will be adequate until the program’s enrollments start to grow beyond 60 students. At that point, growing revenues will easily offset costs of hiring additional staff to support increased applicant and student flows.
- In order to meet requirements of our accreditation body (AACSB), the TCoB is working on a plan supported by the Provost to hire at least 12 net new tenure-track faculty members over the next few years to achieve more favorable student/TT faculty ratios. These faculty hires will be aligned with our strategic plans, which are in-line with our existing masters programs (e.g., MS in Finance, MAcc) and planned new MS and certificate programs (e.g., entrepreneurship, global supply chain management, sales and customer development). Therefore, the TCoB will have increasing teaching capacity and expertise that will be in-line with certificate programs.
- Many of our partners around campus and the UM System have existing certificates that will be included within the MS in Business framework. We hope the MS in Business degree and associated marketing efforts will bring more student traffic to MU and the UM System, and increase enrollments in all of our existing programs.

In summary, although this new degree program will require some investments (see pro forma spreadsheet in the Appendix), **most of the resources needed to deliver this program are already in place.** We anticipate that students joining this program will be primarily net new students attracted to the new program format, and we do not anticipate that this program will take students from other programs (which is why our estimates in Table 1a and 1b are identical). For Table 1c, we used full-time enrollments plus the previous year’s part-time enrollments to estimate degrees awarded.

**Table 1a. Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of given year).**

Year	AY21	AY22	AY23	AY24	AY25
Full-Time	10	20	25	30	35
Part-Time	15	20	30	40	45
Total	25	40	55	70	80

**Table 1b. Student Enrollment Projections (anticipated number of students enrolled during the fall semester of given year who were new to campus).**

Year	AY21	AY22	AY23	AY24	AY25
Full-Time	10	20	25	30	35
Part-Time	15	20	30	40	45
Total	25	40	55	70	80

**Table 1c. Projected Number of Degrees Awarded**

Year	AY21	AY22	AY23	AY24	AY25	AY26	AY27	AY28	AY29	AY30
# of Degrees Awarded	10	35	45	60	75	85	95	100	100	100

### 3.B. Financial Projections

Our financial projections are detailed in the pro forma excel file (see appendix). After consulting with staff in the UM Academic Affairs office, we decided not to include the sensitivity analysis due to the fact that we are projected to earn net revenues quickly (and thus our ability to achieve positive revenues is not very sensitive to even sizable deviations from projections). In addition, we have built in a 20% overhead allocation (20% of revenues) to approximate the program’s share of overhead costs to campus.

#### 3.B.1. Additional Resources Needed

A) Faculty Salaries: Faculty costs associated with faculty required for the MS in Business program are associated with the courses offered to deliver the Core curriculum. Although 3CH is already scheduled to be taught in the MAcc program each Fall semester, we anticipate needing to staff the additional 9 CH in the Fall semester, and all 12 CH in the Spring semester (i.e., 7 course sections) so that every Core class will be offered every semester. Our average NTT faculty salary is \$91,000, and using 10% as a 3 CH allocation of a faculty member's salary based on our workload distribution model, that is \$9,100 per 3CH course, or \$63,700/year.

Two things to note regarding faculty costs. 1) Many of our certificates will be developed from existing (or planned) master’s programs, and will not incur additional costs assuming sufficient course capacity. Other additional certificates that are added must go through the departmental/college, and MU Campus and System approval processes, in

which additional costs such as instructional costs must be justified. Therefore, we are not including certificate-level instructional costs (beyond the Core) in our pro forma. 2) The TCoB is planning on hiring 12 net new faculty over the next 5 years to grow our faculty to more normative levels and to meet our accreditation standards (AACSB: Association to Advance Collegiate Schools of Business). Our faculty size, as indexed by student/faculty ratios, is very small relative to regional universities, SEC schools, AAU schools and peer aspirant school. This growth needs to occur regardless of any specific new programs we will add. However, we anticipate being able to use much of the additional instructional capacity to staff courses in new graduate level certificate and MS programs as they come on-line over the next 2-5 years.

B) Course Development: Units/departments that offer courses and/or certificates that fall under the umbrella of the MS in Business degree are responsible for developing the courses and certificates, the relevant approval process, monitoring quality, and faculty staffing. However, most of the curriculum from the TCoB that will fall under the MS in Business umbrella is either already developed, or is well into the development process. For example, the TCoB currently offers the MSF and MAcc degrees, and Finance and Accountancy will develop one or more certificates from each of those degrees. Similarly, the Management Department has developed an MS in Entrepreneurship and Innovation (MS E&I; currently under review), and is in the approval process with a graduate certificate in Global Supply Chain Management (in cooperation with engineering). The Marketing Department is developing a certificate in Sales and Customer Development. We expect the MS E&I program to also deliver one or two stand-alone certificates. These new programs are developed largely from existing courses, though some courses will need to be created or converted to on-line formats, in addition, four 1.5CH courses offered in the Core, exist in in-seat formats and will have to be developed in an on-line format.

We have included \$60,000/year for three years (year zero, year one, year two) to pay course development stipends to faculty. This includes new course development or conversion of existing courses to online formats (approx. \$5,000/course). We have also included FICA (7.65%) with those stipends, though we understand that these types of overload payments are not subject to regular benefit rates. We anticipate incurring more of these expenses early, as the program ramps up to our full complement of certificates offered by the TCoB. Thereafter, we have included \$40,000/year to account for significant course changes or new courses as the certificates adapt to market changes (e.g., new developments in analytics software might require new coursework to be developed or adapted).

With regard to certificates from other colleges on campus or in business schools within the UM System, we expect that they will contribute certificates that currently exist. Thus, there will be no development costs associated with those certificates. If units outside of the TCoB wish to develop stand-alone certificates that can be included within the MS in Business framework, they will be responsible for identifying resources to develop and cover courses.

C) Support Salaries: Day-to-day costs of program administration involve staffing and supervision of recruiting, admissions, student support services, instructional support, and career services functions. In the last year, the TCoB has re-organized its staff support for those functions in the MBA and execMBA programs into a single Graduate Programs Office (GPO). This was done to provide service and support for our new MAcc and MSF programs, and in anticipation of future programs (including the proposed MS in Business). We believe that the GPO has the capacity to absorb some additional workload that will be required by the addition of the MS in Business degree program. However, we have budgeted for an additional support staff member (\$60,000 + benefits) for each 30 new students after the first 50 (i.e., one new staff member in year 4 and an additional new staff member in year 6, contingent on meeting enrollment projections). In addition, we have budgeted for a full-time marketing communications staff member (\$70,000 + benefits) to support the advertising and marketing efforts associated with the MS in Business. We anticipate initiating our marketing campaign in year zero using existing TCoB marketing communications and GPO staff.

D) Computing Expenses: Costs for computing (computers, software, printing, support) associated with hiring additional staff are estimated at \$4,000 each time a new staff member must be added to account for enrollment growth (contingent upon meeting enrollment projections), and for the additional marketing communications staff member. Updates are made every 4 years. So, \$4000 is incurred in Year 1 for the new marketing communications person, and in Year 5 for that person's system update, and in Year 4 and Year 6 as we add additional staff to service additional enrollment.

E) Supplies: We anticipate \$50/year/person for incidental supplies costs. Addition of a marketing communications person in year 1, and additional GPO staff members in years 4 and 6 accounts for supplies costs increasing to \$150 over the period.

F) Travel and Training: We have estimated an annual \$20,000/year to cover costs of training and travel associated with keeping individual certificates current (e.g., faculty training to learn a new analytical tool, travel to engage in professional development training such as entrepreneurship educators' conferences), and for travel by recruiters to recruiting events such as grad recruiting fairs.

G) Marketing: Assuming program approval by January 2020, we anticipate marketing efforts to be conducted from January to June, 2020. We have budgeted \$50,000 for that six month period (in year zero) to promote the new program. In subsequent years, we anticipate a year-round marketing budget of \$100,000, which is approximately what we spend to market our current execMBA program. Of course, we will take advantage of opportunities to cross-sell by marketing multiple masters-level graduate programs on some platforms.

H) Other Expenses: We do not anticipate and did not include estimates for other expense items on the pro forma, such as noncapital maintenance and repair, noncapital equipment, or professional and consulting expenses.

### 3.B.2. Revenue

#### Revenue Model

**Student costs associated with the program will be tied to the courses and certificates they choose**, which are tied to the home programs or degrees through which those courses are offered. For example, if a student chooses a certificate comprised of courses offered in the MSF or MAcc programs, the costs will be the same as those associated with the home degree (i.e., graduate tuition, IT fee, TCoB graduate fee, and program/differential fee). Similarly, if a student takes courses/certificates offered by non-TCoB programs, they will pay approved costs already associated with those courses/certificates. If future certificates are developed from combinations of courses from different colleges, with different cost structures (i.e., different program fees), **students will pay by the course according to the cost structure of the home program.**

Revenues will flow to the home programs as they normally would, regardless of whether a student has declared as an MS in Business student. **The TCoB will not seek any share of revenues generated by students taking courses outside of the TCoB.** The TCoB will absorb costs associated with management and administration of the MS in Business degree program. We anticipate that additional revenues associated with courses taken through the TCoB will be sufficient to cover costs of management, administration, and marketing of the degree program.

For our pro forma estimates, we had to make a number of assumptions, which we outline here:

- A) We calculated estimates for tuition and fees based on 30CH, which is the minimum for the program. Although many students will likely take more CH than the minimum, we wanted to be conservative.
- B) Because the instructions for the full proposal specify that only revenues accruing to the home program should be estimated, we calculated estimates based on full- and part-time students completing only certificates offered by the TCoB (and composed only of TCoB courses). While we anticipate that some students will complete the MS in Business in this manner, other students will complete the degree by completing one certificate offered by another college at MU, or another UM System business school. In addition, some certificates will be offered jointly by the TCoB and another college (e.g., Law, Engineering), and so revenue from courses that students take through another college will flow to that college and not the TCoB.
- C) **We do not estimate revenues to be received by other colleges (nor costs).** However, we believe that our MS in Business program will increase the net inflow of students to the MU campus and to UM System business certificate programs, and thereby the number of students completing non-TCoB certificates. Because those programs are not contributing to the MS in Business administrative and marketing costs, other units should incur very little cost for the added revenue. For example, if a certificate program in Education is currently getting 20 students per year, and we can increase that by 5 students who were attracted to the



certificate by our marketing efforts, those additional students would bring in about \$33,000 in revenue (tuition and course fees for a 15CH certificate), assuming there is capacity in the courses for the additional students. An additional 5 students in an Engineering program would raise about \$67,000 in additional revenue (due to their higher course and differential or “program” fees).

- D) In the Appendix we have listed a number of “Sample Programs” that represent possible combinations of certificates and Core courses to illustrate a range of cost structures and CH for students.

### 3.B.3. Net Revenue

We have budgeted conservatively for significant expenditures for course development, a marketing communication staff member to focus on the MS in Business, a substantial marketing budget, travel and training, and additional staff contingent upon reaching enrollment goals. Combined, these costs represent about \$370,000-\$430,000 over the first 5 years of the program. These costs are small relative to potential revenues because we will be able to deliver the program using existing administrative and faculty resources. Therefore, financial viability will be achieved with relatively low numbers of students. Although the nature of the program’s various paths and their variable revenue implications makes an exact break-even point difficult to estimate, our pro forma estimates demonstrate that revenues would exceed expenditures by about \$100,000 in year 1 of the program, with just 10 full-time (i.e., 30CH/year) and 15 half-time students taking TCoB certificates and the Core curriculum. This number could be slightly lower if students complete a program requiring more than 30CH, and slightly higher if students take one certificate outside the TCoB or certificates jointly offered by the TCoB and another college (i.e., split revenue). However, we feel that this is a fairly conservative level to set as financial viability.

### 3.B.4. Financial and Academic Viability

It is important to stress that **each unit offering a certificate as part of the MS in Business degree needs to determine its own financial and academic viability. Each certificate included in this framework has already received approval, or will receive approval prior to being included as an option within the degree framework.** The approval process for a certificate involves consideration of costs of delivery and revenue projections for each certificate individually, and is currently done at the college level by Deans, curriculum committees, and by faculty approval, and at the university level by the Graduate Faculty Senate (at MU, and parallel processes on other campuses). Each level should determine the viability of the program based on available resources (e.g., expertise), relevance within the job market, and duplication or overlap with other programs. Therefore, it is incumbent on the University, MDHE, and each unit or college to determine whether a given certificate is likely to be financially and academically viable. Depending on the unit’s cost and revenue structure, this will often be 10-15 full-time students. Importantly, if a given certificate is not reaching those numbers, and that certificate is discontinued, it can have a minimal impact on the MS in Business degree. In fact, **one of the elegant features of this degree program is that it will encourage academic units to discontinue certificates that are no longer financially or academically viable, and to redeploy resources to certificates or other programs that**

**are in higher demand and leverage existing faculty strengths without having to design an entire degree program.** This will be particularly true under the new revenue model, effective Fall 2020, which will provide strong disincentives to continue programs that are not financially viable for their home departments, as the departments will bear the brunt of the costs.

For the sake of thoroughness, we also wanted to address the **issue of maximum capacity.** Maximum capacity will be based on a) the success of individual certificates and the maximum capacity their home units' identify (i.e., ability to deliver courses with available instructional resources, and their willingness to open additional course sections if qualified applications exceed course capacity: this is a unit-level decision), b) the *number* of viable certificates included within the program, and c) our ability to provide enough capacity in sections in the Core curriculum. Of these, c) is the most significant bottleneck because all students would have to take these courses. Our plan is to offer all Core courses in the fall and spring semesters, with enrollment caps of approximately 50 per semester. If enrollments are strong, and additional sections of those Core courses are required, new faculty will have to be brought on to cover those courses. Although it is difficult to anticipate the point at which the program's size might become too large from an administrative and/or teaching/staffing standpoint (as some efficiencies of scale would certainly be possible), 500 full-time equivalent students would be a reasonable estimate. Beyond that point, we feel that the number of additional staff and faculty needed to serve the MS in Business program might get too cumbersome in terms of space, administration, and the need to ensure that a high percentage of our student credit hours are being taught by tenure-track faculty (in order to meet AACSB accreditation standards). A soft cap of 500 would also allow us to maintain high quality of students at admission, and would also protect against the need to reduce staff if enrollments declined in the future.

**Table 2**  
**Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.**

**\* Academic viability should be determined at the level of the certificate and its home unit(s)**

<b>Viability</b>	<b>Minimum Enrollment</b>
<b>Financial</b>	<b>10 FT, 15 ½ time</b>
<b>Academic</b>	<b>10-15*</b>

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

#### **Marketing Strategy**

The TCoB's Graduate Programs Office and Marketing Communications Office will jointly handle marketing/advertising and recruiting functions for the MS in Business degree. As appropriate, some of these marketing efforts will focus on the MS in Business specifically, and others will highlight the whole line-up of graduate programs offered by the TCoB (i.e., MBA, execMBA, MAcc and MSF). As noted in our pro forma, we intend on hiring a full-time marketing communications person to work on the marketing this program.

#### Events

In an effort to promote, attract and enroll quality students into Trulaske graduate masters and graduate certificate programs, the GPO will incorporate program and application information for all degree offerings at each admissions event, including but not limited to:

- A. Career Fairs
- B. Alumni Events
- C. Information Sessions (both on-campus and via webinar)
- D. execMBA events
- E. On-campus events

#### Advertising

A combination of both print and digital media advertising will be coordinated through the TCoB's Marketing Communications team. Traditionally, these have included:

1. Online Advertising
  - a. Google Ad Word Search
  - b. LinkedIn
  - c. Gmail
  - d. Online search directory program descriptions in paid professional membership's websites such as GMAC- degree finder, Executive Connections etc.
  - e. Website revamp with E-brochure/fact sheet that can be downloaded from program website after lead entry information is captured
2. Print Media
  - a. Mizzou alumni magazine (Fall/Winter/Spring)
  - b. St. Louis Business Journal
  - c. Surveys and Rankings submissions (USNWR, Bloomberg Businessweek, Poets & Quants, Financial Times etc.)
  - d. Fact Sheets distributed at all information sessions, and interviews

- e. Press releases and articles in local newspapers (see Columbia Missourian article that ran on [December 1, 2018](#))

#### Other Recruiting and Marketing Avenues

1. GMASS purchased lists (offered through the Graduate Management Admission Council) for lead generation
2. LinkedIn—Consistent Messaging with premier membership
3. Facebook Posts – TcoB, GPO and BCS
4. Promotion across all graduate degree programs for on-campus and corporate partner site
  - a. Specific information sessions catering to online programs bi-monthly via Zoom
5. College and University level newsletters and academic advisors' forum distribution lists
6. Promotion to local employers
  - a. Veterans United
  - b. Missouri Employers Mutual
  - c. State Farm
  - d. Shelter Insurance
  - e. American Outdoor Brands

**Table 2. Financial Projections for Proposed Program for Years 1 Through 5.**

	FY 21	FY 22	FY 23	FY 24	FY 25
<b>1. Expenses per year</b>					
<b>A. One-time</b>					
<i>New/Renovated Space</i>					
<i>Equipment</i>	4000			4000	4000
<i>Library</i>					
<i>Consultants</i>					
<i>Other</i>	50	50	50	100	100
<b>Total one-time</b>	4050	50	50	4100	4100
<b>B. Recurring</b>					
<i>Faculty</i>	123700	123700	103700	103700	103700
<i>Staff</i>	70000	70000	70000	130000	130000
<i>Benefits</i>	52214	52214	50684	72056	72056
<i>Equipment</i>					
<i>Library</i>					
<i>Other</i>	120000	120000	120000	120000	120000
<b>Total recurring</b>	365914	356914	344384	425756	425756
<b>Total expenses (A+B)</b>	369,964	365,964	344,434	429,856	429,856
<b>2. Revenue per year</b>					
<i>Tuition/Fees</i>	482,475	827,100	1,102,800	1,378,500	1,585,275
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
<b>Total revenue</b>	482,475	827,100	1,102,800	1,378,500	1,585,275
<b>3. Net revenue (loss) per year</b>	\$112,511	\$461,136	\$758,366	\$948,644	\$1,155,419
<b>4. Cumulative revenue (loss)</b>	\$112,511	\$573,647	\$1,332,013	\$2,280,657	\$3,436,076
<b>Cumulative after year zero investment of \$134,590</b>	(\$22,079)	\$439,057	\$1,197,423	\$2,146,067	\$3,301,486

**Table 3. Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.**

<b>Enrollment Status</b>	<b>Full-Time</b>	<b>Part-Time</b>	<b>Total</b>
<b>Number of Students</b>	<b>10</b>	<b>15</b>	<b>25</b>

#### **4. Institutional Capacity**

As noted previously, we believe that the MS in Business degree can leverage existing resources to provide the degree at relatively low cost. Putting the MS in Business degree in place will give us a framework that can make tightly-focused certificate programs more viable, visible, and marketable than they would be individually. Although there will be some investment needed, and a relatively small number of students will be required to cover those costs, we view this new program as a small risk for a potentially high reward rather than as a substantial burden on our resources. In fact, we believe it will enable us to BUILD institutional capacity in a number of important ways:

- Identifying a small number of certificates to be offered by each unit (or jointly) will enable those units to leverage existing expertise more effectively by allowing faculty to teach in their specialty areas.
- Offering one or two certificates per unit will help the TCoB focus on strategic areas in which we want to build expertise for both research and teaching missions. Faculty are attracted to institutions where they can have colleagues who share interests, and where they can teach within their expertise area.
- Because many of the certificates to be offered will be online, we believe that most of our students will be net new to MU and the TCoB. Our current Crosby MBA and execMBA programs are in-seat and hybrid, and therefore are not likely to be cannibalized by the new MS in Business degree.
- Nonetheless, if the MS in Business framework creates new degree programs and on-line courses, those courses can be made available to current students, either as electives, or potentially as add-on certificates to give those students added depth in their program.
- Having the framework for the MS in Business and viable certificates helps us build capacity for potentially entering into partnerships with other educational institutions (e.g., international universities) and with businesses.

On the student side, we are confident that the marketing efforts we have planned will enable us to well exceed the small number of students required for financial viability. Reasons for optimism include:

- Industry facing experts to whom we have vetted these ideas extensively (e.g, members of multiple TCoB advisory boards) see strong potential in the program, and view it as innovative.
- Experts surveyed indicated that the certificates we will likely offer would a) make applicants for positions to their organizations more valuable, and b) make their existing employees more valuable

- Conversations with multiple major corporate partners have suggested that those partners are interested in discussing agreements for sponsorships of larger groups of students (their employees)
- The market for graduate education is strong, but is shifting toward more specialized options, and toward more on-line offerings
- The TCoB gets frequent inquiries about on-line graduate programs for students seeking graduate business education. The MS in Business would give us many more options for capturing those inquiries, whereas currently we only have the recently added MS in Finance and MAcc programs on-line.
- We hope to be the first school, let alone major university, into this market space, giving us a first-mover advantage for marketing customizable and interdisciplinary certificate options.
- While we hope to stimulate more student applications to other colleges and UM business schools, we will also benefit from the reputation that other units have built around their quality programs over a longer time period.

## **5. Program Characteristics**

### **5.A. Program Outcomes**

Students have many possible options for completing the MS in Business by choosing two or more certificates beyond the Core Business Foundations courses. However, we want all students to have a solid foundation in the four primary business disciplines through the 12 CH Core. The Core curriculum is less extensive than the required courses for the full MBA degree, but overlaps substantially with that curriculum and was designed by the faculty to provide necessary breadth for an individual who wants to pursue a career requiring broad business knowledge. Beyond the Core, the learning outcomes are defined by the learning outcomes identified by the departments or colleges who designed the certificates.

More generally, though, this program is designed to allow students to identify the educational path that best suits them, with their unique learning and career goals. We expect that students will chose a path that either helps them develop and grow in their current career path, or allows them to change career paths. Many of these careers likely have roots in disciplines outside of business (e.g., journalism, engineering, medicine, law), and therefore the ability to choose an interdisciplinary path should assist students in defining a program that best fits their academic needs, and is rigorous with respect to business foundations.

### **5.B. Structure**

We detailed the structure of the program in the Introduction (Section I.) in order to ensure that the reader understood the program's basics, and could follow the remainder of this proposal. Please refer to Curriculum Overview in the Introduction.

## 5.C. Program Design and Content

The Core Business Foundations curriculum was identified from the core of required courses that have been developed for the Crosby MBA program. Faculty from each of our four units chose 3 CH that they felt was the most foundational for their area. In some cases, this involves two 1.5 CH courses. As noted previously, all certificates to be included in the menu of choices are independently developed by units, and must undergo the usual approval process for certificates. The TCoB Master's Program Curriculum Committee, a standing faculty committee, will be charged with identifying and approving all certificates for inclusion in the MS in Business framework, including both certificates offered by other colleges at MU, and certificates offered by other UM System business schools.

## 5.D. Program Goals and Assessment

### Assessing Learning Outcomes

Learning outcomes for certificates will be assessed at the level of the certificate. For certificates offered by the TCoB, certificate coordinators, in consultation with unit faculty, will identify key assignments, exams, projects, or other milestones throughout the certificate curriculum that provide important assessments of the skills, knowledge, or abilities identified as central to learning goals identified for the certificate. Standards for student performance (e.g., percentage of students achieving test scores indicating mastery, demonstrated competence in oral presentations, grades on written work, etc.) will be identified. These procedures are consistent with the AACSB guidelines that govern our accreditation process. Each certificate program will be responsible for developing their own assessments.

For the Core curriculum, courses were chosen to give students practical knowledge and skills within the four major business disciplines: accounting, finance, management, and marketing. Students who successfully complete these courses will understand and be able to communicate effectively about:

- Financial management and managerial accounting practices that help facilitate decision making in organizations
- How consumer behavior influences supply, demand, and pricing of goods
- Principles of capital budgeting, risk measurement and valuation of securities
- Concepts, theories, and tools for the understanding marketing situations and executing marketing initiatives
- Marketing planning, strategic and tactical decision making, and how they influence marketing mix decisions
- Factors effecting behavior in organizations and how to manage people
- How to set a direction for an organization's activities, and implementing strategies to align and integrate various functions (i.e., marketing, operations, finance, research and development, HR, etc.)



Examples of other learning outcomes are described below for an Auditing/Assurance certificate, and for a Tax certificate:

The **graduate certificate in auditing/assurance** is a combination of one required course on Auditing and four additional electives. Required coursework focuses on the theory and application of auditing. Electives allow a student to explore various areas of assurance. Learning objectives for the assurance certificate include the ability to understand and communicate effectively about:

- The theory of audit and how it applies to assurance for an interested party on an entity's financial statements.
- The basic financial statement assertions and the ways to test each financial statement line item to meet those assertions.
- Sampling methodology.
- The internal audit function and methodology used in internal audit.
- Design and implementation of internal controls and the audit and tests to provide assurance around these controls.
- Advanced auditing concepts, as applied to a variety of contexts in public and corporate accounting.
- Introduce concepts and techniques of fraud examination and forensic accounting.
- The use of data analytics and Big Data technologies as they relate to the audit function.

The assurance certificate is ideal for those desiring a career in any area of Audit/Assurance in public or corporate accounting settings, with jobs being plentiful in these areas.

The **graduate certificate in taxation** is a combination of three required courses and two additional electives. Required coursework focuses on federal taxation at both the individual and corporate level as well as tax research. Electives allow students to explore various areas of tax specialty and thus broaden their understanding of various components of taxation. Learning objectives for the taxation certificate include the ability to understand and communicate effectively about:

- Basis of calculation and preparation of returns for individual federal tax liability according to the most recent U.S. tax laws.
- Basis of calculation for corporate federal tax liability according to the most recent U.S. tax laws.
- Taxation as it relates to various business entities (corporations and partnerships) and how tax law can be applied to various situations such as mergers and acquisitions using both written and verbal communication in a clear and concise manner.
- Difference in tax laws between a variety of jurisdictions including but not limited to state, local, and international taxation.

The taxation certificate is ideal for those desiring a career in any area of Taxation in public or corporate accounting settings, with jobs being plentiful in these areas.

### Retention, Graduation, and Career Placement Goals

We anticipate that many of our students will be working professionals, and will take courses primarily online. While clean comparison data is hard to acquire, U.S. News and World Report indicates that the average graduation rate for online MBA degrees is 63%. Data from schools in our comparison set tend to be more in the 70% to 90% range. Although, these data are not directly comparable (MS vs. MBA programs), and we anticipate that some students might begin our program with the knowledge that they can walk away with transcriptable certificates even if they do not complete the MS, we will strive to achieve a MS graduation rate of at least 80%.

Our primary strategy for student retention and graduation is to maintain personal contact. To connect with those students, as well as students who are completing the degree locally, our student services and advising staff will reach out regularly (e.g., in person, Skype, Zoom, or phone) to advise students and help them manage their enrollment with the goal of completion of certificates and the MS in Business. We will also offer career services counseling in person or remotely.

We expect to graduate 45 students at 3 years, and 55 students at 5 years.

Because we expect the majority of our students to be working professionals, placement rates are not as relevant as they would be for full-time residential programs. However, jobs for which students taking one or more certificates from the TCoB would be qualified are experiencing high levels of growth (see summary of jobs listed in Section 3.A.1 based on BLS data). As a comparison, our current placement rate for MBA graduates is over 95%. We expect graduates of the MS in Business to find or maintain employment at levels in that range.

### **5.E. Student Preparation**

Students will be expected to meet regular MU Graduate School admissions standards. In addition, individual certificates might require additional prerequisites. Such requirements will be communicated to prospective students in written and online materials and in person (or phone) by admissions and recruitment staff.

### **5.F. Faculty and Administration**

The Associate Dean for Graduate Programs and Research in the TCoB (Dr. Chris Robert) is responsible for general oversight and coordination of all graduate business programs, including the MS in Business program. As this is a new program, and will require more attention initially, we anticipate that 20-30% of his time will be devoted to ensuring its smooth functioning and success. Day-to-day operations (i.e., recruiting, admissions, student services, advising, career services) will be provided by the Graduate Programs

Office (GPO), which is supervised by the Director of Graduate Programs (Jana Stern). Again, given that this is a new program, we expect a high percentage of her time to be devoted to launching and running this program (approximately 40%). Other key individuals will be the Certificate Coordinators, who are the faculty members responsible for overseeing day-to-day decisions about certificate requirements (e.g., making judgement calls for prerequisites, identifying substitute courses, etc.), and for communicating with GPO staff. Each certificate requires a certificate coordinator. The home unit(s) of each certificate are responsible for staffing courses required by each certificate. In the TCoB, we expect that all courses associated with certificates will be staffed by full-time faculty, though occasional use of adjuncts might be necessary to fill temporary gaps.

### **5.G. Alumni and Employer Survey**

In addition to an exit survey, we plan to survey alumni of the program at 1 and 5 years post-graduation. We will collect measures of satisfaction with the program, as well as data on salary increases and promotions. Our career services staff will track employers based on the exit survey, and will follow up with employer surveys to assess employer satisfaction with graduates, as well as employer demand for new programs that we might consider developing.

### **5.H. Program Accreditation**

The TCoB is accredited by the AACSB, which reviews programs on a five-year cycle. The MS in Business degree will be reviewed as part of the TCoB portfolio of programs.

## PROGRAM STRUCTURE

**1. Total credits required for graduation: 30 minimum**

**2. Residency requirements, if any: none**

**3. General education**

Total credits for general education courses: N/A

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

Course	Hrs	Course	Hrs	Course	Hrs

**4. Major requirements**

Total credits specific to degree: 30 minimum

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

Course	Hrs	Course	Hrs	Course	Hrs
Accounting for Managers (7310)	3	Org. behavior and mngt: Dyadic, group and org processes (7390)	1.5		
Managerial Finance (7410)	1.5	Intro to Strategic Management (7970)	1.5		
Microeconomics for business (7210)	1.5				
Adv. Marketing Mngt (7470)	1.5				
Managerial Marketing (7460)	1.5				

**5. Free elective credits**

Total free elective credits: N/A

In addition to the required 12 CH listed above, students chose one certificate offered by the TCoB, and either a second TCoB certificate, or an approved certificate from another MU College or UM System College of Business.

*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:**

Individual certificates might include capstone experiences or in-residence requirements for completion of the certificate. Prospective students will be informed of any special requirements associated with certificate programs in which they are interested. The MS in Business itself does not have a formal capstone course or experience.

**7. Any unique features such as interdepartmental cooperation:**

In addition to the interdisciplinary nature of the degree (i.e., stacking certificates from different colleges or schools), we anticipate that numerous certificates will be interdisciplinary collaborations.

## **Appendices**

Appendix A: Pro forma Budget Spreadsheet

Appendix B: 6-year Demand for Business Master's Degrees

Appendix C: Sample Programs

Appendix D: Letters of Support

# Appendix A: Pro forma

## GRADUATE PROGRAM PRO FORMA

UNIVERSITY OF MISSOURI - Columbia

PROFORMA: MS in Business

Projection as of 7/16/2019

Prepared by: Chris Robert, Assoc Dean Approved by: Todd Mackley

PROGRAM:	Year 0	Year 1-Start	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27
<b>Enrollment Projections</b>								
Head Count Students - <i>new incoming</i>	-	10	20	25	30	35	40	45
Head Count Part-time (1/2 time)	-	15	20	30	40	45	50	55
<b>Student Credit Hours</b>	-	525	900	1,200	1,500	1,725	1,950	2,175
<b>Tuition Rate/Credit Hour</b>	-	386.00	386.00	386.00	386.00	386.00	386.00	386.00
<b>Fee Rate/Credit Hour</b>	-	533.00	533.00	533.00	533.00	533.00	533.00	533.00
<b>Scholarship Allowances (\$)</b>	-							
<b>Revenue Projections</b>	*****CALCULATED CELLS*****							
Tuition	-	202,650	347,400	463,200	579,000	665,850	752,700	839,550
Supplemental & Other Fees	-	279,825	479,700	639,600	799,500	919,425	1,039,350	1,159,275
Scholarship Allowances	-	-	-	-	-	-	-	-
Net Tuition and Fees	-	482,475	827,100	1,102,800	1,378,500	1,585,275	1,792,050	1,998,825
<b>TOTAL PROGRAM REVENUE</b>	<b>\$0</b>	<b>\$ 482,475</b>	<b>\$ 827,100</b>	<b>\$ 1,102,800</b>	<b>\$ 1,378,500</b>	<b>\$ 1,585,275</b>	<b>\$ 1,792,050</b>	<b>\$ 1,998,825</b>
<b>Recurring State Support</b>								
<b>TOTAL REVENUE</b>	<b>\$0</b>	<b>\$482,475</b>	<b>\$827,100</b>	<b>\$1,102,800</b>	<b>\$1,378,500</b>	<b>\$1,585,275</b>	<b>\$1,792,050</b>	<b>\$1,998,825</b>
<b>Expenditure Projections</b>								
Faculty Salaries		\$ 63,700	\$ 63,700	\$ 63,700	\$ 63,700	\$ 63,700	\$ 63,700	\$ 63,700
Support Salaries		\$ 70,000	\$ 70,000	\$ 70,000	\$ 130,000	\$ 130,000	\$ 190,000	\$ 190,000
Total Salaries	-	133,700	133,700	133,700	193,700	193,700	253,700	253,700
Benefits	-	47,624	47,624	47,624	68,996	68,996	90,368	90,368
<b>Subtotal Salaries and Benefits</b>	<b>\$0</b>	<b>\$181,324</b>	<b>\$181,324</b>	<b>\$181,324</b>	<b>\$262,696</b>	<b>\$262,696</b>	<b>\$344,068</b>	<b>\$344,068</b>
<b>Operating Expense</b>								
Course development stipends	\$ 64,590	\$ 64,590	\$ 64,590	\$ 43,060	\$ 43,060	\$ 43,060	\$ 43,060	\$ 43,060
Computing Expenses		4,000			4,000	4,000	4,000	
NonCapital Maintenance & Repair								
Noncapital Equipment								
Supplies		50	50	50	100	100	150	150
Professional & Consulting								
Travel & Training	20,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000
Marketing	50,000	100,000	100,000	100,000	100,000	100,000	100,000	100,000
<b>Subtotal Operating Expense</b>	<b>134,590</b>	<b>188,640</b>	<b>184,640</b>	<b>163,110</b>	<b>167,160</b>	<b>167,160</b>	<b>167,210</b>	<b>163,210</b>
<b>One-time Expenditures (Startup Costs)</b>								
<b>Additional Space Costs</b>								
<b>Subtotal One-time Expense</b>	<b>\$ -</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTAL EXPENDITURES</b>	<b>\$134,590</b>	<b>\$369,964</b>	<b>\$365,964</b>	<b>\$344,434</b>	<b>\$429,856</b>	<b>\$429,856</b>	<b>\$511,278</b>	<b>\$507,278</b>
<b>DIRECT MARGIN</b>	<b>(\$134,590)</b>	<b>\$112,511</b>	<b>\$461,136</b>	<b>\$758,366</b>	<b>\$948,644</b>	<b>\$1,155,419</b>	<b>\$1,280,772</b>	<b>\$1,491,547</b>
<b>CUMULATIVE DIRECT MARGIN</b>	<b>(\$134,590)</b>	<b>(\$22,079)</b>	<b>\$439,057</b>	<b>\$1,197,423</b>	<b>\$2,146,067</b>	<b>\$3,301,486</b>	<b>\$4,582,258</b>	<b>\$6,073,805</b>
<b>Subtract:</b>								
Revenue from Transfers within Campus								
<b>NET MARGIN TO THE CAMPUS</b>	<b>(\$134,590)</b>	<b>\$112,511</b>	<b>\$461,136</b>	<b>\$758,366</b>	<b>\$948,644</b>	<b>\$1,155,419</b>	<b>\$1,280,772</b>	<b>\$1,491,547</b>
<b>CUMULATIVE NET MARGIN TO THE CAMPUS</b>	<b>(\$134,590)</b>	<b>(\$22,079)</b>	<b>\$439,057</b>	<b>\$1,197,423</b>	<b>\$2,146,067</b>	<b>\$3,301,486</b>	<b>\$4,582,258</b>	<b>\$6,073,805</b>
<b>Campus Overhead Estimate 20%</b>	-	96,495	165,420	220,560	275,700	317,055	358,410	399,765
<b>Campus Overhead Allocation</b>	-	96,495	165,420	220,560	275,700	317,055	358,410	399,765
<b>MARGIN AFTER CAMPUS OVERHEAD</b>	<b>(\$134,590)</b>	<b>\$16,016</b>	<b>\$295,716</b>	<b>\$537,806</b>	<b>\$672,944</b>	<b>\$838,364</b>	<b>\$922,362</b>	<b>\$1,091,782</b>
<b>CUMULATIVE MARGIN AFTER CAMPUS OVERHEAD</b>	<b>(\$134,590)</b>	<b>(\$118,574)</b>	<b>\$177,142</b>	<b>\$714,948</b>	<b>\$1,387,892</b>	<b>\$2,226,256</b>	<b>\$3,148,618</b>	<b>\$4,240,400</b>

<b><u>Assumptions:</u></b>
<b><u>Head Count:</u></b> Our headcount assumes all students are net new. We started with low, conservative numbers (10 full-time and 15 part-time) to provide conservative estimates. In addition, we use conservative growth figures over 7 years, with the 7 year numbers being comparable to our current MBA program numbers (which are small). Although we wanted to be conservative in these estimates, we believe they might be much higher given our anticipated marketing expenditures and staffing, and the general interest we have received from industry professionals.
<b><u>Student Credit Hours:</u></b> We have estimated full-time student credit hours at the minimum for the degree, 30, which is achievable with the waivers described in the proposal. Although a more typical full-time student would complete 36-39 CH (12 CH from Core Business Foundations (Core), plus 12 CH or 15 CH from each of two additional certificates), we are using the 30 CH to be more conservative. We are using half-time to model part-time students, and using 15 CH as the half-time load. Although part-time students might complete the program over a longer period of time, we believe that half-time enrollment will be fairly common, and is reasonable for illustrative purposes.
<b><u>Tuition/Credit Hour:</u></b> We used published 2019-2020 graduate tuition rate (\$386.00), and entered no increases over time. We use this rate because we expect that the strong majority of students will take courses on-line, using the graduate resident tuition rate.
<b><u>Fee Rate/Credit Hour:</u></b> This estimate is the most challenging given the stackable structure we are seeking. Specifically, students will take courses from a variety of departments within the Trulaske College of Business (TCoB), each with a different program fee based on the program fees of the home degree or home unit. In addition, if students choose to take a certificate from a unit outside of the TCoB, they will incur supplemental and program fees associated with that unit's program and course fee structure (See "Sample Programs" in the proposal for a range of possible program profiles). Our estimate here is based on a) Trulaske College of Business (TCoB) Graduate Supplemental fee of \$112.80 (AY 2019-2020), plus, b) an average of program/differential fees across TCoB departments of \$421 (Management, \$350; Marketing, \$350; Accounting, \$275; Finance, \$707). This model assumes that students will be evenly distributed across courses and certificates from each department. It also assumes that a full-time student will take the Core, plus two additional 12 CH certificates from the TCoB. If a student takes one certificate from a unit outside the TCoB, they will incur that unit's supplemental and program fees. If a student takes a 12 CH certificate from a unit that does not charge a supplemental or program fee, the per-student Net Tuition and Fees will be reduced. For example, a student taking a 12 CH certificate from the Truman School will incur a \$43.30/CH supplemental fee, and no program fees, rather than the TCoB Supplemental Fee of \$112.80, and program fees between \$274 and \$707/CH. Thus, total program revenue would go down. We did not include other mandatory student fees such as information technology, student health, recreation center, and student activity fees.
<b>Scholarship Allowances:</b> At this time we do not anticipate any scholarships.



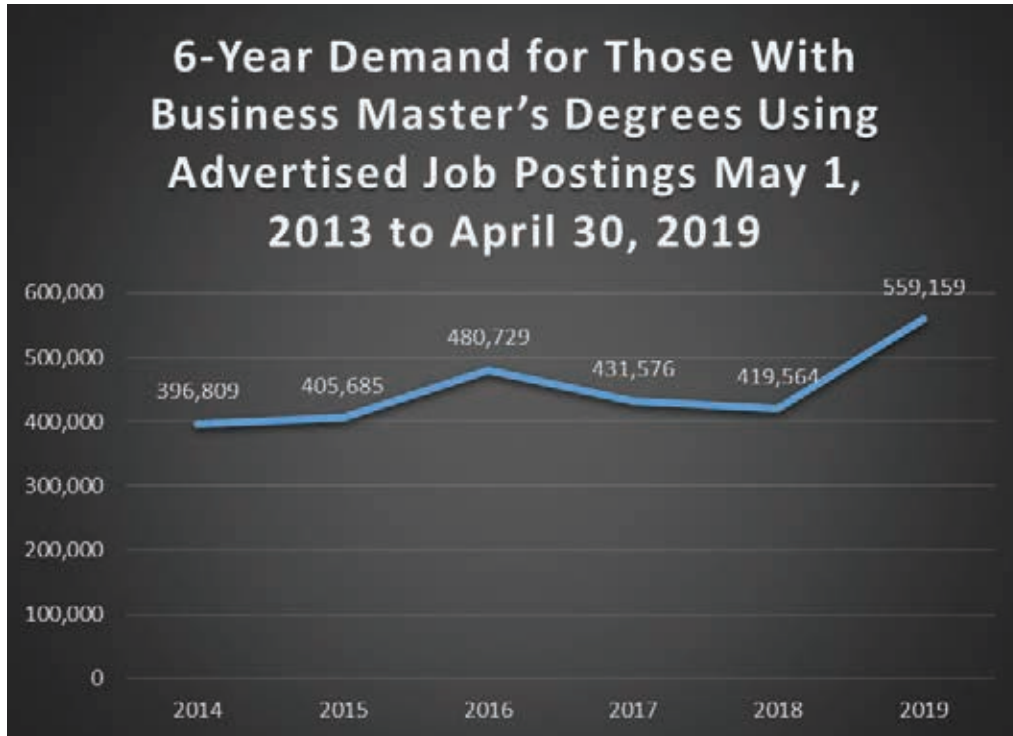
Faculty Salaries: Faculty costs associated with faculty required for the MS in Business program are associated with the courses offered to deliver the Core curriculum. Although 3CH is already scheduled to be taught in the MAcc program each Fall semester, we anticipate needing to staff the additional 9 CH in the Fall semester, and all 12 CH in the Spring semester (i.e., 7 course sections) so that every Core class will be offered every semester. Our average NTT faculty salary is \$91,000, and using 10% as a 3 CH allocation of a faculty member's salary based on our workload distribution model, that is \$9,100 per 3CH course, or \$63,700/year. Two things to note regarding faculty costs. 1) Many of our certificates will be developed from existing (or planned) masters programs, and will not incur additional costs assuming sufficient course capacity. Other additional certificates that are added must go through the MU Campus and System approval process, in which additional costs such as instructional costs must be justified. Therefore, we are not including certificate-level instructional costs (beyond the Core) in this proforma. 2) The TCoB is planning on hiring 12 net new faculty over the next 5 years to grow our faculty to more normative levels and to meet our accreditation standards (AACSB: Association to Advance Collegiate Schools of Business). Our faculty size, as indexed by student/faculty ratios, is very small relative to regional universities, SEC schools, AAU schools and peer aspirant school. This growth needs to occur regardless of any specific new programs we will add. However, we anticipate being able to use much of the additional instructional capacity to staff courses in new graduate level certificate and MS programs as they come on-line over the next 2-5 years.

Course Development Stipends: We have included \$60,000/year for three years (year zero, year one, year two) to pay course development stipends to faculty. This includes new course development or conversion of existing courses to online formats (approx \$5,000/course). We have also included FICA (7.65%) with those stipends, though we understand that these types of overload payments are not subject to regular benefit rates. We anticipate incurring more of these expenses early, as the program ramps up to our full complement of certificates offered by the TCoB. Thereafter, we have included \$40,000/year to account for significant course changes or new courses as the certificates adapt to market changes (e.g., new developments in analytics software might require new coursework to be developed or adapted).

Support Salaries: We anticipate hiring an additional marketing communications staff person (\$70,000 + benefits) to conduct and manage our external marketing efforts. In addition, we anticipate being able to provide support functions using existing staff in the TCoB Graduate Programs Office (GPO) under scenarios with student numbers under about 60 FTE (e.g. Student Services and Advising, Recruiting and Admissions, Career Services, Instructional design). We anticipate needing to hire a new support staff member (\$60,000 + benefits) to serve each new 30 students after the first 60 new students (year 4 and year 6).

<p><u>Computing Expenses:</u> Costs for computing (computers, software, printing, support) associated with hiring additional staff are estimated at \$4,000 each time a new staff member must be added to account for enrollment growth (contingent upon meeting enrollment projections), and for the additional marketing communications staff member. Updates are made every 4 years. So, \$4000 is incurred in Year 1 for the new marketing communications person, and in Year 5 for that person's system update, and in Year 4 and Year 6 as we add additional staff to service additional enrollment.</p>
<p><u>Operating Expense:</u> Our Graduate Programs Office (GPO), which already supports other masters programs, will absorb operations for the MS in Business.</p>
<p><u>Supplies:</u> We anticipate \$50/year/person for incidental supplies costs. Addition a marketing communications person in year 1, and additional GPO staff members in years 4 and 6 accounts for supplies costs increasing to \$150 over the period.</p>
<p><u>Travel and Training:</u> We have estimated an annual \$20,000/year to cover costs of training and travel associated with keeping individual certificates current (e.g., faculty training to learn new analytical tool, travel to engage in professional development training such as entrepreneurship educators conferences), and for travel by recruiters to recruiting events such as grad recruiting fairs.</p>
<p><u>Marketing:</u> Assuming program approval by January 2020, we anticipate marketing efforts to be conducted from January to June, 2020. We are budgeting \$50,000 for the first 1/2 year. In subsequent years, we anticipate a year-round marketing budget of \$100,000, which is approximately what we spend to market our current execMBA program. Of course, we will take advantage of opportunities to cross-sell by marketing multiple masters-level graduate programs on some platforms.</p>
<p><u>Campus Overhead Allocation:</u> In order to approximate the impact of programs on overhead costs incurred by campus, a figure of 20% of revenue was used (per Todd Mackley and Rhonda Gibler). This number represents a relative share of overhead costs to estimate viability, and not an amount that goes directly to campus.</p>

Appendix B: 6-Year Demand for Those with Master's Degrees in Business Using Advertised Job Postings May 1, 2018 to April 30, 2019



[Source: Burning Glass Labor Insights]

## Appendix C: Sample Programs

Given the “Stackable” nature of the program, which includes many different potential options and a combination of fee structures, student programs and costs may differ. Credit hours might also differ based on waivers, and differences in required credits for chosen certificates (e.g., 12CH minimum, but sometimes 15 or 18). Below are some sample programs and costs that we have chosen to represent a range of costs, CH, waivers, and interdisciplinary combinations.

### **MS in Business (Auditing/Assurance and Investments Certificates)**

Program/Courses	Credits	Cost
Core Business Foundations	12	\$11,028
Auditing/Assurance (Accountancy)	15	\$11,601
Investments	12	\$14,464
Totals	39	<b>\$37,093</b>

### **MS in Business (Sales and Customer Devel. and Entrepreneurship Certificates)**

Program/Courses	Credits	Cost
Core Business Foundations	6*	\$5,973
Sales and Customer Devel.	12	\$10,186
Entrepreneurship	12	\$10,186
Totals	30	<b>\$25,886</b>

\*Student waives 3CH from Core as an undergraduate Marketing major, and 3CH from management classes in Core that overlap with Entrepreneurship certificate (max. 6CH waived)

### **MS in Business (Global Supply Chain Mngt. and Personal Fin. Planning Certificates)**

Program/Courses	Credits	Cost
Core Business Foundations	12	\$11,028
Global Supply Chain Mngt		
-Management Dept.	6	\$5,094
-Engineering	6	\$5,400
Personal Financial Planning (HES)	18	\$11,256
Totals	42	<b>\$32,778</b>

### **MS in Business (Human Resource Mngt. and Non-Profit Mngt. Certificates)**

Program/Courses	Credits	Cost
Core Business Foundations	9*	\$7,413
Human Resource Management		
-Management Dept.	6	\$5,094
-Law	6	\$4,548
Non-Profit Mngt (Truman-A&S)	12	\$5,148
Totals	33	<b>\$22,203</b>

\*Student waives 3CH from Core as an undergraduate Finance major

Appendix D: Letters of Support

December 13, 2018

Dean Ajay Vinze  
Trulaske College of Business

Dear Ajay,

Thank you for sharing your proposal for the MS in Business (Stackable Certificates) framework allowing future students to customize their graduate educational experience.

I support your efforts to build graduate programs that include coursework across the Mizzou campus. I expect that other units will want to follow your lead as this approach will provide more options and flexibility for future students.

The College of Education has a number of existing certificate programs that are potential options for students who pursue this degree. A few examples include:

**User Experience and Usability-School of Information Science & Learning Technologies**

The User Experience and Usability (UXU) Certificate prepares students to design and evaluate technology tools and information systems. The multi-faceted human-centered lens for design and evaluation is a systematic process supported by research and best practices.

**Online Educator- School of Information Science and Learning Technologies**

The Online Educator Graduate Certificate helps students develop the knowledge and skills in eLearning environments and prepares students for jobs in an expanding field where online education is used in schools, universities, industry, health care, museums and other learning settings.

**Positive Psychology- Department of Educational, School & Counseling Psychology**

This graduate certificate is designed for individuals seeking a program that emphasizes applied interventions and theory in building thriving individuals, families, communities and organizations. Positive psychology is focused on advancement of the individual and their collective well-being. Individuals may use this graduate certificate to increase their professional marketability across many career paths such as life/career coaching, teaching, managing and organizational consulting.

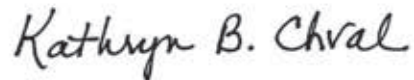
**Higher Education Administration-Educational Leadership & Policy Analysis**

The graduate certificate in higher education administration is designed to address the need for enhanced understanding of the higher education institutional context

and for improved skills and technical knowledge in areas required for effective administration and governance of higher education (e.g., budget and finance).

The College of Education is well positioned to support your efforts to roll out the program in Fall 2020. We look forward to collaborating with you.

Sincerely,

A handwritten signature in black ink that reads "Kathryn B. Chval". The signature is written in a cursive, flowing style.

Kathryn B. Chval, Ph.D.  
Dean and Professor  
Joanne H. Hook Dean's Chair in Educational Renewal

# UNIVERSITY *of* MISSOURI

SCHOOL OF HEALTH PROFESSIONS

OFFICE OF THE DEAN

December 12, 2018

Ajay Vinze, PhD  
Trulaske College of Business  
Cornell Hall  
Columbia, MO 65211

Dear Dean Vinze,

I am writing to offer my absolute support for the MS in Business and corresponding stackable certificates you and Dr. Christopher Robert are proposing. It is likely that such a degree and the certificates would prove valuable to students pursuing various degrees through the School of Health Professions.

The proposed curriculum and structure are both innovative and likely to result in highly relevant and personalized education which should, in turn, produce high satisfaction ratings for enrolled students. The format allows for the creation of certificates over time and this nimbleness is beneficial as the health care arena is continually expanding in scope. I am pleased to know that certificate offerings in the areas of Public Health, Epidemiology and One Health are already being discussed.

I believe this proposal fits well within our MU Strategic Plan and I am hopeful that this will prove an effective, efficient, and affordable model for personalized graduate education that will be adoptable across Mizzou and the UM System. I wish you much success and, again, offer my absolute support.

Sincerely,



Kristofer Hagglund, PhD  
Dean, School of Health Professions





December 10, 2018

Provost Latha Ramchand  
114 Jesse Hall

Dear Provost Ramchand,

I am writing to express my enthusiastic support for the proposed MS in Business, based on “stackable certificates.” I believe this proposal fulfills a great need for a more nimble workforce, and I am excited that the College of Arts and Science will be able to participate in this new degree program, assuming it is approved. I regularly hear from alumni that they are grateful for their A&S education, but many also regret not learning more about business. This degree program would provide a structured way for future Mizzou students to receive that education.

Arts and Science has many graduate certificates that I believe would be strong contenders for inclusion in this new degree:

- Geographic Information Science
- Geospatial Intelligence
- Global Public Affairs
- Grantsmanship
- Music Entrepreneurship
- Nonprofit Management
- Organizational Consulting and Change
- Public Management

In addition, the creation of this degree would provide a stronger foundation (more opportunities for students) with new graduate certificates we are exploring, such as Diversity in the Workplace.

I look forward to working with my colleagues in the Trulaske College of Business as we launch this exciting new program.

Sincerely,



Patricia Okker  
Dean



December 10, 2018

Christopher Robert, PhD  
Associate Dean of Graduate Programs and Research  
Trulaske College of Business  
University of Missouri  
407C Cornell Hall  
Columbia, MO 65211

Dear Associate Dean Robert:

At your request, I am writing in support of your proposal to offer an MS in Business degree that will require candidates to complete a core of business courses, a certificate offered from the Trulaske College of Business (TCoB), and an additional certificate from TCoB or other school or college at the University of Missouri. The College of Agriculture, Food and Natural Resources (CAFNR) offers several graduate certificates that would be an appropriate complement to graduate students in business. Thus, by this letter CAFNR signals its interest in participating in the new program.

We welcome and support the development of creative models for delivering graduate education. The “stackable certificates” model is innovative and could be a way for MU to differentiate itself from other institutions of higher education. The model provides flexibility in the design of individual graduate programs of study while capitalizing on existing offerings at MU. The model also highlights a willingness of academic units across campus to work together rather than against each other. Given the fiscal challenges we face as a University, cooperation and an attitude of “we are in this together” are necessary for our long-term prosperity.

CAFNR offers several graduate certificates that would be available to graduate students in TCoB, such as Agroforestry, Community Processes, Food Safety and Defense, and Precision Agriculture Technology. The graduate certificate in Analysis of Institutions and Organizations, which was recently discontinued per MDHE and campus review, might be revived in support of the Stackable Certificates program. CAFNR also supports an interdisciplinary graduate certificate in Society and Ecosystems offered through the Office of Graduate Studies.

While supportive of the proposal, I am also aware that a creating a graduate program that requires coordinated course offerings from other academic programs on campus entails some risk to students investing in it. That said, in my view, the potential benefits exceed the risks, hence my willingness to support the proposal.

Sincerely,

A handwritten signature in black ink, appearing to read "CR Daubert". The signature is written in a cursive, slightly slanted style.

Christopher R. Daubert  
Vice Chancellor and Dean

CRD:td

cc: Bryan Garton  
Senior Associate Dean for Academic Programs



December 5, 2018

Dean Ajay Vinzé  
407 Cornell Hall  
University of Missouri  
Columbia, MO 65211

Dear Dean Vinzé,

I'm writing to express my support for the MS in Business ("Stackable Certificates") degree being proposed by the Trulaske College of Business. I think this approach is innovative, and it gives students an excellent opportunity to customize their education and to obtain a valuable and truly interdisciplinary degree. The certificate-based format will allow the School of Medicine to develop coursework that is on the cutting-edge and in high demand. Certificates allow for good depth, but don't require the heavy investment in time and resources that are required by full master's programs.

Importantly, the stackable certificates approach will allow us to participate by leveraging existing programs. For example, the Health Management and Informatics department in the School of Medicine offers certificates in Informatics for Public Health, Health Ethics, and Health Informatics that could easily be included in the line-up of certificate offerings from the School of Medicine. We also offer a certificate in Life Sciences Innovation and Entrepreneurship jointly with the Trulaske College of Business and the College of Engineering that could also be included. Certainly, the increased visibility of our certificates through the MS in Business framework will also encourage us to identify other certificates that might leverage our strengths and attract new students.

The landscape of higher education is moving toward more on-line, modular, and interdisciplinary formats that are responsive to the rapid pace of change. I'm confident that the stackable certificates approach taken by the Trulaske College of Business's proposed MS in Business degree addresses those trends, and it will allow MU to effectively serve students in Missouri and beyond.

Sincerely,

Patrice "Patrick" Delafontaine, MD  
Hugh E. and Sarah D. Stephenson Dean  
Professor of Medicine and Medical Pharmacology & Physiology

# UNIVERSITY *of* MISSOURI

OFFICE OF THE DEAN

COLLEGE OF HUMAN ENVIRONMENTAL SCIENCES

December 4, 2018

Dr. Ajay Vinze  
Dean, Trulaske College of Business  
University of Missouri

Dear Ajay:

It is with unqualified enthusiasm that I write to express HES support and interest in collaborating on the proposed MS in Business (Stackable Certificates) framework and proposal. This is an important and timely advancement in graduate education at MU and I applaud the TCoB for its innovation and leadership.

The College of Human Environmental Sciences has a number of graduate certificates that I believe would be appropriate and excellent additions to the menu of stackable certificates. Based on conversations I have had with unit chairs and graduate directors, our certificates in personal financial planning, financial and housing counseling, and community processes are the most obvious choices for potential degree students, but I can see certificates presently offered by Human Development and Family Science, as well as Nutrition and Exercise Physiology, as also germane.

I feel this is a very important step forward in in graduate education at MU and I know HES and other colleges will be following your progress as a possible model for adoption. The central idea fits squarely with the kinds of holistic training that I know are sought after in many workplace sectors. And certainly this is the type of program that can attract nontraditional graduate students and provide an additional source of revenue for the campus and the colleges. Again, I appreciate the Trulaske College of Business for its foresight and planning.

I wish you the best of success with your proposal, and please let me know if I can provide any further information.

With regards,



Sandy Rikoon  
Dean, College of Human Environmental Sciences  
Curators Distinguished Professor of Rural Sociology



December 4, 2018

Dr. Latha Ramchand  
Provost and Executive Vice Chancellor for Academic Affairs  
University of Missouri Columbia  
110 Jesse Hall  
Columbia, MO 65211

Subject: Trulaske College of Business MS in Business Degree

Dear Provost Ramchand:

Please accept this letter as my formal support of the Trulaske College of Business (TCoB) proposal for the MS in Business degree (a.k.a. Stackable Certificates). The College of Engineering (COE) is fully supportive of this proposal and we are excited to further our collaborative efforts with the College of Business. There are a number of existing, planned or possible future certificates that might fit well within this framework that include, but are not limited to, Global Supply Chain Management, Construction Management, Life Science Innovation and Entrepreneurship and Energy Efficiency. I fully expect that the offerings will grow and evolve with market demands and faculty expertise. Certificates offered by the COE, or jointly between the COE and TCoB, would be highly sought after by students.

This is a novel approach to delivering graduate education that might be a model for not only the COE but also other programs, colleges and schools across campus. It has the potential to be a driver of revenue generation and for distinguishing MU as a provider of innovative educational approaches that meet students' changing needs. Without reservation, I strongly support the TCoB proposal for the MS in Business degree.

Sincerely,



Elizabeth G. Loba  
MU Vice Chancellor for Strategic Partnerships  
Dean, MU College of Engineering

December 19, 2018

Latha Ramchand  
Executive Vice Chancellor of Academic Affairs & Provost  
University of Missouri  
110 Jesse Hall

Dear Provost Ramchand,

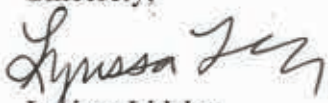
I write to lend my enthusiastic support to the Trulaske College of Business proposal to create a stackable certificate program centered around a core of business courses to which will be added courses taught by other colleges, including the MU Law School.

The Law School envisions offering stackable certificate courses in Dispute Resolution, in which we have particular expertise and a program already ranked fifth in the country. We also envision offering courses in Employment or Human Resources Law and Business Law. We believe that there are a substantial number of students who need legal expertise even though they do not plan to become practicing lawyers, and this program will allow us to reach those students. In addition, a number of our faculty are researching and teaching at the cutting edge of technology law issues, and we envision future certificate programs that might leverage this expertise for the benefit of students and the University of Missouri.

Certificates jointly offered by the Trulaske College of Business and the Law School would almost certainly be highly attractive to students. The Law School's Associate Dean Paul Litton has been working with the Business School's Associate Dean Chris Roberts, and they anticipate working together to have the stackable certificate program in place by fall 2020.

We hope our collaboration in this area might be a model across campus for delivering faculty expertise to new audiences. For our part, we realize that we must branch out beyond J.D. students if we are to increase our impact and national reputation and generate additional revenues. We believe that interdisciplinary stackable certificates such as the one proposed will enable us to work together to meet the changing needs of tomorrow's students.

Sincerely,



Lyrissa Lidsky  
Dean and Judge C.A. Leedy Professor of Law

June 17, 2019

Christopher Robert, PhD  
Associate Dean for Graduate Programs and Research  
Trulaske College of Business  
University of Missouri  
407C Cornell Hall  
Columbia, MO 65211

Dear Chris,

The Graduate School at the University of Missouri St. Louis endorses and supports the new MS degree program in Business at MU, based on stackable certificates. This would allow students to take a core of business classes with at least one certificate from the college of business at MU, and then one other certificate could come from an approved list of certificates from other campuses, including UMSL. The idea of stackable certificates provides an innovative educational approaches that will help us to meet the changing needs of our students. This will be an interdisciplinary and cross-system program, in keeping with the spirit of cooperation and effective use of resources across the system that the administration at UMSL supports as does President Choi. This program is an innovative approach to delivering graduate education, that could be used by other graduate programs across the UM System. We believe that this will lead to increased enrollments and will be effective for generating new income.

The graduate certificate programs that UMSL is proposing for inclusion in the new degree program are:

- Digital and Social Media,
- Cybersecurity
- Supply Chain
- Information Systems, and likely Legacy Systems as well.

We look forward to working collaboratively to ensure the success of this new program.

Sincerely yours,



Teresa Thiel, PhD  
Dean of the Graduate School





July 1, 2019

Mun Y. Choi  
321 University Hall  
Columbia, MO 65211

Dear President Choi:

I am happy to support the proposal for a Master of Science in Business submitted to the System by the University of Missouri – Columbia. At Missouri University of Science and Technology we believe that this degree proposal is consistent with the UM System’s initiatives for supporting cross-campus collaborations in research and education, and we look forward to participating in this degree. Delivering a degree with “stackable” certificates and using teaching resources across the UM System campuses is a novel approach to graduate education, and one that we hope more Universities (including Missouri S&T) will use as a model.

Missouri S&T fully supports this effort by UM-Columbia as it offers a new approach to education and it addresses the needs of the new generation of students.

Sincerely,

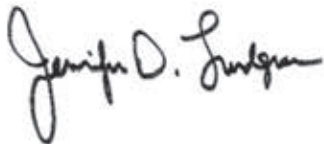
Costas Tsatsoulis  
Vice Chancellor of Research and  
Dean of Graduate Studies

June 18, 2019

Dear Associate Dean Robert,

On behalf of the UMKC School of Graduate Studies, I am writing to express my support for your proposal to develop a Master of Science in Business degree using stackable certificates. As I understand, you have been in communication with Dean Klaas of the Henry W. Bloch School of Management at UMKC as you have developed your proposal. One of the significant advantages of the proposed program is that it will provide opportunities for all UM System campuses to participate through the delivery of a certificate that is "stacked" with a core set of business courses and second certificate offered through the Trulaske College of Business. This model has the benefit of increasing collaboration across UM System schools, providing academic opportunities to students that they would not otherwise have, and growing graduate tuition revenue across all campuses. Your proposed degree will provide a model for future graduate degree programs across a variety of disciplines. The UMKC School of Graduate Studies looks forward to working with you to find UMKC academic partners who can offer attractive and high quality graduate certificates that will be a great fit with your student curricular needs and UM System workforce development goals.

Best regards,



Jennifer D. Lundgren, PhD FAED  
Dean, School of Graduate Studies  
Interim Dean, College of Arts and Sciences  
Professor of Psychology  
University of Missouri-Kansas City





Spire Inc.  
700 Market Street  
St. Louis, MO 63101

December 4, 2018

Christopher Robert, PhD  
Associate Dean of Graduate Programs and Research  
Trulaske College of Business  
University of Missouri  
407C Cornell Hall  
Columbia, MO 65211

Chris,

First of all, I trust the semester is ending well for your team, the faculty and the students at the TCOB!

I was thinking back to our discussions over the last year on the MS in Business (Stackable Certificates) degree program, and in particular the Fall meeting of the Crosby MBA Advisory Board. Interesting that Spire is in the process of standing up a couple new business units as well as a more formal innovation effort...and struggling to find data analytics, accounting, and innovation talent who also bring a solid foundation in overall business or engineering. Just the talent that your program would be developing!

I applaud your efforts to launch the stackable certificates program, and I believe that many companies like ours will embrace the opportunities - to hire the graduates as well as enhancing the skills and value of our current team. And the on-line nature works well with a workforce spread from Wyoming to Houston and St. Louis to Mobile, Ala.! I can also tell you from my family experience (three children who are finishing up their advanced degrees, including one graduate of the Mizzou 5-year Accountancy program), this approach is an innovative way to counteract the trend away from the traditional MBA approach...and it will distinguish the TCOB from its peers in a rapidly changing education market.

Just wanted to share my thoughts and do let me know how I can help you and the team as you develop the program to its full potential.

Here's to a successful 2019, and Go Tigers!

Sincerely,

A handwritten signature in blue ink, appearing to read "Steve", is written over a faint, larger version of the signature.

Steven P. Rasche  
Executive Vice President  
and Chief Financial Officer

cc: Dean Ajay Vinze

May 15, 2019

Dr. Latha Ramchand  
Provost and Executive Vice Chancellor for Academic Affairs  
University of Missouri  
110 Jesse Hall  
Columbia, MO 65211

Dear Provost Ramchand,

I am writing this letter to offer my support for stackable certificates for students in Trulaske College of Business' program. As many of us have expressed on the board, I am excited about the possibilities this new program could bring.

In my experience consulting with organizations across the world, I have seen a clear shift in learning needs for employees and leaders. The environment is much more complex and unpredictable. Leaders are looking for employees who can adapt and add value in a fast-paced, changing and unpredictable environments. Leaders that I work with are currently struggling finding qualified talent who can be successful in this new environment.

It's become clear that a "one size fits all" degree is becoming less appealing. The Trulaske College of Business' ability to adapt to those needs will be imperative for the program's growth and continued innovation in education programs. The interdisciplinary nature of the program allows students to design their education and opens up new opportunities to customize, and in turn, creates specialized skill sets that enhance each student's threshold for success. The online component offers additional flexibility and access. I fully support the idea of implementing this program.

Sincerely,



Kerry Goyette, CPBA  
President

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OPEN - AS&RED 2-61

September 26, 2019



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

Department of Finance  
401 Cornell Hall  
Columbia, MO 65211

(573) 882-5357  
Email: [howej@missouri.edu](mailto:howej@missouri.edu)

December 17, 2018

To whom it may concern:

I write to express my enthusiastic support for the MS in Business program which will be structured using stackable certificates. The Department of Finance will participate in this program by offering at least one certificate in Finance initially. This participation will leverage one of our existing strengths. Specifically, some of the classes that will make up the Finance certificate will be those offered by our new MS in Finance program that launched this past August. The MS in Finance is 100% online.

Online classes increase students' access to education. Given that one certificate in the MS in Business program can be from outside the College of Business, the MS in Business will help students from other disciplines get business training, thereby increasing their job prospects. In-seat classes will also benefit from having students from outside the College of Business.

The department will benefit from increased enrollment in our MS classes, thereby generating additional revenue to support our research and teaching missions. The MS in Finance program has already increased Mizzou's visibility in the business community, and the MS in Business will add to that visibility.

Although this has not been discussed at length, it is possible that a second certificate in Financial Engineering could be created in collaboration with the College of Engineering.

In short, the Department of Finance, the Trulaske College of Business, and the university as a whole will benefit from the implementation of the MS in Business program. The Department of Finance looks forward to participating.

Sincerely,

A handwritten signature in black ink, appearing to read 'John S. Howe'.

John S. Howe, Ph.D., CFA  
NACD Corporate Governance Fellow  
Chair, Department of Finance  
University of Missouri – Columbia



**Daniel B. Turban**  
**Chair and Professor of Management**  
**Emma S. Hibbs/Harry Gunnison Brown Chair of**  
**Business and Economics**  
517 Cornell Hall • Columbia, MO 65211-2600  
Tele: 573.882.0305 • E-mail: [turban@missouri.edu](mailto:turban@missouri.edu)

December 17, 2018

Dr. Latha Ramchand  
Provost and Executive Vice Chancellor for Academic Affairs  
University of Missouri Columbia  
110 Jesse Hall  
Columbia, MO 65211

Subject: Trulaske College of Business MS in Business Degree

Dear Provost Ramchand:

I am writing this letter to emphasize my enthusiastic support for our College's M.S. in Business degree and the concept of stackable certificates for students in that degree. I believe this new degree will provide considerable value to students who are interested in a graduate degree in business but would like a more specialized program than that offered by a MBA program. A strength of the proposed M.S. in Business degree is that it provides a strong business foundation and allows students to choose one or more certificates they believe will be most valuable for their professional and personal development.

My colleagues and I are excited about offering a few certificates. We are currently working with Jim Noble of the Industrial Manufacturing Systems Engineering on a Graduate Supply Chain Management Certificate. We are already collaborating on an interdisciplinary undergraduate SCM certificate, which has been received positively by both IMSE and Management students, and we expect the Graduate certificate to be equally or more popular. The GSCM certificate has been approved by the College of Engineering; the Management Department has approved the certificate and the College will vote on it in the spring. Our department is also quite excited about offering an Entrepreneurship Certificate. We currently have a M.S. in Entrepreneurship program proposal that was approved by the College and is being reviewed at the University and System level. The Entrepreneurship Certificate will be comprised four courses in the M.S. degree.

In addition to those two certificates, we have other possible certificates being discussed: a Talent Management certificate, and a Leadership Development certificate. All in all, we believe the M.S. in Business degree with stackable certificates will add considerable value to students and to our department and college.

Sincerely,

Daniel Turban  
Chair and Professor of Management

December 17, 2018

To Whom It May Concern:

I am writing to express my strong support for the Stackable Certificates proposal being submitted by the Trulaske College of Business.

One of the cornerstones of the School of Accountancy's 150-hour program (which bestows integrated BSAcc/MAcc degrees) is the availability of two certificates: Assurance (Audit) and Tax. Each of these certificates requires the completion of 15 hours of graduate-level elective coursework in accountancy.

These certificates are highly popular options (with around 25 tax certificates a year and 60-70 assurance certificates expected a year). While these certificates are typically completed by students already enrolled in the 150-hour accountancy program, the coursework is open to all eligible students who have met the pre-requisites. Completion of a certificate provides clear and strong signals to the marketplace regarding the candidate's training, qualifications, and job potential.

Given the School of Accountancy's national standing and outstanding record of job placements, we expect that making our certificate coursework available to eligible students (who are seeking to complete stackable certificates) will increase their marketability. At the same time, it will help increase our reach, enrollments, and revenue.

Accordingly, the stackable certificates proposal can be a win-win proposition for all involved. Therefore, I hope that you will give it favorable consideration. Thank you.

Sincerely,



Vairam Arunachalam  
Director, School of Accountancy  
& PricewaterhouseCoopers / Joseph A. Silvosso Distinguished Professor  
Trulaske College of Business  
University of Missouri

## **New Degree Program, Bachelor's of Science in Sport Management, UMSL**

### **Executive Summary**

As an interdisciplinary and professional degree program, the Bachelor of Science in Sport Management will deliver integrated, specialized training with broadly applicable knowledge and skills. There is strong demand for such a program. Recently, the National Collegiate Athletic Association noted an all-time high in college sport participation, which was evident in 500,000 college students competing on more than 19,000 teams. The National Federation of State High School Associations noted that nearly 8 million students participated in a sport during 2017-18 academic year. Nationwide participation is exponentially increased when youth, community, and professional sports are included. Given higher participation rates and the need for specialized support for sport-related groups and organizations, the Bureau of Labor Statistics identified sport management as a field with tremendous growth potential over the next decade. It is unsurprising that Sport Management is one of our most frequently requested majors (UMSL Office of Admissions).

The B.S. in Sport Management will address this growing need by providing a structured degree program predicated on the standards of the Commission on Sport Management Accreditation (COSMA). It is designed for undergraduate students seeking training in the organizational, logistical, and managerial aspects of sports. The program provides students with essential knowledge, skills, and experiences necessary for athletic and management roles in a wide-range of contexts (e.g., professional athletic organizations, intercollegiate athletics, youth sports programs, sports public relations, marketing, media, and merchandising). The State of Missouri has only one COSMA-accredited program, and it is not located in the St. Louis Metropolitan Region.

The B.S. in Sport Management delivers a balance of the athletic and administrative aspects of sport and allows for further specialization via elective choices and minors. The 120 total credits required is typical of similar degree programs. The degree will be housed in the Department of Education Sciences and Professional Programs in the College of Education. The College currently has one full-time tenure track faculty member dedicated to health, physical education and exercise science with an established research agenda in sport. A non-tenure track faculty will be hired Year 1, followed by a tenure-track faculty hired in Year 3. Advisement in Years 1 and 2 will be conducted by current staff in the College's Office of Advisement and Student Services, and in Year 3, a part-time advisor will be added to assist with advisement, given increasing enrollment in the program.

UMSL Athletics and other departments with key skillsets will augment delivery of the program. Given the vibrant St. Louis Metropolitan Area, UMSL has ready access to industry-wide professionals who will enrich the experience of Sport Management students through campus visits, part-time instruction, and internship opportunities. Several stakeholders, businesses and organizations, have provided letters of support for the program, interns, and graduates. Collectively, these assets provide the foundation of the program and establish a staging ground to pursue COSMA accreditation.



No.3

Recommended Action – BS Sport Management, University of Missouri - St. Louis

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President Mun Choi, recommended by the Academic, Student Affairs, & RED 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 BS Sport Management to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee:	YES	NO
Curator Chatman		
Curator Layman		
Curator Snowden		
Curator Williams		

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

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

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

University of Missouri – Saint Louis  
Bachelor of Science in Sport Management  
New Undergraduate Degree Program Proposal

## Bachelor of Science in Sport Management

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## Executive Summary

As an interdisciplinary and professional degree program, the Bachelor of Science in Sport Management will deliver integrated, specialized training with broadly applicable knowledge and skills. There is strong demand for such a program. Recently, the National Collegiate Athletic Association ([NCAA.com, Oct. 15, 2014](#)) noted an all-time high in college sport participation, which was evident in 500,000 college students competing on more than 19,000 teams ([NCAA.com, Oct. 10, 2018](#)). The National Federation of State High School Associations ([NFHS News, Sep. 11, 2018](#)) noted that nearly 8 million students participated in a sport during 2017-18 academic year. Nationwide participation is exponentially increased when youth, community, and professional sports are included. Given higher participation rates and the need for specialized support for sport-related groups and organizations, the [Bureau of Labor Statistics](#) (2018) identified sport management as a field with tremendous growth potential over the next decade. It is unsurprising that Sport Management is one of our most frequently requested majors (UMSL Office of Admissions).

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The College currently has one full-time tenure track faculty member dedicated to health, physical education and exercise science with an established research agenda in sport. A non-tenure track faculty will be hired Year 1, followed by a tenure-track faculty hired in Year 3. Advisement in Years 1 and 2 will be conducted by current staff in the College's Office of Advisement and Student Services, and in Year 3, a part-time advisor will be added to assist with advisement, given increasing enrollment in the program.

UMSL Athletics and other departments with key skillsets will augment delivery of the program. Given the vibrant St. Louis Metropolitan Area, UMSL has ready access

to industry-wide professionals who will enrich the experience of Sport Management students through campus visits, part-time instruction, and internship opportunities. Several stakeholders, businesses and organizations, have provided letters of support for the program, interns, and graduates. Collectively, these assets provide the foundation of the program and establish a staging ground to pursue COSMA accreditation.

## 1. Introduction

In the fall of 2017, the College of Education convened an interdisciplinary advisory group with representation from Education, Business Administration, Marketing, Economics, History, Anthropology, Athletics, and Psychology to discuss the viability and planning for a Bachelor's Degree in Sport Management. The group was initially led by Dr. Timothy Makubuya and supported by Dr. Donald Gouwens, Chair, Department of Education Sciences and Professional Programs, College of Education, and Dr. Michael Bahr, Associate Dean, College of Education. Armed with Bureau of Labor Statistics and reports from professional organizations, all parties acknowledged the value and importance of adding a Bachelor of Science in Sport Management to the degree offerings at UMSL. The rationale, justification, and curriculum for this degree has been greatly enhanced through consultation with the Executive Director of COSMA and two directors of accredited sport management programs. Over the next four months, the group outlined a proposal, identified courses, and developed the degree curriculum. A total of 120 credit hours will be required for graduation with 39 hours for the Sport Management degree major (18-hour core, 15 hours of electives, and a 6-hour capstone internship).

The B.S. in Sport Management degree is designed to prepare graduates as professionals with the essential knowledge, skills, and experiences to be successful in sports-related capacities such as professional athletic organizations, intercollegiate athletics, youth sports programs, recreational facility management, sports public relations, sport marketing and media, as well as sport merchandising. Concepts and competencies are developed through coursework and mastery is assessed through internship requirements. Upon degree completion, graduates will have the necessary preparation to pursue opportunities in administration, event planning, facility management, broadcasting, scouting agencies, athletic directorships, coaching, and community-based athletics.

A report published by the National Collegiate Athletic Association ([NCAA.com](http://NCAA.com), Oct. 15, 2014) indicated that participation in college sports had reached an all-time high. This trend in sport participation has been sustained, and the NCAA reported that, in the 2017-18 academic year, another all-time high had been reached with nearly 500,000 college students competing on more than 19,000 teams ([NCAA.com](http://NCAA.com), Oct. 10, 2018). A recent report by the National Federation of State High School Associations showed that nearly 8 million students participated in a sport during 2017-18 academic year, according to the National Federation of State High School

Association ([NFHS News, Sep. 11, 2018](#)). If youth, community, and professional sports are included, nationwide participation in sports is exponentially increased.

With greater participation rates comes higher demand for individuals who can provide specialized logistical support for sport related groups and organizations. Indeed, the [Bureau of Labor Statistics](#) (2018) identified sport management as a field with tremendous growth potential over the next decade. Given these figures, it is not surprising that Sport Management is one of the most frequently requested majors at recruitment events (UMSL Office of Admissions). Based upon our strategic plan, Compact 1, Excellence in Student Success, UMSL will increase the number of educated students in the St. Louis Region. More precisely, this program will contribute to the campus goal of increasing the enrollment of degree-seeking students from 10,250 to 11,250 by 2023.

Appendix A provides a list of new courses to be developed for the program. Appendix B contains the entire degree plan. To facilitate degree completion, Appendix C lists recommended general education courses. Lastly, Appendix D provides additional coursework and suggested minors for the degree.

With the full support of Academic Affairs, we submitted the pre-proposal for the Bachelor of Science Degree in Sport Management in Fall 2018. We were encouraged by the feedback we received for a “well-written pre-proposal and the rationale for the program.”

## **2. Fit With University Mission & Other Academic Programs**

### **2.A. Alignment With Mission and Goals**

The B.S. in Sport Management aligns with Goal 1 of the 2018-2023 UMSL Strategic Plan. Goal 1 seeks to “Reallocate resources to academic programmatic areas of growth, strength, and excellence.” Evidence from third-party sources make a strong case for the viability and growth potential of this program. As previously noted, the office of the Vice Provost for Enrollment Management has reported that sport management is one of the more frequently requested majors by prospective applicants. Consequently, development of this program directly aligns with our campus goal to increase enrollment. The degree program also takes advantage of existing university strengths including academic and administrative talent as well as regional advantages. Its alignment with COSMA standards helps to ensure that as the program matures, it will become a center of excellence for the campus. The program is distinctive in that the Office of the Provost has been directly involved in providing support for the fast-tracking of this proposal. Our data on prospective enrollment, coupled with the market analysis demonstrating need for sport management majors, have made the creation of this degree a campus priority.

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

There are no programs at UMSL similar in nature to the proposed program, and Sport Management is unduplicated at UMKC or Missouri S&T. The University of Missouri offers a Bachelor of Science in Parks, Recreation, and Sport with an emphasis in Sport Management. The MU and proposed UMSL programs share similarities in terms of general focus, degree requirements, and length, but there are some distinctions.

First, the MU program is a Bachelor of Science in Parks, Recreation, and Sport with Sport Management representing one of four emphasis area options (along with Natural Resource Recreation Management, Recreation Administration, and Tourism Development). It is a nationally accredited program via the Council on Accreditation of Parks, Recreation, Tourism and Related Professions (COAPRT). In contrast, the proposed UMSL program will result in a Bachelor of Science in Sport Management degree that focuses on the business and community-athletics aspects of sport and will be nationally accredited via COSMA.

The location and nature of the student populations represent two other distinctions between the programs. The B.S. in Sport Management degree at UMSL is a direct response to a market need in the Greater St. Louis Metropolitan Region for a nationally-accredited Sport Management program, and the overwhelming majority of UMSL students are St. Louis natives who choose to stay in the area. The large urban setting provides a plethora of internship opportunities. Though the MU program certainly attracts students from the St. Louis area, its status as a SEC Division I Athletics and flagship institution of the UM-System draw students to the university from across the country, often for reasons other than specific degrees. Furthermore, its geographic location in the center of the state provides ready access to the program as well as a wide variety of internship placement options from across Missouri.

In the end, both programs offer flexibility with regard to choice of electives and minors, thus providing graduates with a variety of skillsets. The complementary nature of the two programs' strengths and accreditations speak to the potential for collaboration. To this end, on May 31, 2019, the UMSL Sport Management degree program authors had an in-depth conversation about potential collaborations/course sharing opportunities with the MU Park, Recreation and Sports Interim Associate Director, Dr. Sonja Wilhelm Stanis (see Appendix E). Further explorations to establish mutually beneficial cooperative agreements will ensue upon hiring specialty faculty. Currently, we anticipate that interested students at UMSL will be able to access online sport and recreation courses at MU. Currently, 40% of the courses in the UMSL sport management core have online course offering options

On advice from the System, we consulted again with Dr. Beth Easter, Sport Management Program Director, Southeast Missouri State University (SEMO). Dr. Easter was one of the original consultants recommended by COSMA because SEMO is the only accredited program in the State of Missouri. Thus, we had established a collegial relationship with her. In our most recent correspondences, Dr. Easter pointed out that there is a concentration of programs in the State of Illinois, though Missouri is not as saturated. Dr. Easter was unable to conclude that there were too many programs in the St. Louis area, and she noted that many students in the SEMO program come from the St. Louis Metropolitan Area (see Appendix E).

### **3. Business-Related Criteria and Justification**

#### **3.A. Market Analysis**

The primary analysis conducted to assess a market need for sport management professionals was conducted by Burning Glass. Results are posted in Appendix F. Some of the most pertinent findings of the Burning Glass analysis were:

- In the Greater St. Louis Metropolitan Region, 1,358 sport management-related job postings in the last 12 months.
- The number of jobs in sport management is expected to grow over the next 8 years.
- In a comparison of six major categories of occupational groups, the category with sports-related positions had nearly 45% of positions, higher than any other occupational category.
- The average salary is project to be \$48,925. This salary is above the average living wage for Missouri of \$28,621.
- Degrees conferred in occupations in sport management and related positions increased by 21% from 2013-2017.

##### **3.A.1. Need for Program**

The National Collegiate Athletic Association reported that nearly 500,000 students competed on approximately 19,000 teams in 2017-18. The National Federation of High School Associations (NFHS) reported that nearly 8 million students participated in high school sports. This record participation represents a larger



trend. For example, when participation in professional, semi-professional, and community sports leagues are included, the number of participants is massive. According to the U.S. Bureau of Labor Statistics (2018), jobs in sport management will grow faster than average through 2026 due to expansion from multi-billion dollar profits in the sports industry. For example, from 2016-2026, jobs for coaches and scouts are projected to grow by 13%, event planning by 13%, and facility management and sports marketing by 10%.

The UMSL Office of Admissions reports that Sport Management consistently is among the top 5 majors requested by prospective students. Upon learning that UMSL does not offer this degree, many of those students choose to go elsewhere. In addition, UMSL Athletics has found strong interest in a Sport Management degree among student athletes. We anticipate that an interdisciplinary degree combining a traditional Sport Management curriculum with courses geared to athletics and business will fill an important divide between organizational/industry needs and the skillsets of students at graduation.

The proposed degree provides a balance between the educational-community emphasis on athletics and the business aspects of sport. This is a unique programmatic feature compared to alternative programs offered in the St. Louis Metropolitan Area. For example, St. Louis University, Missouri Baptist University, and Fontbonne University offer a similar degree but with greater emphasis on the business. Webster University offers a Sports Communication degree, but this program has an entirely different focus with a substantially different curriculum. According to the Educational Advisory Board assessment of current market trends, the B.S. in Sport Management at UMSL will provide students with in-demand skills relevant for future success and employment as reflected in the relevant Burning Glass analyses (see Appendix F).

Perhaps the most distinguishing feature of the proposed program is its commitment to program excellence via pursuit of national accreditation. The College of Education places high value on professional accreditations and the benefits of meeting the highest standards of excellence. Indeed, the College of Education has a long history of national accreditation with the National Council for Accreditation of Teacher Education and recently submitted its application for continued accreditation from the Council for the Accreditation of Educator Preparation (CAEP). The Department of Education Sciences and Professional Programs houses four nationally accredited graduate programs: three in Counseling by the Council for the Accreditation of Counseling and Related Educational Programs and one in School Psychology by the National Association of School Psychologists. In addition, the UMSL College of Business Administration is the only public institution in this region with undergraduate and graduate degree programs in Business and Accounting that are accredited by the Association to Advance Collegiate Schools of Business.

Currently, Southeast Missouri State University is the only institution in the State of Missouri to offer a COSMA accredited program. Consequently, COSMA accreditation

is a high priority for the UMSL Sport Management Program as it establishes itself as a high-quality program meeting the unique needs of the region. Given that none of the universities in the St. Louis Metropolitan area have a program that is accredited, COSMA accreditation will give UMSL a market advantage and thus create an opportunity to establish itself as a center of excellence for sport management in St. Louis.

The rationale, justification, and curriculum for this degree have been greatly enhanced through consultation with the Executive Director of COSMA and two directors of accredited sport management programs at Southeast Missouri State University and Wichita State University (see Appendices G and H). Each of these professionals noted the lack of a COSMA program in St. Louis and more generally, the State of Missouri. Furthermore, they remarked that due to its geographical location, UMSL is uniquely situated to take advantage of opportunities and to deliver knowledge and skills that are desperately needed. There are numerous opportunities for the program to partner with business, education, and community sports organizations, and there are a multitude of opportunities for graduates of the program (e.g., school sports leadership, community-based athletics, and coaching, as well as collegiate and professional athletics). With a socially- and culturally-diverse student body, UMSL can help fill clinical internships and secure mutually beneficial business opportunities through organizations such as the St. Louis Cardinals, St. Louis Blues, and the St. Louis Football Club. Appendix I contains representative letters of support from UMSL academic units and from various St. Louis Metropolitan sport businesses and community organizations.

### 3.A.2. Student Demand for Program

There is strong evidence of student demand for the B.S. in Sport Management. Direct evidence can be derived from two sources: the UMSL Office of Admissions and UMSL Athletics. According to the Office of Admissions, and as noted earlier, Sport Management is one of the top 5 requested majors by prospective applicants. Similarly, UMSL Athletics has reported that prospective student athletes routinely inquire about the availability of a Sport Management degree. National trends in participation in sport corroborate what has been observed by these units. Our enrollment and student credit hour (SCH) projections are as follows:

Table 1a. Projected New Student Enrollment (Headcount)								
Year	1	2	3	4	5	6	7	8
1st Year	25	30	36	43	49	54	54	54
Continuing from prior years	0	19	40	64	76	89	102	109

<b>Total</b>	25	49	76	107	125	143	156	163
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<b>Table 1b. Projected Number of Degrees Awarded</b>								
<b>Year</b>	1	2	3	4	5	6	7	8
<b># of Degrees</b>	0	0	0	16	20	23	28	31

The student headcount enrollment estimates above are based on the following assumptions:

- Program implementation begins Fall 2019
- No students are cannibalized from other UMSL programs.
- All students enroll as full-time freshman and graduate in four years.
- Enrollment growth rate is 20% annually between years 1 and 3, 15% in year 4, 10% in year 5 and flat afterward.
- Retention is 75% between freshman to sophomore, 90% between sophomore to junior, and 95% between junior to senior. Enrollment management maintains no retention data beyond freshman to sophomore.
- Pro Forma assumes 84% percent of enrolled students are resident or paying a tuition rate equivalent to the resident rate.

<b>Table 1c. Projected Program Specific SCH Generated from New Student Enrollment</b>								
<b>Year</b>	1	2	3	4	5	6	7	8
<b>1st Year</b>	150	180	216	258	294	324	324	324
<b>2<sup>nd</sup> Year</b>		171	207	243	288	333	369	369
<b>3<sup>rd</sup> Year</b>			204	252	288	348	396	444
<b>4th Year</b>				192	240	276	336	372
<b>Total</b>	150	351	627	945	1,110	1,281	1,425	1,509

The student SCH estimates above are based on the following assumptions:

- SCH are limited to the 39 SCH which are required for the degree. This represents only one-third of the SCH generated from the 120 SCH graduation requirements.
- Program specific requirements are 39 SCH; per student SCH are as follows
  - Freshman 6 SCH
  - Sophomore 9 SCH
  - Junior 12 SCH
  - Senior 12 SCH
  - No general education required SCH or SCH related to minors are included

Because the SCH projections are limited to the 39 credit hours required for the major, it is noteworthy that enrollment of new students in Sport Management will have a broader impact on institutional enrollment and SCH production.

### **3.B. Financial Projections**

The “Undergraduate Program Pro Forma” required is attached to the electronic submission of the proposal.

### 3.B.1. Expenses

Resources Needed	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
<b>Compensation</b>								
Tenure/Tenure Track Faculty; FT; 9-mon	-	-	83,232	84,897	86,595	88,326	90,093	91,895
Non-Tenure Faculty; FT; 9-mon	60,000	61,200	62,424	63,672	64,946	66,245	67,570	68,921
Non-Tenure Clinical Faculty Internship Supervision; PT; 12-mon	-	-	-	-	-	29,810	30,406	31,015
Non-Tenure Adjunct Instructors; PT; as needed	-	-	3,121	6,367	9,742	13,249	13,514	13,784
Advisor; PT; 12-mon	-	-	-	22,285	22,731	23,186	23,649	24,122
Student Support Specialist; PT; 12-mon	-	-	17,312	17,659	18,012	18,372	18,739	19,114
SubTotal FT Salaries	60,000	61,200	145,656	188,513	192,283	196,129	200,051	204,053
SubTotal PT Salaries	-	-	20,433	6,367	9,742	43,059	43,920	44,799
<b>Total Salaries</b>	<b>60,000</b>	<b>61,200</b>	<b>166,089</b>	<b>194,880</b>	<b>202,025</b>	<b>239,188</b>	<b>243,972</b>	<b>248,851</b>
Benefits	21,420	21,848	53,566	67,788	69,392	73,320	74,786	76,282
<b>Subtotal Salaries and Benefits</b>	<b>81,420</b>	<b>83,048</b>	<b>219,656</b>	<b>262,668</b>	<b>271,417</b>	<b>312,508</b>	<b>318,758</b>	<b>325,133</b>
<b>Operating Expense (Recurring)</b>								
Noncapital Equipment	1,000		2,000	1,000	1,000	1,000	2,000	
Supplies and other operating expenses (\$1400 each fte employee)	1,400	1,400	3,850	4,900	5,250	6,580	6,580	6,580

Recruiting Supplies & Degree Specific Marketing	4,000	4,000	4,000	4,000	4,000	4,000	4,000	4,000
Travel & Training	1,100	1,100	2,200	3,700	3,700	3,700	3,700	3,700
Misc. Expenses (Annual Accreditation Dues)			2,000	1,000	1,000	1,000	1,000	1,000
Subtotal Operating Expense	7,500	6,500	14,050	14,600	14,950	16,280	17,280	15,280
<b>One-time Expenditures (Startup Costs)</b>								
Commission on Sport Management Accreditation (COSMA) - consulting; process		10,000	5,000					
Marketing Start-Up Costs in addition to on-going marketing	15,000	15,000	15,000	10,000				
Faculty Search costs (\$4000 NTT; \$6000 TT)	4,000	6,000						
Faculty Moving costs (lessor of 5% salary or \$5K)	3,000	4,162						
Subtotal One-time Expense	22,000	35,162	20,000	10,000	-	-	-	-
<b>TOTAL EXPENDITURES</b>	<b>110,920</b>	<b>124,710</b>	<b>253,706</b>	<b>287,268</b>	<b>286,367</b>	<b>328,788</b>	<b>336,038</b>	<b>340,413</b>

The recurring costs include:

- NTT faculty in year 1 and forward; course development, teaching and recruiting in early years; \$60,000 9 month
- T/TT faculty added in year 3 in preparation for accreditation; \$83,232 9 month
- Clinical Educator added in year 6 to coordinate and observe field experiences. \$29,810 annually 70% fte.
- Adjunct faculty as needed.
- Student advisor in year 4 with a 50% fte.
- Student support specialist added in year 3 to coordinate field placement locations and establish relationships with local hosting institutions and businesses.
- Other recurring costs include periodic purchases and replacements of computers, supplies and other standard operating expenses, recruiting and instructional supplies, on-going marketing, professional travel for faculty, and accreditation dues.

The recurring costs include:

- NTT faculty in year 1 and forward; course development, teaching and recruiting in early years; \$60,000 9 month
- T/TT faculty added in year 3 in preparation for accreditation; \$83,232 9 month
- Clinical Educator added in year 6 to coordinate and observe field experiences. \$29,810 annually 70% fte.
- Adjunct faculty as needed.
- Student advisor in year 4 50% fte
- Student support specialist added in year 3 to coordinate field placement locations and establish relationships with local hosting institutions and businesses.
- Other recurring costs include periodic purchases and replacements of computers, supplies and other standard operating expenses, recruiting and instructional supplies, on-going marketing, professional travel for faculty, and accreditation dues.

One-time costs include:

- Consulting in years 2 and 3 to assess program readiness for Commission on Sport Management and to assist in preparation of application documents.
- Marketing in years 1 through 4. The greater spending on marketing in the initial years is intended to create the necessary exposure and momentum for the new program.
- Faculty search costs.
- Faculty moving costs.

UMSL currently has sufficient space needed to accommodate this degree program.

### **3.B.2. Revenue**

Revenue projections are based on the projected student enrollments above. Each student completing a Bachelor of Science in Sport Management completes 120 student credit hours (SCH). The degree has specific requirements for 39 of those 120 SCH. The revenue projections included in this proposal are only the 39 SCH required by the degree.

These additional assumptions are incorporated in the revenue projection:

- Revenue is limited to the 39 SCH which are required for the degree. This represents only one-third of the tuition revenue generated from the 120 SCH degree program. Per student SCH are Year 1: 6; Year 2: 9; Year 3: 12; Year 4: 12 for a total 39 SCH.
- Eighty-four percent of enrolled students are resident or paying a tuition rate equivalent to the resident rate.
- Discount rate is a weighted average of non-resident discount of 47% and resident discount of 18%. This is based on FY2017 data and provided by UM Academic Affairs.
- Model includes College of Education supplemental fee.
- Model excludes on-line supplemental fee. Some courses will be available on-line.
- Annual increases in tuition and supplemental fees is 2%

Revenue Projections	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
Tuition	67,709	161,610	294,459	452,684	542,359	638,427	724,403	782,440
Supplemental & Other Fees	4,376	10,446	19,029	29,257	35,054	41,261	46,811	50,567
Scholarship Allowances	(16,320)	(38,954)	(70,974)	(109,112)	(130,726)	(153,881)	(174,603)	(188,593)
<b>TOTAL PROGRAM REVENUE</b>	55,765	133,103	242,514	372,830	446,687	525,807	596,611	644,414



### 3.B.3. Net Revenue

The program breaks even in year 4 and reaches economic viability in year 5.

PROGRAM:	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
Total Program Revenue	55,765	133,103	242,514	372,830	446,687	525,807	596,611	644,414
Expenses								
Salaries and Benefits	81,420	83,048	219,656	262,668	271,417	312,508	318,758	325,133
Recurring Operating Expense	7,500	6,500	14,050	14,600	14,950	16,280	17,280	15,280
One-time Expense	22,000	35,162	20,000	10,000	-	-	-	-
Total Program Expenses	110,920	124,710	253,706	287,268	286,367	328,788	336,038	340,413
<b>DIRECT MARGIN</b>	<b>(55,155)</b>	<b>8,393</b>	<b>(11,191)</b>	<b>85,562</b>	<b>160,319</b>	<b>197,019</b>	<b>260,573</b>	<b>304,001</b>
<b>CUMULATIVE DIRECT MARGIN</b>	<b>(55,155)</b>	<b>(46,763)</b>	<b>(57,954)</b>	<b>27,608</b>	<b>187,928</b>	<b>384,946</b>	<b>645,519</b>	<b>949,520</b>
Less: Campus Overhead Allocation	5,685	13,303	23,763	35,816	42,069	48,550	54,008	57,191
<b>MARGIN AFTER CAMPUS OVERHEAD</b>	<b>(60,840)</b>	<b>(4,910)</b>	<b>(34,954)</b>	<b>49,746</b>	<b>118,250</b>	<b>148,469</b>	<b>206,566</b>	<b>246,810</b>
<b>CUMULATIVE MARGIN AFTER CAMPUS OVERHEAD</b>	<b>(60,840)</b>	<b>(65,751)</b>	<b>(100,705)</b>	<b>(50,959)</b>	<b>67,292</b>	<b>215,761</b>	<b>422,326</b>	<b>669,136</b>

### 3.B.4. Financial Viability

The program continues to break even at year 4, including the campus overhead allocation until enrollment falls beneath 90% of that estimated. However, at 90% of projected enrollment, the program's cumulative margin does not reach viability until year 6. The College of Education continues to note that the revenue projections include only the 39 SCH required for the degree.

Based on the financial projections and assumptions made in the previous sections, 92 students represent the minimum enrollment needed at Year 5 for the new degree program to be financially viable. This is a conservative estimate based on the following:

- Program revenue is limited to the 39 SCH which are required for the degree. This represents only one-third of the tuition revenue generated from a 120 SCH degree program.
- Per student annual revenue contribution at year 5 is estimated to be \$3,573. This assumes no revenue from on-line course supplemental fees, 84% resident students, tuition discount rate of 18% for residents and tuition discount rate of 47% for non-residents.
- Financial viability includes \$37.90 per student SCH to accommodate UMSL campus overhead. This amount is based on FY2018 data provided by the UMSL Institutional Research.

The College of Education faculty agree that the program will be academically viable with a minimum of 32 students.

**Table 2:** Enrollment at the End of Year 5 for the Program to be Financially and Academically Viable

<b>Viability</b>	<b>Minimum enrollment</b>
<b>Financial</b>	92
<b>Academic</b>	32

**Table 3:** Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable

<b>Enrollment Status</b>	<b>Full-Time</b>	<b>Part-Time</b>	<b>Total</b>
Number of Students – Financial Viability	92	0	92
Number of Students – Academic Viability	32	0	32

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

The program will be marketed through existing avenues currently in use by the College of Education. A primary way that the program will be marketed is through strategically highlighting the program in the College of Education’s (COE) Program Explorer, a web-based system that quickly assesses the interest of prospective students and directs them to information about the program that is tailored to their interests. [See the COE program explorer by click here.](#)

In addition, program flyers can be produced and distributed at modest cost. These will be used for targeted marketing efforts at athletic and recruiting events where potential candidates for the program are attracted and can self-identify through their presence. Faculty will also promote the program and distribute flyers during other campus events. To reach a broader population, the program will also be marketed through traditional media outlets. The COE recently began deploying radio and television advertisements for programs offered by the college, and the B.S. in Sport Management would be prioritized for future campaigns.

## **4. Institutional Capacity**

Although the degree program can be initiated with existing marketing resources, the degree program will require two new faculty with doctoral degrees in Sport Management: a tenure-track faculty with expertise in the business aspects of Sport Management courses, and a non-tenure track clinical faculty with the appropriate expertise and experience needed to teach a variety of physical education, sport management, coaching education, and/or exercise science courses.

## **5. Program Characteristics**

### **5.A. Program Outcomes**

In accordance with the guidelines of the Commission on Sport Management Accreditation (COSMA), the outcomes provide a solid framework and highlight the value of the program content. Specifically, program learning outcomes include:

1. Possessing foundational knowledge in sport management and organization;
2. Possessing foundational knowledge in educational and community athletics;
3. Understanding legal and ethical issues associated with sport management;
4. Demonstrating skills in the applied aspects of sport management in business and/or athletic settings.

Students earning a B.S. in Sport Management degree will:

1. Apply an interdisciplinary foundation of management, sports, and marketing theories to a variety of sports management settings.
2. Develop a marketing toolbox that integrates theories with the fundamental aspects of sports, sports products, consumer and market research, sponsorship, promotion and media.
3. Examine and explore the legal environments of amateur, collegiate, and professional sports programs with respect to state and federal legislation, liability, risk management, contracts, and collective bargaining.
4. Examine and apply the principles of economics including the concepts of supply and demand, economic forecasting, and economic impact of sports programs and products.
5. Demonstrate the ability to manage sports facilities to apply key concepts of planning, design, and evaluation of a sports program or sports-related event.
6. Develop and refine leadership and communication skills necessary within a sports organization and team-oriented sports institutions.
7. Recognize and evaluate ethical decision-making, balancing economic priorities and social responsibilities of sports organizations.
8. Demonstrate socio-cultural commitment and responsibility in any given sports management environment.

### **5.B. Program Design and Content**

The UMSL Bachelor of Science in Sport Management curriculum was created following extensive review of COSMA accredited programs. The resulting program consists of an 18-hour core, 15 hours of electives, and a 6-hour Internship that together provide a balance of application in educational- and community-athletics and the management and administration of sports. The 15 hours of electives include up to 6 hours from any relevant curriculum chosen by the student and approved in

consultation with an academic advisor. This allows students to tailor their program based on their goals, interests, and desired applications. It also increases the visibility of the program to students who may wish to double major while creating a more nimble program.

The interdisciplinary nature of the degree is evident by the representation of eight curricular areas across campus in the original committee and in the final curriculum. There are four unique disciplines represented in the core and four more among electives. The six General Education courses listed in the Program Structure table (see below) satisfy prerequisites for all of the Core Sport Management courses. Likewise, the six core courses in Sport Management meet the prerequisites for all Sport Management Electives.

To the extent possible, the degree program was developed using existing courses. However, new or rebranded courses will be needed to fully implement the program. To facilitate this, a new curricular designation has been created for courses specific to the Sport Management degree program (SPMGT) and eight new courses and an internship have been created by the COE's Department of Education Sciences and Professional Programs and successfully completed the UMSL curricular approval process. The Department of Psychology and the Department of Marketing have also created courses focusing on Sports Psychology and Sports Marketing. These courses also successfully obtain curricular approval and will be staffed by their respective units. Both courses are expected to serve as electives within the disciplinary majors as well as support the B.S. in Sport Management degree.

### 5.C. Program Structure

**1. Total credits required for graduation: 120**

**2. Residency requirements, if any:** As per UMSL policy, students must complete 30 of their final 36 credits hours at UMSL.

**3. General education:** Total credits for general education courses: **42**

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

Course (42 hours)	Hrs
ENG 1100 First Year Writing (Core)	3
COMM 1040 Public Speaking (Core)	3

MATH 1030 College Algebra (Core)	3
Information Literacy [Elective] (Core)	3
US History/Govt [Elective] (Core)	3
BUS AD 1000 Introduction to Business (Soc Science Explore)	3
ECON 1001 Microeconomics (Soc Science Explore)	3
PSYCH 1003 General Psychology (Social Science Explore)	3
History/Fine Arts (Explore)*	9
Math/Sciences (Explore)	9

*\*typically satisfies the Cultural Diversity requirement*

#### 4. Major requirements

Total credits specific to degree: **39**

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

##### **Program Core (18 hours)**

<b>Course</b>	<b>Hrs</b>
MGMT 3600 Management and Organizational Behavior (Core)	3
MKTG 3700 Basic Marketing (Core)	3
PSYCH 3200 Sports Psychology (Core)	3
SPMGT 1113 Intro to Sport Management and Administration (Core)	3

SPMGT 2200 Legal and Ethical Issues in Sports (Core)	3
SPMGT 4113 Educational and Community Athletics (Core)	3

**Program Electives (15 hours)**

<b>Course</b>	<b>Hrs</b>
CNS ED 3200 Interpersonal Skills in Helping Relationships	3
COMM 3395 Special Topics: Sports Public Relations	3
ECON 3610 Economics of Sports, Gaming, and Gambling	3
MGMT 3611 Advanced Management and Organizational Behavior	3
MGMT 3621 Human Resource Management	3
MKTG 3721 Introduction to Digital Marketing Strategies	3
MKTG 3765 Sports Marketing	3
PHY ED 2134 Personal Physical Fitness	3
PHY ED 2136 Facilities Management	3
SPMGT 3285 Sports Medicine	3
SPMGT 3380 Sports Nutrition	3
SPMGT 3731 Sports Media & Technology	3

SPMGT 4213 Athletic Compliance	3
SPMGT 4990 Sport Management Field Experience	1-6
Up to six hours from any area as pre-approved by advisor	1-6

**Capstone (6 hours)**

Course	Hrs
SPMGT 4999 Sport Management Internship	6

**5. Free elective credits/Degree Minor**

Total free elective credits: **39**

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:**

A minimum of six hours of Sport Management Internship is required as the Capstone experience. The Sport Management Internship provides a capstone experience in Sport Management via placement with sports clubs, sports facilities, or business organizations associated with sports. Students will develop professional skills as they apply knowledge gained throughout the program. May be repeated for credit up to a total of 6 credits (degree requires 300 contact hours).

**7. Any unique features such as interdepartmental cooperation:**

The degree major curriculum contains eight different curricular designations

**5.D. Program Goals and Assessment**

Program goals will be assessed by examining the nature of the program in relation to student demographics and outcomes (admission, retention and graduation rates). In accordance with the University of Missouri System’s commitment to serving Missourians, local placement of graduates from this program will be assessed on a regular basis to determine how many of our graduates remain in the Greater St. Louis Metropolitan Area. Alumni surveys will be used for this purpose.



Our goal is to retain approximately 75% of students between their freshman and sophomore years, 90% between sophomore to junior, and 95% between junior to senior. Enrollment growth rate is 20% annually between years 1 and 3, 15% in year 4, 10% in year 5, and flat afterward.

Students in this degree program will not be required to pursue any local, state or national assessments. We anticipate that approximately 85% of program graduates will find employment in a field engaging sport management related careers. The ability for our students to pursue a minor in their degree plan, will increase their employability. According to the U.S. Bureau of Labor Statistics and as noted earlier, jobs for coaches, scouts and sports facility managers are projected to increase by 10% -13% from 2016 - 2026.

Evaluation of the program's success will be based on core course enrollments, declared majors, degrees granted, and surveys of graduating majors and alumni. Job placements will also be considered measures of success.

Students will be asked to complete a satisfaction survey at the conclusion of each semester in the academic year. Course and instructor evaluations will be administered at mid-semester and end-of-semester to establish richer longitudinal data. Feedback from these evaluations will enable instructors and the department to make necessary adjustments to improve outcomes.

### **5.E. Student Preparation**

Students seeking to become candidates for the undergraduate degree in Sport Management will need to meet the same admission requirements for incoming freshmen and transfer students at University of Missouri- St. Louis. [These requirements may be found here](#). No other specific admission requirements exist for this degree nor is the degree designed to serve a specific student population.

### **5.F. Faculty and Administration**

Upon approval of the program, one non-tenure track clinical faculty and one tenure track faculty member will be added. The non-tenure track faculty member will be hired in Year 1, followed by the tenure-track faculty member in Year 3. Both faculty will have doctoral degrees in Sport Management and be full time (i.e., 2 FTE) to the Sport Management program. One of the two will serve as Program Director and administer the degree.

The two full-time faculty will teach the new SPMGT courses and others as appropriate (based on individual expertise and interest). Given the interdisciplinary nature of the degree, all courses with curricular designations other than SPMGT will

be staffed and maintained by the department chairs in the corresponding departments. In addition to these faculty, colleagues from UMSL Athletics and UMSL Recreation and Wellness departments have indicated an interest to teach courses in their areas of expertise (e.g., Sports Administration, Athletic Compliance.).

Faculty assigned solely to the Sport Management degree will be expected to teach between 180-320 student credit hours per semester (depending on their role as tenure track faculty, clinical faculty, and/or program director). Such faculty will be involved in all aspects of the program, including recruitment, advising, assessment/continuous improvement, and obtaining and maintaining COSMA accreditation.

### **5.G. Alumni and Employer Survey**

Two key assessments in the Sport Management Program will be alumni and employer data. Feedback from alumni regarding the quality of their preparation to enter the field will be collected annually to ensure that program objectives align with program outcomes. Feedback from those employers who have had direct interactions and opportunities to observe the early career professionals who graduate from UMSL will be collected on a bi-annual basis. Appendices J and K contain drafts of program evaluations to be completed by alumni and employers, respectively. The information generated from these surveys will be a key source of quality control to maintain high standards of professional preparation. The program director, upon be hired, will be tasked with the creation and maintenance of an advisory board consisting of all stakeholders, including potential internship hosts and potential employers.

### **5.H. Program Accreditation**

As noted earlier, the College of Education (COE) recognizes the value of accreditation and the benefits of meeting the highest national standards of excellence. The COE is currently accredited by the National Council for Accreditation of Teacher Education and recently has applied for continuing accreditation from the Council for the Accreditation of Educator Preparation. In addition, the College has programs with specialized accreditations by the Council for the Accreditation of Counseling and Related Educational Programs and by the National Association of School Psychologists. As previously noted, there are currently no sport management programs in the St. Louis Metropolitan Area accredited by the Commission on Sports Management Accreditation (COSMA), and there is only one COSMA-accredited program in the entire state. The Council of Higher Education Accreditation recognizes COSMA as the national accrediting body for Sport Management. As such, UMSL is well positioned to be the first and only nationally accredited Sport Management program in the St. Louis Metropolitan Area. COSMA

accreditation has been a primary goal of the B.S. in Sport Management from the beginning.

As stated previously, in preparing the rationale and justification for this proposal, we consulted with the Executive Director of COSMA as well as the directors of two other accredited sport management programs (i.e., Southeast Missouri State University, Wichita State University). Each of these professionals noted the lack of a COSMA program in St. Louis. Furthermore, they perceived UMSL to be well-situated to secure a market advantage with COSMA accreditation. COSMA does not review new programs for accreditation until after they are fully established and producing graduates. As a result, the UMSL Sport Management Program will apply for accreditation upon eligibility.

**Appendix A**  
**New Courses in Sport Management**

***College of Education***

SPMGT 1113: Introduction to Sports Management and Administration (3 credits)  
SPMGT 2200: Legal and Ethical Issues in Sports (3 credits)  
SPMGT 3285: Sports Medicine (3 Credits)  
SPMGT 3380: Sports Nutrition (3 credits)  
SPMGT 3731: Sports Media & Technology (3 credits)  
SPMGT 4113: Educational & Community Athletics (3 credits)  
SPMGT 4213: Athletic Compliance (3 credits)  
SPMGT 4990: Sport Management Field Experience (1-6 credits)  
SPMGT 4999: Sport Management Internship (1-6)

***College of Arts & Sciences***

PSYCH 3200: Sports Psychology (3 credits)

***College of Business Administration***

MKTG 3765: Sports Marketing (3 credits)

**Appendix B:  
Sport Management Degree Plan**

**GENERAL EDUCATION (42 hours) 42**

**ADDITIONAL COURSEWORK/MINOR (39 hours) 39**

**SPORT MANAGEMENT CORE (15 hours)**

SPMGT 1113 Intro to Sports Management and Administration 3

SPMGT 2200 Legal and Ethical Issues in Sports\* 3

MGMT 3600 Management and Organizational Behavior\* 3

SPMGT 4113 Educational and Community Athletics 3

PSYCH 3200 Sports Psychology 3

**Core 15**

**SPORT MANAGEMENT ELECTIVES (18 hours)**

ECON 3610 Economics of Sports, Gaming, and Gambling 3

MKTG 3700 Basic Marketing 3

MKTG 3721 Introduction to Digital Marketing Strategies 3

MGMT 3621 Human Resource Management 3

PHY ED 2134	Personal Physical Fitness	3
MKTG 3765	Sports Marketing	3
SPMGT 3285	Sports Medicine	3
SPMGT 3380	Sports Nutrition	3
SPMGT 3731	Sports Media & Technology	3
SPMGT 4213	Athletic Compliance	3
COMM 3395	Special Topics: Sports Public Relations	3
SPMGT 4990	Sport Management Field Experience (1-6 credits/repeat)	0-6

**Electives 18**

**CAPSTONE (6 hours)**

SPMGT 4999	Sport Management Internship (1-6 credits/repeat)	
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**Capstone 6**

**BACHELOR'S IN SPORT MANAGEMENT DEGREE      Total      39**

**Grand Total    120**

**\*Online options**

**Appendix C:  
Recommended General Education Courses**

BUS AD 1000	Introduction to Business	3
COMM 1040	Public Speaking	3
ECON 1001	Principles of Microeconomics	3
ED TECH 2230 or INFSYS 1800	Information Literacy	3
	Computers and Information Systems	
ENGL 1100	First-Year Writing Core	3
MATH 1030	Mathematics Core	3
	American History and Government Core	3
ENGL 2120	Humanities and Fine Arts General Education	3
HIST	Humanities and Fine Arts General Education	3
	Humanities and Fine Arts General Education	3
ANTHRO 1021 or ANTHRO/SOC 1051	Social Science General Education	3
	Mathematics and Sciences General Education	3
	Mathematics and Sciences General Education	3
	Mathematics and Sciences General Education	3
	<b>Total</b>	<b>42</b>



**Appendix D:  
Additional Coursework/Suggested Minors for Sport Management Majors**

ECON 3610	Economics of Sports, Gaming, and Gambling	3
MGMT 3600	Management and Organizational Behavior	3
MGMT 3621	Human Resource Management	3
MKTG 3700	Basic Marketing	3
MKTG 3721	Introduction to Digital Marketing Strategies	3
CNS ED 3200	Interpersonal Skills in Helping Relationships	3
PHY ED 2136	Facilities Management	3
COMM 3395	Special Topics: Sports Public Relations	3
PHY ED 2134	Personal Physical Fitness	3
MKTG 3765	Sports Marketing	3
PSYCH 3200	Sports Psychology	3
SPMGT 1113	Intro to Sports Management and Administration	3
SPMGT 2200	Legal and Ethical Issues in Sports	3
SPMGT 3285	Sports Medicine	3
SPMGT 3380	Sports Nutrition	3

SPMGT 3731	Sports Media & Technology	3
SPMGT 4113	Educational and Community Athletics	3
SPMGT 4213	Athletic Compliance	3
SPMGT 4990	Sport Management Internship (1-6 credits/repeat)	3
COMM 3395	Special Topics: Sports Public Relations	3

### **Suggested Minors from UMSL**

- Athletic Coaching
- Communication
- Exercise Science
- Finance
- General Business
- Marketing
- Media Studies

### **Suggested Park and Recreation Emphases from UM**

- Recreation Administration

## **Appendix E**

### **Communications with Sport Management Program Leaders at the University of Missouri and Southeast Missouri State University**

Communications with Dr. Sonja Wilhelm Stanis,  
University of Missouri



University of Missouri-St. Louis  
Education Sciences and Professional Programs  
One University Boulevard  
469 Marillac Hall  
St. Louis, Missouri 63121

Donald A. Gouwens, Psy. D.  
Department Chair  
Phone: 314-516-4773  
[gouwens@umsl.edu](mailto:gouwens@umsl.edu)

June 3, 2019

Dr. Sonja Wilhelm Stanis  
Interim Associate Director  
University of Missouri School of Natural Resources

**RE: UMSL BS in Sport Management Degree Proposal**

Dr. Wilhelm-Stanis,

I am writing to document our recent conversation regarding the UMSL Bachelor of Science in Sport Management degree program proposal. As we discussed, the UMSL Education Sciences and Professional Programs Department is committed to developing a strong strategic partnership with Mizzou's Parks, Recreation, and Sport Program. Initially this will entail collaborative efforts between our Sport Management faculty to identify and develop online courses for students in both programs. Similar opportunities for collaboration exist with our Bachelor of Educational Studies with an emphasis in Park and Museum Programs as well. Tapping into the collective expertise of our faculty will strengthen programs at both institutions and will help guide future faculty searches.

Longer term, tremendous potential exists for a joint eLearning program involving a Commission on Sport Management Accreditation (COSMA) accredited Bachelor of Science in Sport Management degree at UMSL and Mizzou's Council on Accreditation of Parks, Recreation, Tourism and Related Professions (COAPRT) accredited Bachelor of Science in Parks, Recreation, and Sport with an emphasis in Sport Management degree. Given the different populations served, I fully expect both institutions will have robust on-campus enrollments; however, the nature of online education suggests that a collaborative effort will provide a much stronger and more efficient eLearning program than a standalone program at either institution. Our initial work on course sharing will lay the groundwork for future collaboration.

Thanks again for your input regarding our proposal and ongoing willingness to work with us on this degree. We are looking forward to our partnership in the years to come.

Sincerely,

A handwritten signature in black ink that reads "Donald A. Gouwens".

Donald A. Gouwens, Psy. D.  
Chair, Education Sciences and Professional Programs

*Innovative Education. Engaged Educators.*

**From:** Wilhelm Stanis, Sonja A. <sonjaws@missouri.edu>  
**Sent:** Wednesday, June 5, 2019 12:54 PM  
**To:** Gouwens, Donald A. <gouwens@umsl.edu>  
**Cc:** Makubuya, Timothy <makubuyat@umsl.edu>; Bahr, Michael <bahrmi@umsl.edu>  
**Subject:** RE: Phone Conversation

Hello Don,

Thank you for this letter of intent to collaborate. We have reviewed the letter, and would like to express our interest and willingness to collaborate as well. Indeed, I would be happy to meet for a face-to-face meeting at some point to discuss these opportunities in more depth.

If you need anything further, please let me know.

Best wishes,  
Sonja

--

Sonja A. Wilhelm Stanis, Ph.D.  
Associate Professor  
Interim Associate Director  
School of Natural Resources  
University of Missouri  
<https://cafnr.missouri.edu/person/sonja-a-wilhelm-stanis/>

**From:** Gouwens, Donald A. <gouwens@umsl.edu>  
**Sent:** Monday, June 3, 2019 8:49 PM  
**To:** Wilhelm Stanis, Sonja A. <sonjaws@missouri.edu>  
**Cc:** Makubuya, Timothy <makubuyat@umsl.edu>; Bahr, Michael <bahrmi@umsl.edu>; Gouwens, Donald A. <gouwens@umsl.edu>  
**Subject:** Re: Phone Conversation

Hi Sonja,

It was nice talking with you on Friday. We appreciate you taking the time to discuss your comments with us regarding our BS in Sport Management degree proposal. As promised, I have drafted the attached letter to document our intent to collaborate with your Sport Management faculty on the development of online courses to address our mutual short term needs and eventually to explore development of a joint Sport Management program for the eLearning initiative.

I also included a reference to our Bachelor of Educational Studies degree with an emphasis in Parks and Museum Programs, as this potentially may be an area of collaboration for the other emphasis areas of your BS in Parks, Recreation, and Sport degree.

Please review the attached letter and let me know if any edits are indicated. At your convenience, we would appreciate a reply to verify your willingness to explore areas of

collaboration with us or perhaps even a brief letter of support for our program. Thanks again for your time and assistance as we move this proposal through the approval process!

Don

**Donald A. Gouwens, Psy. D.  
Associate Clinical Professor  
Chair, Education Sciences and Professional Programs  
School Psychology Program Coordinator**

**University of Missouri-St. Louis  
One University Blvd.  
459A Marillac Hall  
St. Louis, MO 63121**

**Phone: (314) 516-4773  
Fax: (314) 516-5784**

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**Communications with Dr. Beth Easter,  
Southeast Missouri State University**



**Michael W. Bahr, Ph.D.**  
School Psychology Program

Associate Dean  
College of Education

University of Missouri-St. Louis  
Department of Education Sciences and  
Professional Programs  
One University Boulevard, 461 ~~Moore~~ Hall  
St. Louis, MO 63121

Telephone: (314) 516-4734  
email: [bahrmi@umsl.edu](mailto:bahrmi@umsl.edu)

July 12, 2019

Beth Easter, Ph.D.  
Department of Kinesiology, Nutrition, and Recreation  
Southeast Missouri State University  
One University Plaza, MS 7650  
Cape Girardeau, Missouri 63701

Dear Beth,

Greetings from St. Louis. I enjoyed talking with you today. Thank you for your assistance over the past year in discussing the viability of our institution creating a program in Sport Management. As I mentioned during our phone conversation, this letter is designed to confirm some of the major points we have discussed in developing a program.

UMSL has developed a proposal for a Bachelor's Degree in Sport Management. The proposal and its curriculum was approved at all levels of our institution in the spring. It has now moved to the University of Missouri System for review and, contingent upon approval, will then move to the Missouri Department of Higher Education.

I'm writing this letter to confirm our conversations from last summer as well as today's regarding the viability of UMSL creating and maintaining this degree. In our conversations, you have noted the need for sport management professionals and the lack of accredited programs in the State. I recently rechecked the website for the Commission on Sport Management Accreditation and confirmed that your institution, Southeast Missouri State University (SEMO), remains the only accredited sport management program in the State. UMSL is proceeding with an assumption that we will pursue accreditation and join our colleagues at SEMO in meeting the highest standards in the field.

In addition to noting the need for sport management professionals, you have noted that SEMO recruits students from the Southeast Missouri Region as well as from the St. Louis Metropolitan Area. You have discussed the overconcentration of programs in some areas (e.g., Illinois, specifically the Chicago region), but that is not the case in the State of Missouri at this time.

With a confirmatory email or letter from you, I hope to include this letter and your response in our proposal. Thank you again for your consultation—we profited from your suggestions in our proposal development.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael W. Bahr".

Michael W. Bahr, PhD  
Associate Professor & Associate Dean

**From:** Easter, Beth A <baeaster@semo.edu>  
**Sent:** Wednesday, July 17, 2019 9:27 AM  
**To:** Bahr, Michael <bahrmi@umsl.edu>  
**Subject:** RE: UMSL Proposal for Sport Management Proposal

Mike,

You summarized the points fairly. I would give the best listing of academic programs in sport management that I know is through the North American Society for Sport Management at [https://nassm.com/Programs/AcademicPrograms/United\\_States](https://nassm.com/Programs/AcademicPrograms/United_States).

That list shows 27 sport management programs in IL, 15 in MO, 10 in KS, and 13 in IA and 5 in AK. Whether there are too many in the STL area, I couldn't say. IL has greater saturation than MO. I haven't looked at a comparison of public vs. private in each state or metro area. Clearly the private schools have a different target market than to public institutions.

I would say that over 50% of the sport management students at SEMO come from STL. It is certainly a unique time in higher education with the decreasing birthrate and declining number of high school graduates.

All the best.

Beth

**From:** Bahr, Michael [mailto:bahrmi@umsl.edu]  
**Sent:** Monday, July 15, 2019 4:29 PM  
**To:** Easter, Beth A <baeaster@semo.edu>  
**Subject:** UMSL Proposal for Sport Management Proposal

Dear Beth,

Good talking with you today. I've drafted a letter—see attached—that summarizes the points we discussed. If you're comfortable doing so, we'd like to include your response to this letter in our proposal. This provides assurance that there remains a need for sport management programs.

Thanks again for your assistance, and I look forward to hearing from you.

Best—

Mike

Michael W. Bahr, PhD, Associate Professor &  
Associate Dean, College of Education  
Department of Education Sciences and Professional Programs  
University of Missouri—St. Louis  
One University Boulevard



St. Louis, MO 63121  
314/516-4734  
bahrmi@umsl.edu

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## Appendix F Burning Glass Analyses

### Burning Glass Report for review of UMSL SPORT MANAGEMENT (1 of 2)

This includes programs beyond what is explicitly covered by the UMSL and MU programs. It includes all programs fitting the 4-digit CIP code of 31.05. Therefore, estimates here may be generous.

#### Project Criteria

Validate	Programs
States	Missouri
Degree Level	Bachelor's degree
Time Period	5/1/2018 - 4/30/2019
Selected Programs	Health and Physical Education/Fitness, General (31.0501), Health and Physical Education/Fitness, Other (31.0599), Kinesiology and Exercise Science (31.0505), Physical Fitness Technician (31.0507), Sport and Fitness Administration/Management (31.0504), Sports Studies (31.0508), Parks, Recreation and Leisure Studies (31.0101)
Career Outcomes mapped to Selected Programs of Study	Health Educators, Recreation Workers, Fitness Trainers and Aerobics Instructors, Coaches and Scouts, Fitness and Wellness Coordinators, Exercise Physiologists, Athletic Trainers

### How Many Jobs are there for your Graduates?

For your project criteria, there were **1,358** job postings in the last 12 months.

Compared to:

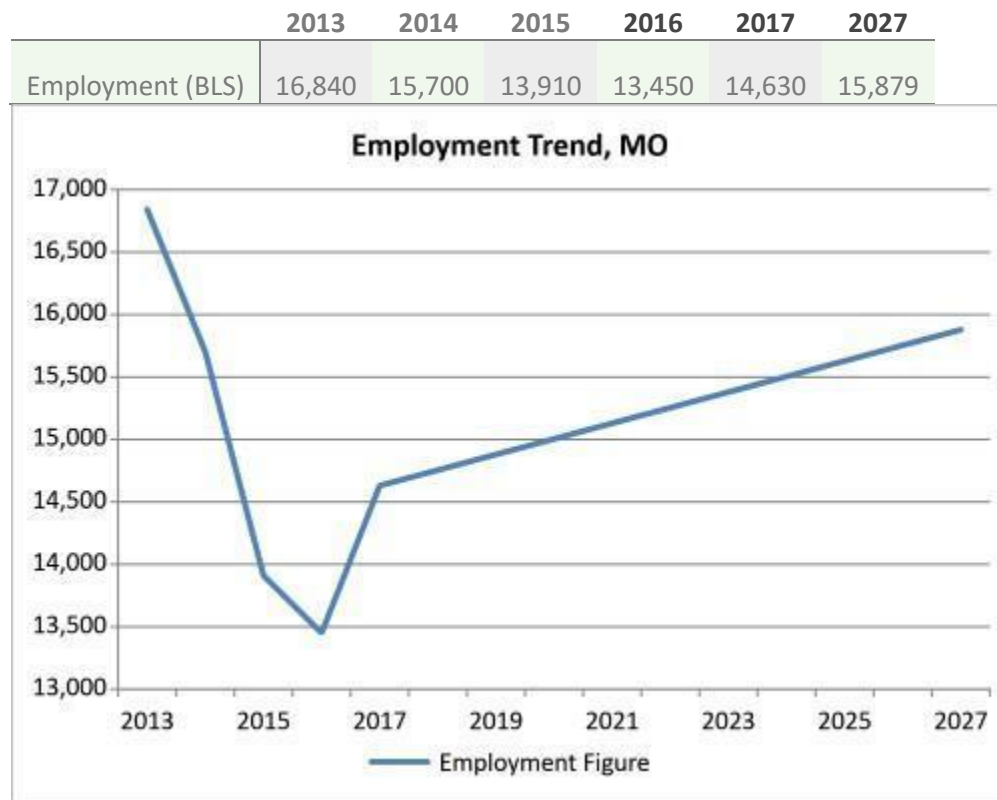
- 562,453 total job postings in your selected location
- 152,849 total job postings requesting a Bachelor's degree in your selected location

The number of jobs is expected to **grow** over the next 8 years.

## Growth by Geography

Geography	Selected Occupations	Total Labor Market	Relative Growth
Missouri	8.54%	7.30%	Average
Nationwide	8.88%	7.40%	Average

## How has Employment Changed for Career Outcomes of your Program?



Employment data between years 2018 and 2027 are projected figures.

## Details by Occupation

Occupation Group	Postings	LQ	Employment (2017)	Employment Growth (2016 - 2017)	Projected Employment Growth (2018-2027)
Entertainers and Performers, Sports and Related Workers	592	1.2	3,110	4.7%	5.5%
Counselors, Social Workers, and Other Community and Social Service Specialists	344	1.1	1,230	7.0%	10.3%
Other Personal Care and Service Workers	271	0.7	9,290	10.6%	8.7%
Other Healthcare Practitioners and Technical Occupations	90	1.1	530	10.4%	24.0%
Other Management Occupations	41	0.7	360	2.9%	3.3%
Health Diagnosing and Treating Practitioners	20	0.9	110	10.0%	0.0%

## How Versatile is my Program?

Graduates of this program usually transition into any of the 6 different occupation groups:

Occupations Group	Market Size (postings)	Percentage of Career Outcome demand
Entertainers and Performers, Sports and Related Workers	592	43.6%
Counselors, Social Workers, and Other Community and Social Service Specialists	344	25.3%
Other Personal Care and Service Workers	271	20.0%
Other Healthcare Practitioners and Technical Occupations	90	6.6%
Other Management Occupations	41	3.0%
Health Diagnosing and Treating Practitioners	20	1.5%

## What Salary will my graduates make?

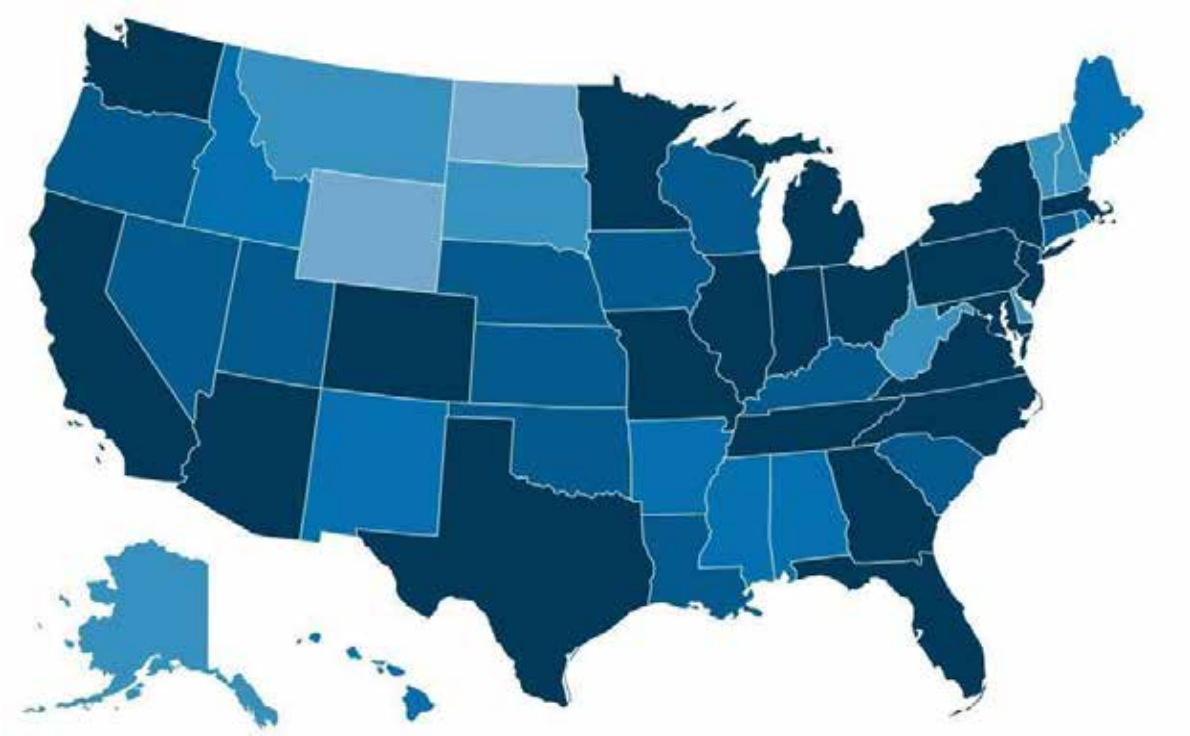
The average salary in Missouri for graduates of your program is **\$48,925**. This average salary is **Above** the average living wage for Missouri of \$28,621.



Salary numbers are based on Burning Glass models that consider advertised job posting salary, BLS data, and other proprietary and public sources of information.

<b>Occupation Group</b>	<b>25<sup>th</sup> Percentile</b>	<b>Average</b>	<b>75<sup>th</sup> Percentile</b>
Entertainers and Performers, Sports and Related Workers	\$39,691	\$61,628	\$78,565
Counselors, Social Workers, and Other Community and Social Service Specialists	\$57,742	\$59,924	\$0
Other Personal Care and Service Workers	\$37,121	\$43,100	\$0
Other Healthcare Practitioners and Technical Occupations	\$48,938	\$52,782	\$0
Other Management Occupations	\$45,110	\$43,012	\$0
Health Diagnosing and Treating Practitioners	\$0	\$0	\$0

# Where is the Demand for my Graduates?



## Top Locations by Posting Demand

Location	Postings
California	8,754
Texas	5,790
New York	3,862
Florida	3,029
Massachusetts	2,899
Pennsylvania	2,843
North Carolina	2,420
Illinois	2,389
Michigan	2,296
Ohio	2,130

# Validate: Competitive Landscape

## Project Criteria

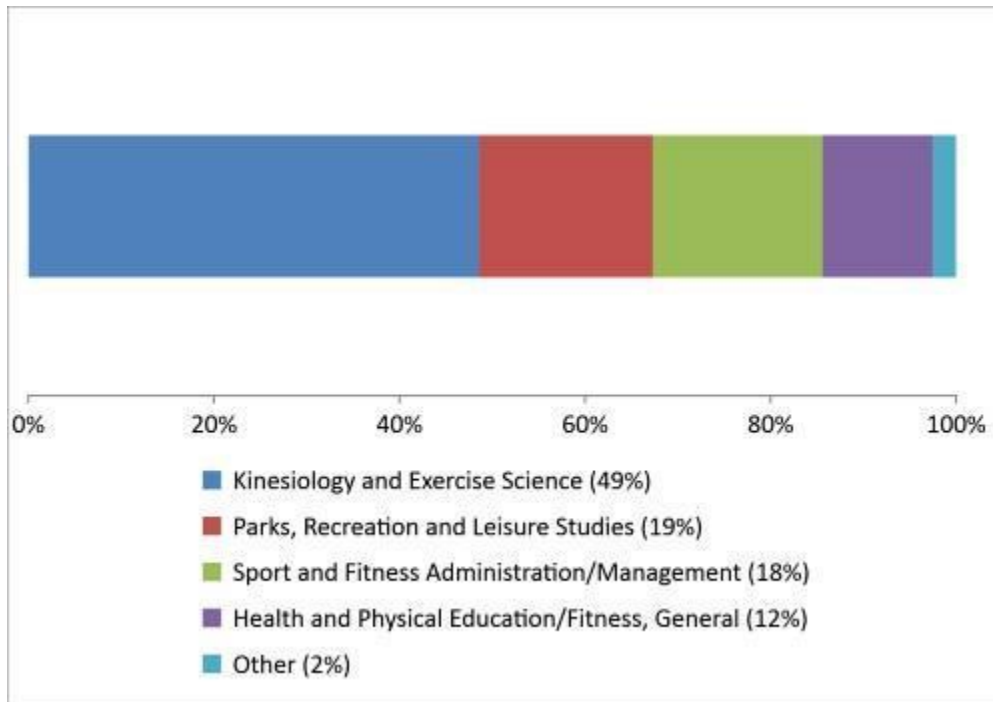
Validate	Programs
States	Missouri
Degree Level	Bachelor's degree
Time Period	5/1/2018 - 4/30/2019
Selected Programs	Health and Physical Education/Fitness, General (31.0501), Health and Physical Education/Fitness, Other (31.0599), Kinesiology and Exercise Science (31.0505), Physical Fitness Technician (31.0507), Sport and Fitness Administration/Management (31.0504), Sports Studies (31.0508), Parks, Recreation and Leisure Studies (31.0101)
Career Outcomes mapped to Selected Programs of Study	Health Educators, Recreation Workers, Fitness Trainers and Aerobics Instructors, Coaches and Scouts, Fitness and Wellness Coordinators, Exercise Physiologists, Athletic Trainers

## Overview

	#	% Change (2013-2017)
Degrees Conferred	1,040	21%
Number of Institutions	27	12%
Average Conferrals by Institution	39	8.30%
Median Conferrals by Institution	20	42.90%

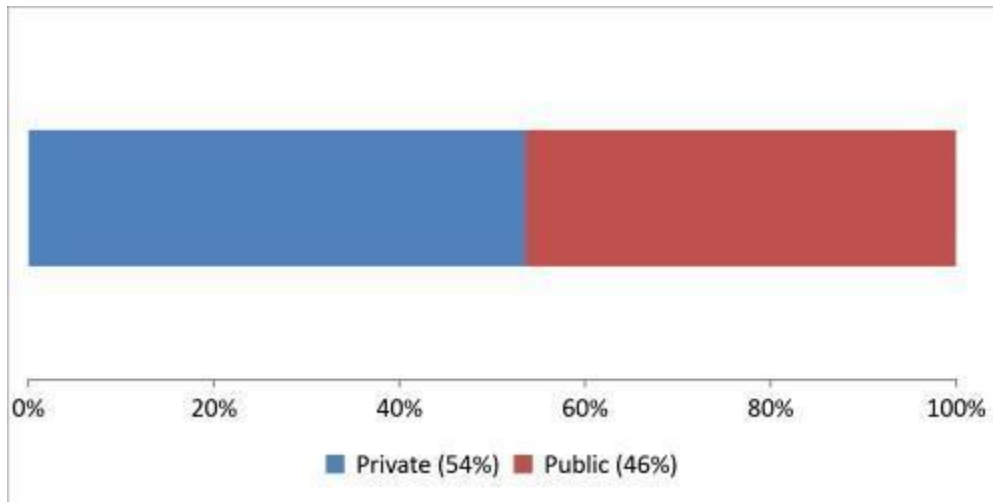


## Market Share by Program



Program	Conferrals (2017)	Market Share (%)
Kinesiology and Exercise Science	505	48.56%
Parks, Recreation and Leisure Studies	195	18.75%
Sport and Fitness Administration/Management	190	18.27%
Health and Physical Education/Fitness, General	124	11.92%
Other	26	2.50%

## Market Share by INSTITUTION Type



Institution Type	Conferrals (2017)	Market Share (%)
Private	557	53.56%
Public	483	46.44%

## Top 10 Institutions

Institution	School Type	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
Lindenwood University	Private	13.56%	2.03%	141	42.40%
University of Missouri-Columbia	Public	11.92%	6.80%	124	181.80%
Missouri State University-Springfield	Public	10.10%	-1.19%	105	8.20%
Saint Louis University	Private	9.42%	-0.48%	98	15.30%
Truman State University	Public	7.88%	-11.44%	82	-50.60%

Southeast Missouri State University	Public	7.69%	-0.46%	80	14.30%
Missouri Baptist University	Private	3.85%	-1.04%	40	-4.80%
Missouri Valley College	Private	3.85%	-1.27%	40	-9.10%
Missouri Western State University	Public	3.56%	-1.80%	37	-19.60%
University of Central Missouri	Public	3.17%	2.82%	33	1,000.00%

### Top 10 Programs

Program	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
Kinesiology and Exercise Science	48.56%	-1.03%	505	18.50%
Parks, Recreation and Leisure Studies	18.75%	7.92%	195	109.70%
Sport and Fitness Administration/Management	18.27%	3.60%	190	50.80%
Health and Physical Education/Fitness, General	11.92%	-9.50%	124	-32.60%
Health and Physical Education/Fitness, Other	2.12%	-1.37%	22	-26.70%
Physical Fitness Technician	0.38%	0.38%	4	100.00%
Sports Studies	0.00%	0.00%	0	0.00%

## Active Competitors

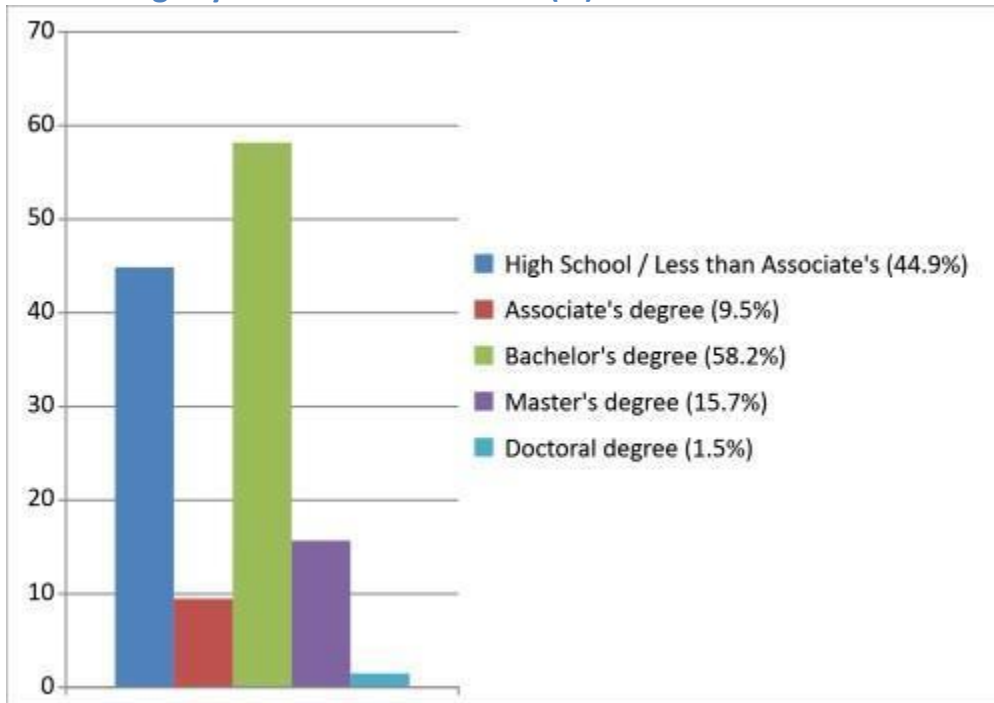
Institution	School Type	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
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## Validate: Market Alignment

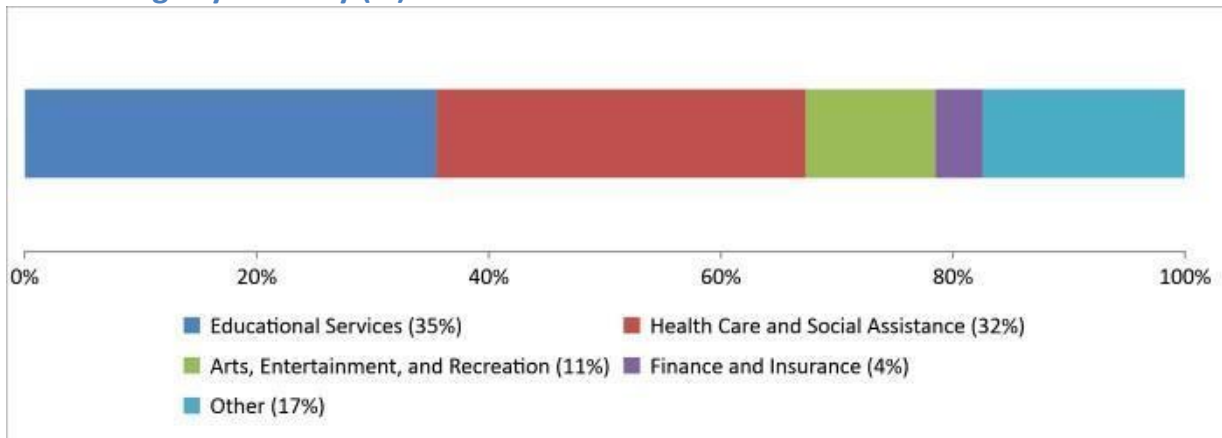
### Project Criteria

Explore	Programs
States	Missouri
Degree Level	Bachelor's degree
Time Period	5/1/2018 - 4/30/2019
Selected Programs	Health and Physical Education/Fitness, General (31.0501), Health and Physical Education/Fitness, Other (31.0599), Kinesiology and Exercise Science (31.0505), Physical Fitness Technician (31.0507), Sport and Fitness Administration/Management (31.0504), Sports Studies (31.0508), Parks, Recreation and Leisure Studies (31.0101)
Career Outcomes mapped to Selected Programs of Study	Health Educators, Recreation Workers, Fitness Trainers and Aerobics Instructors, Coaches and Scouts, Fitness and Wellness Coordinators, Exercise Physiologists, Athletic Trainers

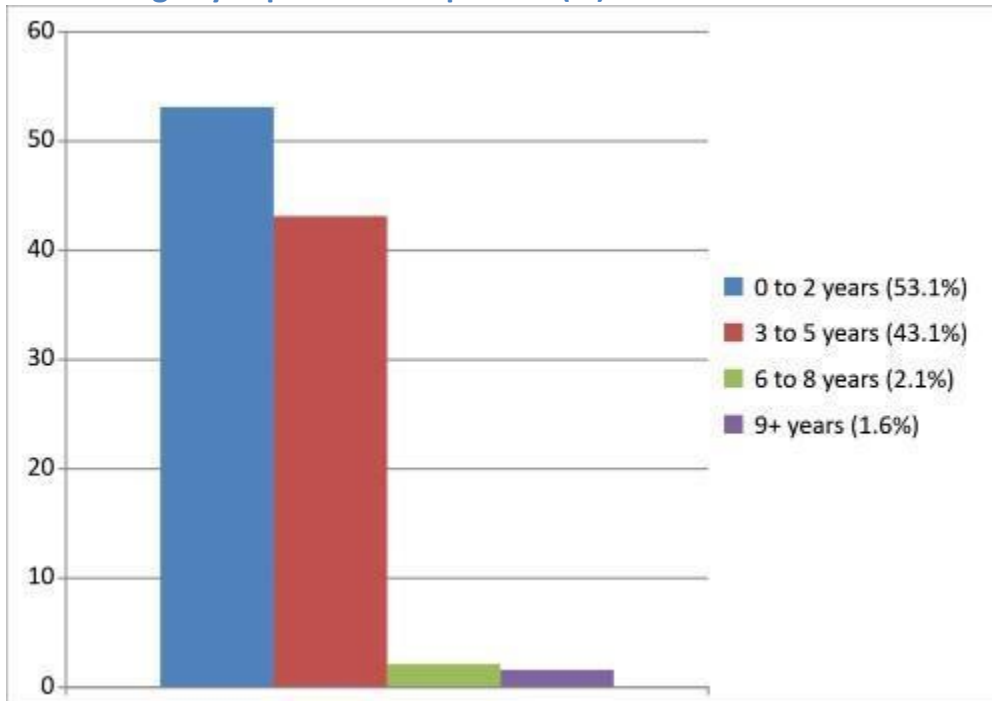
### Job Postings by Advertised Education (%)



### Job Postings by Industry (%)



### Job Postings by Experience Requested (%)



### Top Titles

Experience Level: All Experience

Title	Postings	Market Share (%)
Athletic Trainer	80	5.89%
Personal Trainer	73	5.38%
Coach	42	3.09%
Fitness Specialist	40	2.95%
Basketball Coach	37	2.72%
Registered Nurse	37	2.72%
Football Coach	32	2.36%
Head Coach	32	2.36%
Volleyball Coach	24	1.77%
Nurse Educator	23	1.69%
Health Educator	22	1.62%

Exercise Physiologist	20	1.47%
Fitness Manager	20	1.47%
Clinical Educator	19	1.40%
Cross Country Coach	18	1.33%

## Top Employers Hiring

**Experience Level:** All Experience

Employer	Postings	Market Share (%)
Truman Medical Centers	51	3.76%
BJC Healthcare	50	3.68%
Kansas City Public Schools	47	3.46%
Gold's Gym	43	3.17%
Mercy	41	3.02%
YMCA	31	2.28%
Hospital Corporation of America	30	2.21%
Anthem Blue Cross	25	1.84%
Lindenwood University	24	1.77%
Springfield Public Schools	22	1.62%
Saint Luke's Health System	21	1.55%
National Collegiate Athletic Association	20	1.47%
Missouri State University	18	1.33%
University of Missouri	17	1.25%
St Louis College Pharmacy	16	1.18%

## Validate: Key Competencies

### Project Criteria

Validate	Programs
States	Missouri
Degree Level	Bachelor's degree
Time Period	5/1/2018 - 4/30/2019
Selected Programs	Health and Physical Education/Fitness, General (31.0501), Health and Physical Education/Fitness, Other (31.0599), Kinesiology and Exercise Science (31.0505), Physical Fitness Technician (31.0507), Sport and Fitness Administration/Management (31.0504), Sports Studies (31.0508), Parks, Recreation and Leisure Studies (31.0101)
Career Outcomes mapped to Selected Programs of Study	Health Educators, Recreation Workers, Fitness Trainers and Aerobics Instructors, Coaches and Scouts, Fitness and Wellness Coordinators, Exercise Physiologists, Athletic Trainers

### Top 15 Specialized Skills

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Cardiopulmonary Resuscitation (CPR)	313 (23%)	-4.18%	No	No
Teaching	302 (22%)	-12.75%	No	No
Scheduling	263 (19%)	1.88%	No	No



Budgeting	224 (16%)	-10.04%	No	No
Customer Service	201 (15%)	1.05%	No	No
Patient/Family Education and Instruction	102 (8%)	11.82%	No	No
Staff Management	92 (7%)	-13.84%	No	No
Patient Care	91 (7%)	15.79%	No	No
Fitness	89 (7%)	-26.21%	No	No
Fundraising	87 (6%)	-33.9%	No	No
Physiology	86 (6%)	-18.05%	No	No
Exercise Programs	82 (6%)	4.98%	No	No
Rehabilitation	71 (5%)	-7.58%	No	No
Mental Health	70 (5%)	-13.8%	No	No
Lifting Ability	68 (5%)	15.64%	No	No

## Top 15 Baselines Skills

Skill	Postings
Communication Skills	515 (38%)
Teamwork / Collaboration	315 (23%)
Physical Abilities	289 (21%)
Planning	273 (20%)
Organizational Skills	243 (18%)
Building Effective Relationships	176 (13%)
Problem Solving	157 (12%)
Written Communication	146 (11%)
Microsoft Excel	146 (11%)

Microsoft Office	136 (10%)
Writing	116 (9%)
Computer Literacy	109 (8%)
Research	103 (8%)
Creativity	95 (7%)
Microsoft PowerPoint	92 (7%)

### Top 15 Software Programming Skills

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Microsoft Excel	146 (11%)	17.03%	No	No
Microsoft Office	136 (10%)	-10.2%	No	No
Microsoft Powerpoint	92 (7%)	-8.52%	No	No

Microsoft Word	73 (5%)	-13.39%	No	No
Word Processing	35 (3%)	-19.34%	No	No
Scrum	25 (2%)	39.96%	No	No
Software Development	18 (1%)	5.78%	No	No
Microsoft Outlook	17 (1%)	-1.45%	No	No
Salesforce	7 (1%)	46.69%	No	No
Microsoft Access	7 (1%)	-57.74%	No	No
Customer Relationship Management (CRM)	5 (0%)	15.03%	No	No
Cerner	5 (0%)	-6.59%	No	No
SAP	4 (0%)	33.72%	No	No
Public administration	4 (0%)	-30.37%	No	No
Database Software	4 (0%)	-14.04%	No	No

## Top 15 Skill Clusters

Skill	Postings
Emergency and Intensive Care	373 (27%)
Teaching	353 (26%)
Basic Customer Service	286 (21%)
Exercise Training	226 (17%)
Coaching and Athletic Training	174 (13%)
People Management	158 (12%)
General Medicine	146 (11%)
Basic Patient Care	145 (11%)
Patient Education and Support	127 (9%)
Public Health and Disease Prevention	118 (9%)

Rehabilitation	118 (9%)
Mental and Behavioral Health Specialties	99 (7%)
Occupational Health and Safety	95 (7%)
Physical Abilities	95 (7%)
Training Programs	88 (6%)

### Top 15 Salary Premium Skills

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
No skills available				

### Top 15 Competitive Advantage Skills

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
No skills available				

## Top 15 Certifications

Skill	Postings	Salary Premium	Competitive Advantage
First Aid Cpr Aed	193 (14%)	No	No
Driver's License	122 (9%)	No	No
Registered Nurse	119 (9%)	No	No
Athletic Trainer Certification	59 (4%)	No	No
Certified Teacher	37 (3%)	No	No
Basic Life Saving (BLS)	34 (3%)	No	No
Personal Fitness Trainer Certification	32 (2%)	No	No
Certified Health Education Specialist	29 (2%)	No	No
Certified Diabetes Educator (CDE)	20 (1%)	No	No
Basic Cardiac Life Support Certification	17 (1%)	No	No
Registered Dietitian	15 (1%)	No	No

Security Clearance	14 (1%)	No	No
Advanced Cardiac Life Support (ACLS) Certification	12 (1%)	No	No
Exercise Science	11 (1%)	No	No
Group Exercise Instructor	10 (1%)	No	No

### Top 15 Salary Premium Certifications

Skill	Postings	Salary Premium	Competitive Advantage
No certificates available			

### Top 15 Competitive Advantage Certifications

Skill	Postings	Salary Premium	Competitive Advantage
No certificates available			



# BURNING GLASS REPORT FOR REVIEW OF UMSL SPORT MANAGEMENT (2 OF 2)

This includes only programs fitting the CIP codes of the two programs under consideration (31.0101 and 31.0504). Therefore, estimates here may be conservative.

## PROJECT CRITERIA

<b>Validate</b>	<b>Programs</b>
<b>States</b>	Missouri
<b>Degree Level</b>	Bachelor's degree
<b>Time Period</b>	5/1/2018 - 4/30/2019
<b>Selected Programs</b>	Parks, Recreation and Leisure Studies (31.0101), Sport and Fitness Administration/Management (31.0504)
<b>Career Outcomes mapped to Selected Programs of Study</b>	Fitness and Wellness Coordinators, Recreation Workers

## HOW MANY JOBS ARE THERE FOR YOUR GRADUATES?

For your project criteria, there were **123** job postings in the last 12 months.  
Compared to:

- 562,453 total job postings in your selected location
- 152,849 total job postings requesting a Bachelor's degree in your selected location

The number of jobs is expected to **grow** over the next 8 years.

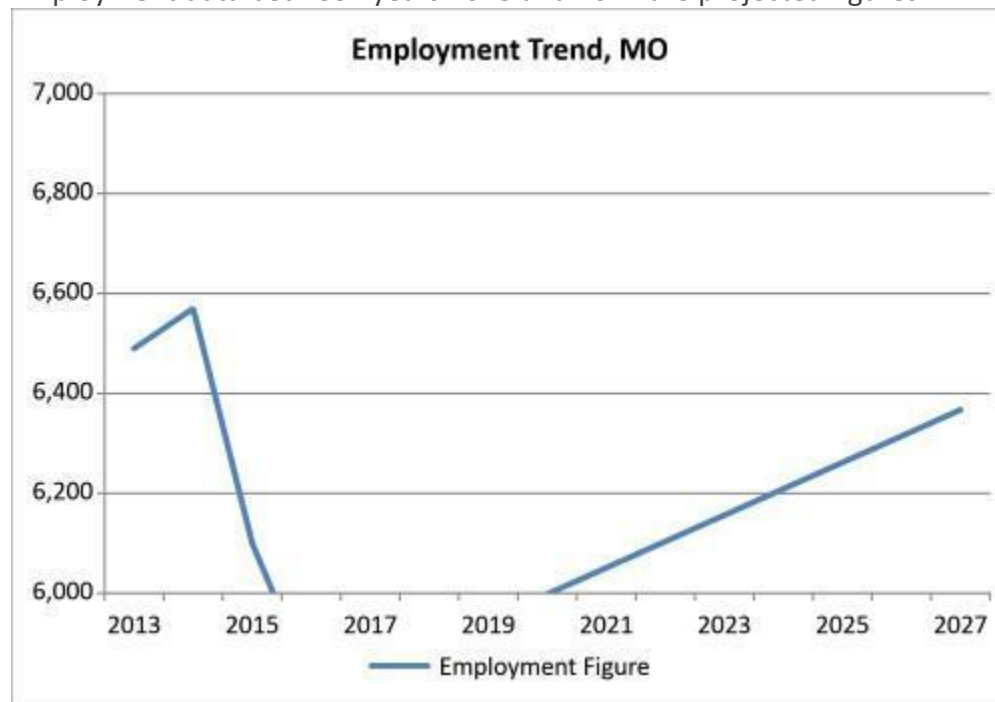
## GROWTH BY GEOGRAPHY

<i>Geography</i>	<i>Selected Occupations</i>	<i>Total Labor Market</i>	<i>Relative Growth</i>
<i>Missouri</i>	9.02%	7.30%	Average
<i>Nationwide</i>	9.71%	7.40%	Average

## HOW HAS EMPLOYMENT CHANGED FOR CAREER OUTCOMES OF YOUR PROGRAM?

	2013	2014	2015	2016	2017	2027
<b>Employment (BLS)</b>	6,490	6,570	6,100	5,820	5,840	6,367

Employment data between years 2018 and 2027 are projected figures.



## DETAILS BY OCCUPATION

<i>Occupation Group</i>	<i>Postings</i>	<i>LQ</i>	<i>Employment (2017)</i>	<i>Employment Growth (2016 - 2017)</i>	<i>Projected Employment Growth (2018-2027)</i>
<i>Other Personal Care and Service Workers</i>	82	0.5	5,480	0.2%	9.4%
<i>Other Management Occupations</i>	41	0.7	360	2.9%	3.3%

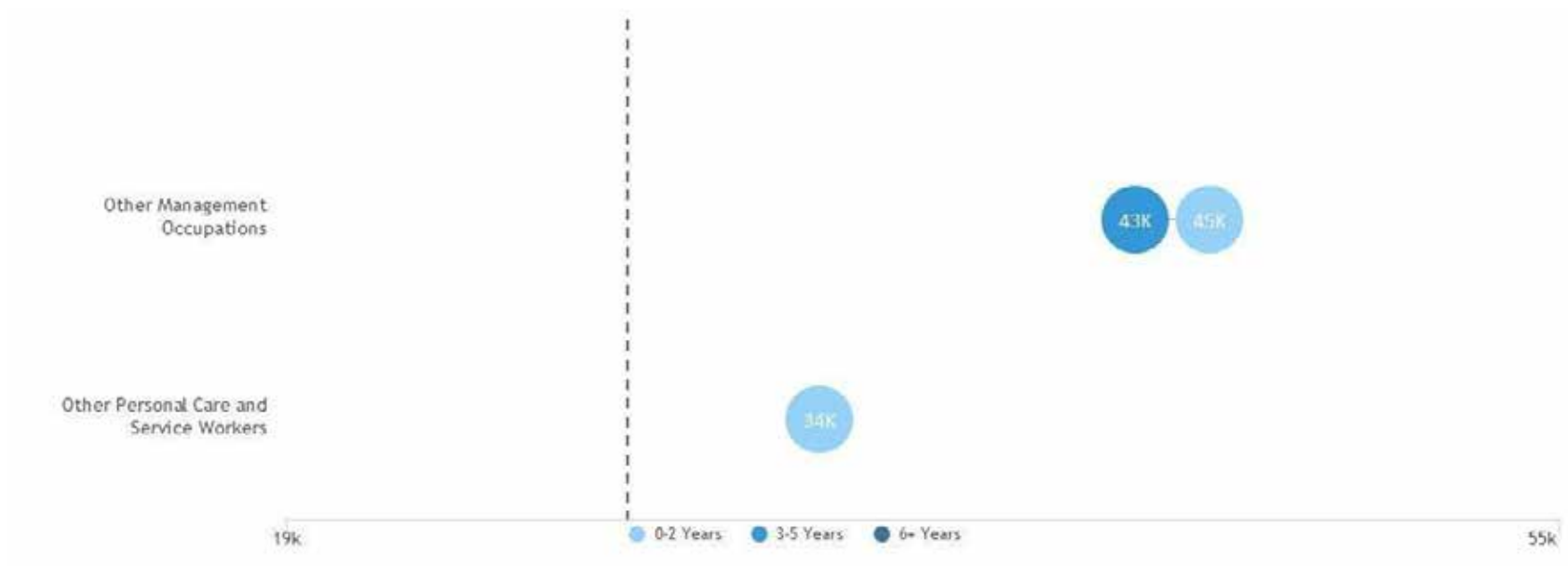
## HOW VERSATILE IS MY PROGRAM?

Graduates of this program usually transition into any of the 2 different occupation groups:

<i>Occupations Group</i>	<i>Market Size (postings)</i>	<i>Percentage of Career Outcome demand</i>
<i>Other Personal Care and Service Workers</i>	82	66.7%
<i>Other Management Occupations</i>	41	33.3%

## WHAT SALARY WILL MY GRADUATES MAKE?

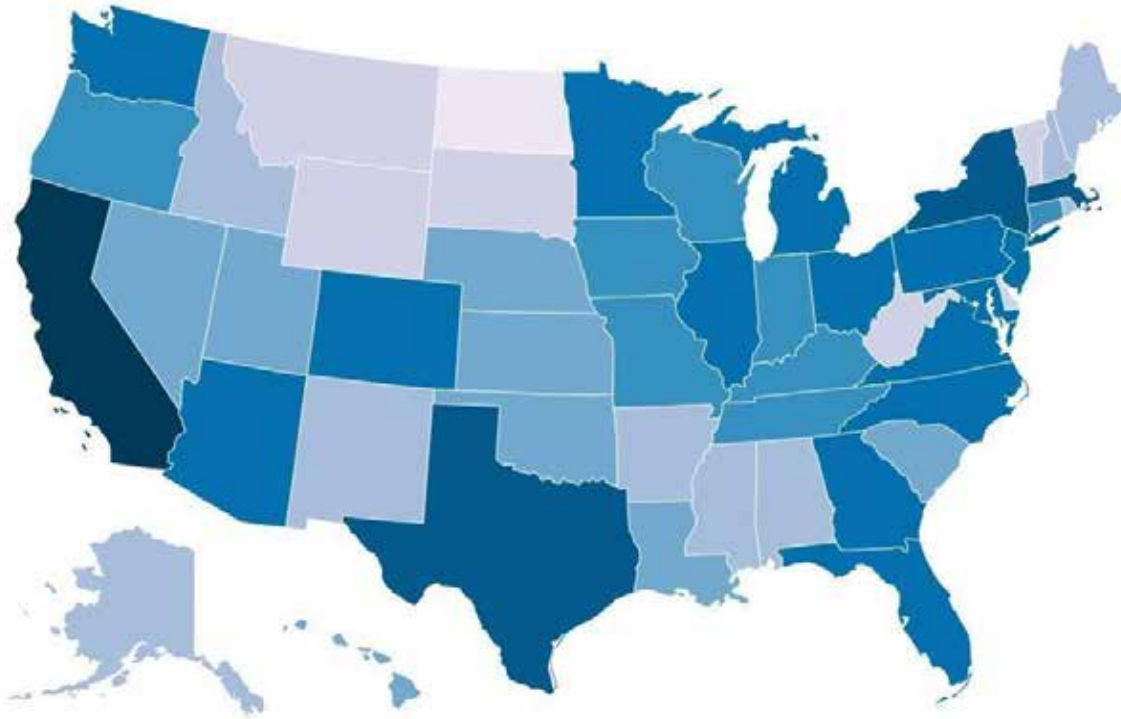
The average salary in Missouri for graduates of your program is **\$38,972**. This average salary is **Above** the average living wage for Missouri of \$28,621.



Salary numbers are based on Burning Glass models that consider advertised job posting salary, BLS data, and other proprietary and public sources of information.

<i>Occupation Group</i>	<i>25<sup>th</sup> Percentile</i>	<i>Average</i>	<i>75<sup>th</sup> Percentile</i>
<i>Other Personal Care and Service Workers</i>	\$34,063	\$0	\$0
<i>Other Management Occupations</i>	\$45,110	\$43,012	\$0

## WHERE IS THE DEMAND FOR MY GRADUATES?



## TOP LOCATIONS BY POSTING DEMAND

Location	Postings
California	2,088
Texas	881
New York	855
Massachusetts	501
Pennsylvania	488
Florida	482
Michigan	378
Illinois	376

New Jersey	345
Virginia	332

# VALIDATE: COMPETITIVE LANDSCAPE

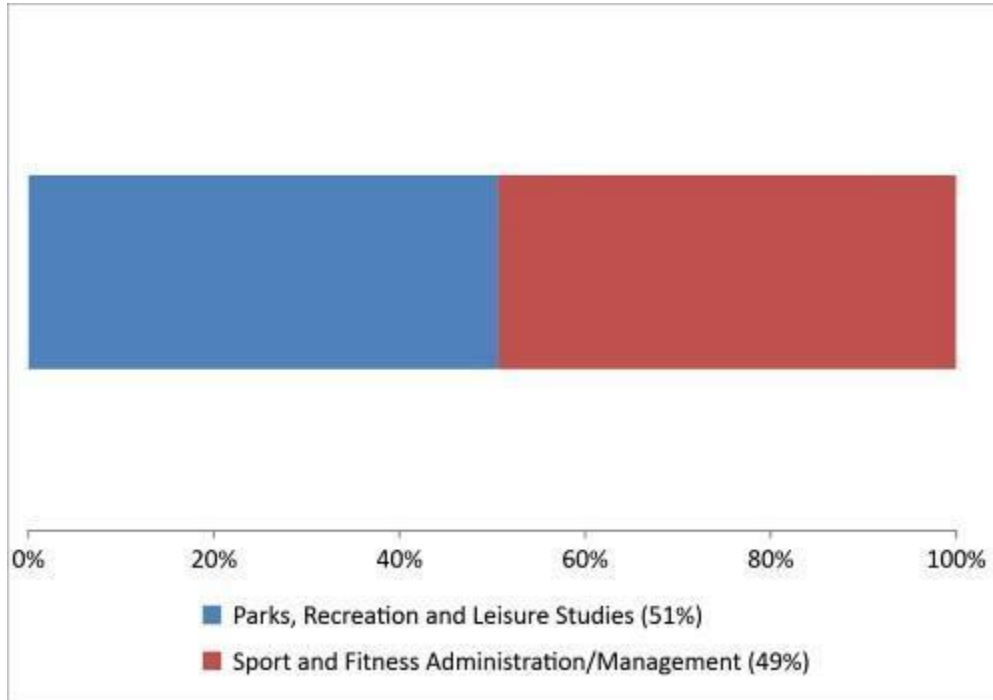
## PROJECT CRITERIA

<b>Validate</b>	<b>Programs</b>
<b>States</b>	Missouri
<b>Degree Level</b>	Bachelor's degree
<b>Time Period</b>	5/1/2018 - 4/30/2019
<b>Selected Programs</b>	Parks, Recreation and Leisure Studies (31.0101), Sport and Fitness Administration/Management (31.0504)
<b>Career Outcomes mapped to Selected Programs of Study</b>	Fitness and Wellness Coordinators, Recreation Workers

## OVERVIEW

	#	% Change (2013-2017)
<b>Degrees Conferred</b>	385	75%
<b>Number of Institutions</b>	15	7%
<b>Average Conferrals by Institution</b>	26	62.50%
<b>Median Conferrals by Institution</b>	18	100.00%

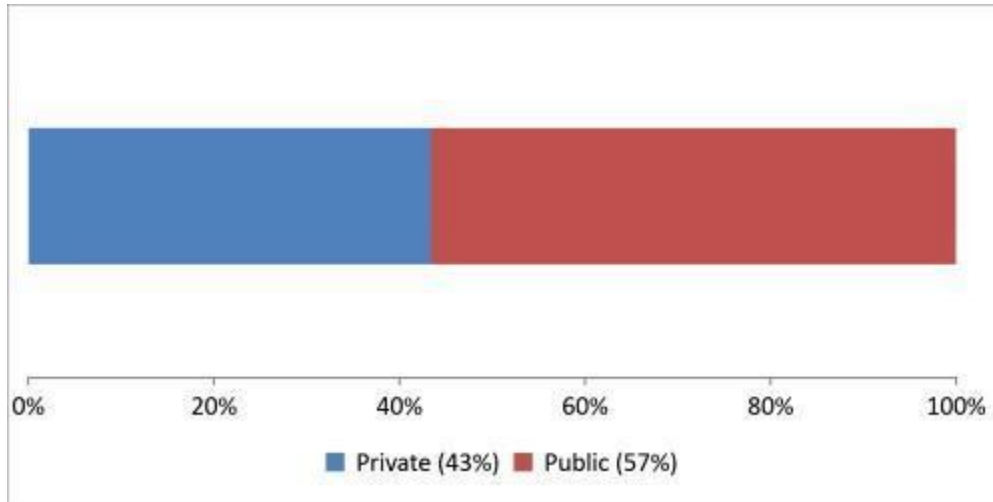
## MARKET SHARE BY PROGRAM



<i>Program</i>	<i>Conferrals (2017)</i>	<i>Market Share (%)</i>
<i>Parks, Recreation and Leisure Studies</i>	195	50.65%
<i>Sport and Fitness Administration/Management</i>	190	49.35%



## MARKET SHARE BY INSTITUTION TYPE



<i>Institution Type</i>	<i>Conferrals (2017)</i>	<i>Market Share (%)</i>
<i>Private</i>	167	43.38%
<i>Public</i>	218	56.62%

## TOP 10 INSTITUTIONS

<i>Institution</i>	<i>School Type</i>	<i>Market Share (2017)</i>	<i>Market Share Change</i>	<i>Conferrals (2017)</i>	<i>Conferrals Change (2013-2017)</i>
<i>University of Missouri-Columbia</i>	Public	32.21%	12.12%	124	181.80%
<i>Lindenwood University</i>	Private	10.65%	-11.27%	41	-14.60%
<i>University of Central Missouri</i>	Public	8.57%	7.20%	33	1,000.00%
<i>Southeast Missouri State University</i>	Public	8.05%	-4.28%	31	14.80%

<i>Missouri State University-Springfield</i>	Public	7.79%	-2.26%	30	36.40%
<i>Maryville University of Saint Louis</i>	Private	7.27%	4.07%	28	300.00%
<i>Missouri Baptist University</i>	Private	5.19%	-5.31%	20	-13.00%
<i>Columbia College (MO)</i>	Private	4.68%	3.31%	18	500.00%
<i>William Jewell College</i>	Private	3.64%	1.36%	14	180.00%
<i>Fontbonne University</i>	Private	2.86%	-2.16%	11	0.00%

## TOP 10 PROGRAMS

<i>Program</i>	<i>Market Share (2017)</i>	<i>Market Share Change</i>	<i>Conferrals (2017)</i>	<i>Conferrals Change (2013-2017)</i>
<i>Parks, Recreation and Leisure Studies</i>	50.65%	8.18%	195	109.70%
<i>Sport and Fitness Administration/Management</i>	49.35%	-8.18%	190	50.80%

## ACTIVE COMPETITORS

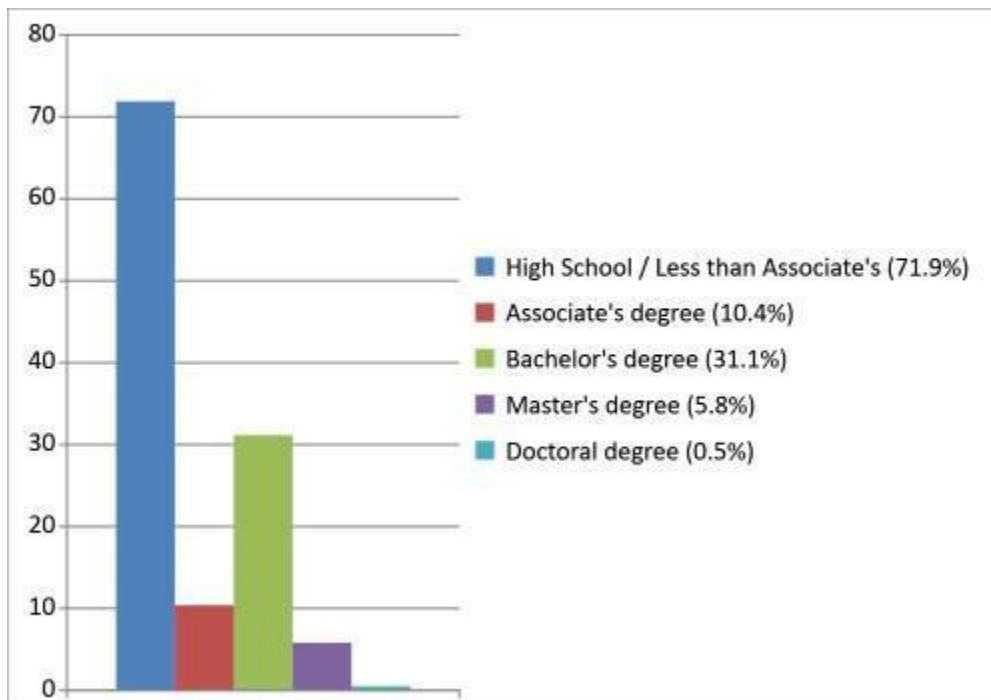
<i>Institution</i>	<i>School Type</i>	<i>Market Share (2017)</i>	<i>Market Share Change</i>	<i>Conferrals (2017)</i>	<i>Conferrals Change (2013-2017)</i>
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# VALIDATE: MARKET ALIGNMENT

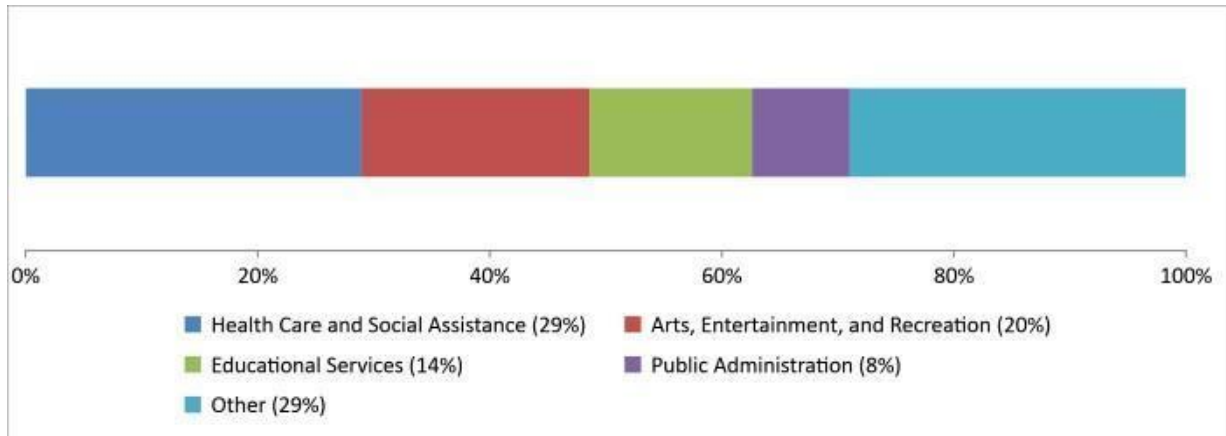
## PROJECT CRITERIA

<b>Explore</b>	<b>Programs</b>
<b>States</b>	Missouri
<b>Degree Level</b>	Bachelor's degree
<b>Time Period</b>	5/1/2018 - 4/30/2019
<b>Selected Programs</b>	Parks, Recreation and Leisure Studies (31.0101), Sport and Fitness Administration/Management (31.0504)
<b>Career Outcomes mapped to Selected Programs of Study</b>	Fitness and Wellness Coordinators, Recreation Workers

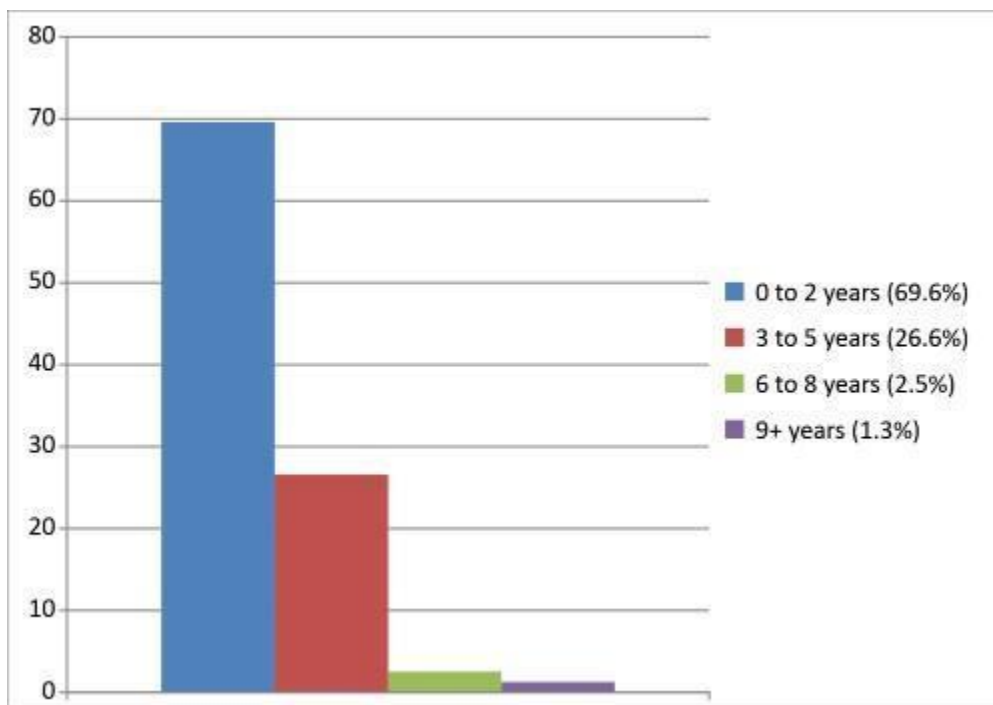
## JOB POSTINGS BY ADVERTISED EDUCATION (%)



## JOB POSTINGS BY INDUSTRY (%)



## JOB POSTINGS BY EXPERIENCE REQUESTED (%)



TOP TITLES

Experience Level: All Experience

<i>Title</i>	<i>Postings</i>	<i>Market Share (%)</i>
<i>Fitness Manager</i>	20	16.26%
<i>Activities Coordinator</i>	17	13.82%
<i>Director of Wellness</i>	7	5.69%
<i>Wellness Coordinator</i>	6	4.88%
<i>Activities Assistant</i>	5	4.07%
<i>Recreation Coordinator</i>	5	4.07%
<i>Activities Director</i>	4	3.25%
<i>Camp Director</i>	4	3.25%
<i>Recreation Assistant</i>	4	3.25%
<i>Behavioral Therapy Lead</i>	3	2.44%
<i>Camp Instructor Seasonal</i>	2	1.63%
<i>Coordinator</i>	2	1.63%
<i>Director of Campus Recreation</i>	2	1.63%
<i>Group Leader</i>	2	1.63%
<i>Health Director</i>	2	1.63%

TOP EMPLOYERS HIRING

Experience Level: All Experience

<i>Employer</i>	<i>Postings</i>	<i>Market Share (%)</i>
<i>Gold's Gym</i>	12	9.76%
<i>Aegis Therapies</i>	9	7.32%
<i>Gold's Holding</i>	5	4.07%
<i>Sunrise Senior Living, Inc.</i>	5	4.07%
<i>YMCA</i>	5	4.07%
<i>Anthem Blue Cross</i>	4	3.25%
<i>Kansas City Zoo</i>	3	2.44%
<i>Mercy</i>	3	2.44%
<i>Missouri University of Science and Technology</i>	3	2.44%
<i>St Louis Jewish Community Center</i>	3	2.44%
<i>Cedarhurst Living, Llc</i>	2	1.63%
<i>City Chesterfield</i>	2	1.63%
<i>Johnson &amp; Johnson</i>	2	1.63%
<i>Life Care Centers of America</i>	2	1.63%
<i>Mercy Health</i>	2	1.63%

# VALIDATE: KEY COMPETENCIES

## PROJECT CRITERIA

<b>Validate</b>	<b>Programs</b>
<b>States</b>	Missouri
<b>Degree Level</b>	Bachelor's degree
<b>Time Period</b>	5/1/2018 - 4/30/2019
<b>Selected Programs</b>	Parks, Recreation and Leisure Studies (31.0101), Sport and Fitness Administration/Management (31.0504)
<b>Career Outcomes mapped to Selected Programs of Study</b>	Fitness and Wellness Coordinators, Recreation Workers

## TOP 15 SPECIALIZED SKILLS

<i>Skill</i>	<i>Postings</i>	<i>Projected Growth</i>	<i>Salary Premium</i>	<i>Competitive Advantage</i>
<i>Customer Service</i>	46 (37%)	1.05%	No	No
<i>Scheduling</i>	45 (37%)	1.88%	No	No
<i>Cardiopulmonary Resuscitation (CPR)</i>	41 (33%)	-4.18%	No	No
<i>Budgeting</i>	31 (25%)	-10.04%	No	No

<i>Fitness</i>	25 (20%)	-26.21%	No	No
<i>Administrative Functions</i>	19 (15%)	3.87%	No	No
<i>Staff Management</i>	18 (15%)	-13.84%	No	No
<i>Equipment Inventory</i>	18 (15%)	-7.58%	No	No
<i>Group Fitness</i>	17 (14%)	14.15%	No	No
<i>Assisted Living</i>	17 (14%)	13.26%	No	Yes
<i>Supervisory Skills</i>	16 (13%)	-51.48%	No	Yes
<i>Physiology</i>	13 (11%)	-18.05%	No	No
<i>Teaching</i>	11 (9%)	-12.75%	No	No
<i>Geriatrics</i>	11 (9%)	-1.71%	No	No
<i>Patient Transportation and Transfer</i>	10 (8%)	7.82%	No	No



## TOP 15 BASELINES SKILLS

<i>Skill</i>	<i>Postings</i>
<i>Communication Skills</i>	53 (43%)
<i>Physical Abilities</i>	38 (31%)
<i>Organizational Skills</i>	29 (24%)
<i>Planning</i>	28 (23%)
<i>Microsoft Excel</i>	24 (20%)
<i>Microsoft Office</i>	23 (19%)
<i>Written Communication</i>	22 (18%)
<i>Teamwork / Collaboration</i>	19 (15%)
<i>Microsoft Word</i>	18 (15%)

<i>Building Effective Relationships</i>	16 (13%)
<i>Creativity</i>	14 (11%)
<i>Computer Literacy</i>	14 (11%)
<i>Microsoft Powerpoint</i>	11 (9%)
<i>Microsoft Outlook</i>	11 (9%)
<i>Energetic</i>	10 (8%)

#### TOP 15 SOFTWARE PROGRAMMING SKILLS

<i>Skill</i>	<i>Postings</i>	<i>Projected Growth</i>	<i>Salary Premium</i>	<i>Competitive Advantage</i>
<i>Microsoft Excel</i>	24 (20%)	17.03%	No	No
<i>Microsoft Office</i>	23 (19%)	-10.2%	No	No
<i>Microsoft Word</i>	18 (15%)	-13.39%	No	No

<i>Microsoft Powerpoint</i>	11 (9%)	-8.52%	No	No
<i>Microsoft Outlook</i>	11 (9%)	-1.45%	No	No
<i>Word Processing</i>	5 (4%)	-19.34%	No	No
<i>Microsoft Access</i>	4 (3%)	-57.74%	No	No
<i>Public administration</i>	3 (2%)	-30.37%	No	No
<i>Kronos Software</i>	2 (2%)	-43.03%	No	No
<i>Social Media Platforms</i>	2 (2%)	38.85%	No	No
<i>Salesforce</i>	2 (2%)	46.69%	No	No
<i>Lotus Applications</i>	1 (1%)	-100%	No	No
<i>WordPerfect</i>	1 (1%)	-100%	No	No
<i>Microsoft Publisher</i>	1 (1%)	-54.24%	No	No
<i>Lotus Notes</i>	1 (1%)	-100%	No	No

## TOP 15 SKILL CLUSTERS

<i>Skill</i>	<i>Postings</i>
<i>Exercise Training</i>	29 (24%)
<i>People Management</i>	26 (21%)
<i>Basic Living Activities Support</i>	19 (15%)
<i>Medical Support</i>	15 (12%)
<i>Teaching</i>	13 (11%)
<i>Public Health and Disease Prevention</i>	7 (6%)
<i>Mental Health Diseases and Disorders</i>	6 (5%)
<i>Project Management</i>	6 (5%)
<i>Event Planning and Management</i>	4 (3%)
<i>Music</i>	4 (3%)

<i>Employee Training</i>	3 (2%)
<i>Performance Management</i>	3 (2%)
<i>Quality Assurance and Control</i>	2 (2%)
<i>Rehabilitation</i>	2 (2%)
<i>Marketing Strategy</i>	2 (2%)

#### TOP 15 SALARY PREMIUM SKILLS

<i>Skill</i>	<i>Postings</i>	<i>Projected Growth</i>	<i>Salary Premium</i>	<i>Competitive Advantage</i>
<i>Music</i>	4 (3%)	-13.98%	Yes	Yes
<i>Rehabilitation</i>	1 (1%)	-7.58%	Yes	No
<i>Dementia knowledge</i>	1 (1%)	15.39%	Yes	No

## TOP 15 COMPETITIVE ADVANTAGE SKILLS

<i>Skill</i>	<i>Postings</i>	<i>Projected Growth</i>	<i>Salary Premium</i>	<i>Competitive Advantage</i>
<i>Assisted Living</i>	17 (14%)	13.26%	No	Yes
<i>Supervisory Skills</i>	16 (13%)	-51.48%	No	Yes
<i>Music</i>	4 (3%)	-13.98%	Yes	Yes
<i>Event Planning</i>	4 (3%)	-29.8%	No	Yes
<i>Employee Training</i>	3 (2%)	-5.44%	No	Yes
<i>Quality Assurance and Control</i>	1 (1%)	39.46%	No	Yes

## TOP 15 CERTIFICATIONS

<i>Skill</i>	<i>Postings</i>	<i>Salary Premium</i>	<i>Competitive Advantage</i>
<i>Driver's License</i>	23 (19%)	No	No
<i>First Aid Cpr Aed</i>	11 (9%)	No	Yes

<i>Water Safety Instructor</i>	4 (3%)	No	No
<i>Certified Therapeutic Recreation Specialist (CTRS)</i>	3 (2%)	No	No
<i>Certified Teacher</i>	3 (2%)	No	No
<i>Certified Parks and Recreation Professional (CPRP)</i>	3 (2%)	No	No
<i>ServSafe</i>	2 (2%)	No	No
<i>Certified Satellite Installer (CSI)</i>	2 (2%)	No	No
<i>Certified Recreational Therapist</i>	2 (2%)	No	No
<i>Certified Psychiatric Rehabilitation Practitioner</i>	2 (2%)	No	No
<i>Activity Director Certified (ADC)</i>	2 (2%)	No	No
<i>Licensed Vocational Nurse (LVN)</i>	1 (1%)	No	No
<i>Certified Pool/Spa Operator</i>	1 (1%)	No	No
<i>Certified Nephrology Nurse</i>	1 (1%)	No	No

<i>Certified Health Education Specialist</i>	1 (1%)	No	No
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**TOP 15 SALARY PREMIUM CERTIFICATIONS**

*Skill Postings Salary Premium Competitive Advantage*

No certificates available

**TOP 15 COMPETITIVE ADVANTAGE CERTIFICATIONS**

<i>Skill</i>	<i>Postings</i>	<i>Salary Premium</i>	<i>Competitive Advantage</i>
<i>First Aid Cpr Aed</i>	11 (9%)	No	Yes



**Appendix G**  
**Phone Conversation with Dr. Beth Easter**  
**Southeast Missouri State University**  
**August 15, 2018**

**What considerations should we have?**

- STL is a great sport community—this is a significant advantage for UMSL.
- Need to decide on emphasis of program (e.g., preparing candidates for schools vs. broader community-based settings).
- The history of SM is rooted in the 1980's when universities addressed the need to fill baseball-related positions—thus, SM had a business orientation.
- We could focus on adding a SM track at the graduate level in our M.Ed. in Adult and Higher Education. Many of these students are working as graduate assistants in Athletics.
- If we go with BS degree, consider a minor in business administration.

**Staffing**

- There are usually large pools of applicants for SM positions. Consequently, SEMO has 2.5 FTE faculty with one of them (1 FTE) at the instructor level teaching undergraduate courses.
- Having at least 2 FTE faculty for beginning a program sounds appropriate.

**Need for SM in Missouri?**

- Missouri programs:
  - Central Missouri State U: online grad program
  - Northwest MO State: SM is a minor within a degree in either business or health science/wellness
  - Missouri State U: event management, undergrad.
  - Maryville U: undergrad in SM
  - Lindenwood: master's degree
  - MO Baptist: undergrad and grad
  - SLU: sport business master's
  - SIU-E: undergrad?
  - SIU-C:PE/exercise science/sport leadership/SM
- St. Louis Sports Commission—lots of summer internships for students returning to STL for summer.

### **Too much supply?**

- Many programs are on the east or west coasts and in the South
- SM programs attract students, but can the program place them?
- Needed areas: statistics, analysis, event management, multimedia communications
- Note: Salaries remain low

### **Recruitment**

- Identify your niche. What emphasis does your program have? This should differentiate from other programs in the area.
- COSMA accreditation has helped SEMO attract students.
- SEMO actually targets STL area and southeast Missouri for students
- SEMO faculty have built relationship with a network of sport-related agencies and businesses

### **What haven't we asked?**

- Set a direction.
- Establish interdisciplinary connections within your University—this helps to assure you have faculty in place. For example, at SEMO, they need sport business/finance courses taught—always a need. Get your connections in place as you begin your program at UMSL.

**Appendix H**  
**Phone Conversation with Dr. Clayton Stoldt**  
**Associate Dean and Professor of Sport Management**  
**Wichita State University**  
**August 9, 2018**

**What should we be considering in establishing a bachelor's in sport management (SM)?**

- Consider the full scope of the program. What courses will be dedicated to SM? What specialized courses can you offer that will take the general information in other SM courses and allow for deeper study/understanding or practice.
- Partnerships: This is huge in SM and makes a competitive difference in programs. What are the opportunities for applied learning and partnerships? Being a major sport market will be an advantage.
- Need for an advisory council. The council can assist with continuous improvement. The council members are critical for good placements.
- Strong need for experiential learning.

**How should we proceed on developing a bachelor's degree?**

- Good start by looking at materials from the Commission on Sport Management Accreditation (COSMA).
- Focus on COSMA's eight principles (even if you don't pursue specialized accreditation).

**What's the importance of the strategic plan in COSMA's materials?**

- COSMA emphasizes a written plan that guides all operations and functions of a program.
- Align the plan with the strategic plan in the COE and the University.
- The strategic plan should give quality assurances and need for attainment of quality.
- Tangential note: COSMA feels more manageable than CAEP.

## **Emphasis of the bachelor's degree?**

- A more general emphasis for the bachelor's degree is a good approach.
- Suggestion: Look at other programs in STL (Fontbonne, MO Baptist, and Lindenwood) and differentiate yourself from them.
- Establish a solid core of course and let electives allows students to specialize in their area of interest. For example, Wichita State (WSU) has many grads in fitness service and recreation commissions, and electives allows students to seek these areas.

## **Sport Management as a hot major**

- The field of SM is still a “hot major,” and it's more competitive now than 5 years ago—many new institutions and fully online programs.
- WSU's bachelor's is not online because their students prefer hybrid courses (at both the bachelor's and master's levels). At the grad level, there a few online courses.
- Recruitment: WSU recruitment is aided by a strong market presence and a good reputation. WSU still does local marketing.
- Recruiting success has been predicated on the high participation of faculty, and this obviously helps retention as well. WSU is very intentional in getting faculty involved in recruitment. Most of the SP faculty were practitioners prior to joining the academy.

## **Resources**

Planning to begin the program with two faculty is appropriate.

## **What haven't I asked?**

- Keep focused on COSMA materials even if you're not going to be COSMA-accredited.
- Build partnerships—this is critical at the program's outset. WSU student sometimes have 2-3 internships when they graduate, and this makes them attractive candidates.

**Appendix I**  
**Letters of Support**

April 11, 2019

Dr. Mun Choi, President  
UM System – Office of the President  
321 University Hall  
Columbia, MO 65211

President Choi,

The University of Missouri – St. Louis requests approval for a new degree program in Sport Management. The program capitalizes on the needs, opportunities, and assets of the St. Louis metropolitan area and emerging trends. The B.S. in Sport Management has been reviewed and approved by the appropriate campus committees. Importantly, it has the endorsement of campus leadership.

It is anticipated that this program, when fully enrolled, will generate sufficient funds through tuition and fees to cover expenses associated with the delivery of the program while leaving noteworthy revenue sharing to offset campus costs associated with new student enrollments.

Sincerely,



Kristin Sobolik  
Provost and Executive Vice Chancellor for Academic Affairs



Office of the Dean  
College of Education

University of Missouri-St. Louis  
201 Education Administration Bldg.  
1 University Boulevard  
St. Louis, MO 63121-4400  
Phone: 314-516-5109  
Fax: 314-516-5227

January 25, 2019

Re: Proposal for new degree in Sport Management

Colleagues:

I am delighted to offer my full support for the proposed Sport Management degree. I am excited by the prospect of UMSL through the College of Education offering our community a pathway to study a strong mix of business and education courses culminating in a Bachelor's degree in Sport Management.

The College's existing programming is of the highest quality and provides local educators with required and sought after state and national professional licensing and certification. The college is proud to hold current full accreditation from three prestigious national professional accrediting bodies. The bulk of the college offerings for K-12 educators fall within the purview of the Council for the Accreditation of Educator Preparation (CAEP was formerly the National Council for the Accreditation of Teacher Education or NCATE), their next accreditation visit will occur later this year. Our advanced programs in school and mental health counseling have recently been re-accredited by the Council for Accreditation of Counseling and Related Educational Programs (CACREP), and our school psychology educational specialist degree and licensing program is accredited by the National Association of School Psychologists (NASP). Additionally, all these programs have recently been approved by Missouri's Department of Elementary and Secondary Education to provide state certification and licensure. As UMSL grows the Sport Management program, the college faculty are committed to continue this record of nationally recognized programming by seeking accreditation from the Commission on Sport Management Accreditation (COSMA). When this is achieved, the UMSL program will be the only COSMA accredited program in the St. Louis area. UMSL and the COE's existing deep and extensive community partnerships will ensure the necessary internship sites and practical experience essential to the success of sport management graduates.

Initially the development of this degree has been led by COE faculty from the associated curricular area of health and physical education and supported through the chair of our Department of Education Sciences and Professional Programs. As this degree moves forward we support the need for two additional specialist faculty who will direct and coordinate the program's growth, development and success.

Sincerely,

A handwritten signature in black ink that reads "Ann Taylor".

Ann Taylor, Ph.D.  
Dean and Professor

*Innovative Education. Engaged Educators.*

February 20, 2019

TO:

From: Charles Hoffman, Dean, College of Business  
UMSL

RE: Sport Management program at UMSL

The College of Business Administration at UMSL has collaborated with the College of Education to create a Sport Management degree to be run out of the College of Ed. Our research into competing programs in the region has led to our belief that a niche is available and demand exists in the market. The leading program is at Maryville University and sponsored by Rawlings Sporting Goods. Yet, they don't provide enough graduates to meet the need in the St. Louis region, and of course their accreditation does not meet our standards.

The College of Business will grow our expertise in sports marketing along with this program. Analytics and big data are becoming a part of the curriculum in the college in each discipline. Thus sports analytics will be part of the sports marketing component of the degree. The professional sports teams in St. Louis all need fresh talent in this area, and there are internship opportunities for the students.

We are looking forward to exploiting the potential of these related programs on behalf of our current and future students.

Sincerely,



Charles Hoffman



an equal opportunity institution



**UMSL** | Psychological  
Sciences  
University of Missouri-St. Louis

Department of Psychological Sciences  
Office of the Chair

325 Stadler Hall  
One University Boulevard  
St. Louis, Missouri 63121-4400  
Telephone: 314-516-7123  
Fax: 314-516-5392  
e-mail: [griffinm@umsl.edu](mailto:griffinm@umsl.edu)

January 25, 2019

Donald Gouwens, Psy.D.  
Associate Clinical Professor  
Chair, Department of Education Sciences and Professional Programs

Dear Don:

This letter serves to show my support for the new program that you are developing as a Bachelor of Science in Sport Management. Specifically, we agree to develop and staff a course at the undergraduate level in the area of Sport Psychology. I believe that both this course and the degree program will be a very popular choice for our undergraduate students. Thanks for working to pull this degree together and best wishes.

Sincerely,



Michael G. Griffin, Ph.D.  
Associate Professor & Chair,  
Department of Psychological Sciences  
University of Missouri-St. Louis  
One University Boulevard  
St. Louis, MO 63121


an equal opportunity institution



University of Missouri-St. Louis

## Memorandum

To: Donald Gouwens, Psy.D.  
Associate Clinical Professor  
Chair, Education Sciences and Professional Programs

From: Lori Flanagan   
Director of Athletics

Date: January 28, 2019

RE: Bachelor of Science in Sport Management

Please accept this letter of our *highest* support for the design and development for the Bachelor of Science in Sport Management. Since 2009, when I became the Director of Athletics, our coaches and student-athletes have inquired as to the possibility of Sport Management as a degree program. Not only does this create an avenue for student-athletes to pursue a continued degree in the world of sports, it also will provide teaching opportunities for our full-time support staff and coaching staffs.

Over the past 10 years, as our Athletic program has grown and flourished, the demands of running a program have also grown. We welcome a possibility of creating internships to allow students real time experience, while supporting our needs of a work force to execute and run our day to day operations.

We anxiously await the formal approval in which the Bachelor of Science in Sport Management has been officially designated a degree program at UMSL.

**Bahr, Michael**  
**David Frazier <DFrazier@StlBlues.com>**  
**Friday, December 21, 2018 2:26 PM**  
**To: Bahr, Michael**  
**Subject: RE: Support for UMSL Sport Management Program**

Hi Mike,

Happy to hop on a call with you and discuss the exciting possibility of adding a sport management degree at UMSL.

On behalf of the St. Louis Blues we would be thrilled to give UMSL Sport Management students the opportunity to intern for the St. Louis Blues to gain some real world experience. The Blues are excited about this new program, and we would be more than happy to assist wherever needed.

Thank you so much, and please let me know if you need anything additional from me.

-David

**David Frazier | St. Louis Blues**  
**Manager, Corporate Partnerships**  
**O. 314-589-5811 M. 636-399-0825**

Save on St. Louis Blues single game ticket fees when you use code SLBDFRA at [www.stlouisblues.com/friends](http://www.stlouisblues.com/friends)

Dr. Makubuya,

My name is David Schmoll and I am the General Manager with the River City Rascals. Carrie Green, our business manager, forwarded over an email from you regarding internship opportunities with the Rascals. We have internship opportunities for each semester and would love to be able to get those in front of UMSL students.

We are in the process of hiring for both spring and summer interns. We post all opportunities on TeamworkOnline ([https://www.teamworkonline.com/jobs-in-sports?utf8=%E2%9C%93&employment\\_opportunity\\_search%5Bquery%5D=river+city+rascals&employment\\_opportunity\\_search%5Blocation%5D%5Bname%5D=&employment\\_opportunity\\_search%5Blocation%5D%5Badministrative\\_division%5D=&employment\\_opportunity\\_search%5Blocation%5D%5Blatitude%5D=&employment\\_opportunity\\_search%5Blocation%5D%5Blongitude%5D=&employment\\_opportunity\\_search%5Bexclude\\_united\\_states\\_opportunities%5D=0&employment\\_opportunity\\_search%5Bcategory\\_id%5D=&commit=Search](https://www.teamworkonline.com/jobs-in-sports?utf8=%E2%9C%93&employment_opportunity_search%5Bquery%5D=river+city+rascals&employment_opportunity_search%5Blocation%5D%5Bname%5D=&employment_opportunity_search%5Blocation%5D%5Badministrative_division%5D=&employment_opportunity_search%5Blocation%5D%5Blatitude%5D=&employment_opportunity_search%5Blocation%5D%5Blongitude%5D=&employment_opportunity_search%5Bexclude_united_states_opportunities%5D=0&employment_opportunity_search%5Bcategory_id%5D=&commit=Search)).

Would there be another way we can get the internships in front of UMSL students?

Thanks for your help!

**David Schmoll**  
**Senior Vice President & General Manager**  
**River City Rascals Professional Baseball**  
900 T.R. Hughes Blvd. | O' Fallon, MO 63366  
636-240-2287 x242 | [dschmoll@rivercityrascals.com](mailto:dschmoll@rivercityrascals.com)

**From:** Gayle Lymer <glymer@gatewaygrizzlies.com>  
**Sent:** Wednesday, December 5, 2018 3:47 PM  
**To:** Makubuya, Timothy  
**Subject:** Re: Internship Support

Good afternoon,

We appreciate you reaching out. We would be more than happy to support and explore a working relationship with the University of Missouri- St. Louis within the Sports Management department. We are actually wrapping up our interviews with potential interns for our 2019 season. Most of which are from sports management programs within the St. Louis/ Metro-East area.

Please let me know if there is anything you need from us. Happy to be on board.

Best,

**Gayle Lymer**

*DIRECTOR OF COMMUNITY RELATIONS & MERCHANDISE*

**Gateway Grizzlies Professional Baseball**

**2301 Grizzlie Bear Blvd. | Sauget, IL 62206**

*Ph:(618) 337-3000 ext. 26 | Fax: (618)332-3625*

December 10, 2018

To whom it may concern,

I write this letter in support of the creation of a Sports Management program through the College of Education and College of Business. This program will provide much needed support for those students on campus pursuing a career in the sport management field. We believe we will be able to assist with providing internships for this academic program through the department of Campus Recreation. This will provide a practical setting for students to practice the skills they learn in the classroom.

Campus Recreation is very excited to be a part of this new degree program and will assist in providing support in any way we are able.

If you require further information, please feel free to contact me.

**Yvette Kell**  
**Director of Campus Recreation**  
**kellyv@umsl.edu**  
**314-516-6682**

Dear Michael,

As a professional in the race management industry here in St. Louis, I believe that a degree program in Sport Management would be highly beneficial to our professional community in the race industry and in other sports related fields in St. Louis. I fully support UMSL offering such a program. To that end, GO! St. Louis would be very open to accepting an intern from the program to work with our team here on the running events we organize.

I look forward to hearing more about UMSL's efforts to add the program to its offerings!

Best,

**Mona Vespa**  
**President**

**GO! St. Louis**  
[gostlouis.org](http://gostlouis.org)  
**314.727.0800 office**  
**314.705.2270 mobile**



#1 Soccer Park Road  
Fenton MO 63026  
636.680.0999

January 14, 2019

April Regester  
University of Missouri St. Louis  
359A Marillac Hall  
One University Boulevard  
St. Louis MO 63121

Dear Mrs. Regester:

Saint Louis FC, and our parent company St. Louis Scott Gallagher Soccer Club, would wholeheartedly support the creation of a Sports Management program at your university. We currently have excellent, productive relationships with all other programs in the area and would immediately look to do the same with UMSL. From internship opportunities to full-time employment openings, our organization has placed a priority on working with local institutions to build our staff and create learning pathways for area students.

Please let me know how we can assist further.

Sincerely,

A handwritten signature in black ink, appearing to read "Patrick Barry", written over a horizontal line.

Patrick Barry  
President  
Saint Louis FC &  
St. Louis Scott Gallagher SC



**Appendix J**  
**Draft of Alumni Survey**

**Sport Management Program**  
**University of Missouri—St. Louis**  
**Alumni Survey**

Thank you for taking a few minutes to provide feedback on your experience in the UMSL Sport Management Program.

Please tell us the title of the position you currently hold with your organization? (Please, no employee names.)

My Job Title: \_\_\_\_\_

Please rate questions 1-16 using the following descriptors:

- 5 = Strongly agree
- 4 = Agree
- 3 = Uncertain
- 2 = Disagree
- 1 = Strongly Disagree

1. I was well-prepared to enter the workforce.
2. I possessed well-developed knowledge of the industry.
3. I quickly adapted to work tasks.
4. I was able to learn new tasks proficiently.
5. I possessed relevant skills for this position.
6. I possessed a good mix of theory and practice.
7. The skills I learned at UMSL help me with my current job.
8. I was able to effectively integrate into the workplace.
9. I work effectively with other employees in our organization.
10. I was prepared to face the demands of work.
11. I accept feedback for improvement.
12. I am flexible in meeting work tasks.
13. I gained the knowledge I needed from the UMSL sport management program.
14. I would recommend UMSL sport management program to prospective students.
15. Overall, I am satisfied with the preparation the UMSL sport management program provided to me.

16. What are 1-2 strengths of the UMSL sport management program?
17. What are 1-2 areas of improvement for the UMSL sport management program?
18. Please provide any other information that would assist us in improving the UMSL sport management program.

**Thank you again for providing this feedback.**

**Appendix K**  
**Draft of Employer Survey**

**Sport Management Program**  
**University of Missouri—St. Louis**  
**Employer Survey**

Thank you for taking a few minutes to provide feedback on your employee who is a graduate of the UMSL Sport Management Program.

Please tell us the title of the position the UMSL alum holds with your organization? (Please, no employee names.)

Title: \_\_\_\_\_

Please rate questions 1-16 using the following descriptors:

- 5 = Strongly agree
- 4 = Agree
- 3 = Uncertain
- 2 = Disagree
- 1 = Strongly Disagree

1. Your employee was well-prepared to enter the workforce.
2. Your employee possesses well-developed knowledge of the industry.
3. Your employee quickly adapts to work tasks.
4. Your employee is able to learn new tasks proficiently.
5. Your employee possesses relevant skills for this position.
6. Your employee possesses a good mix of theory and practice.
7. The skills demonstrated by your employee reflect current practice.
8. Your employee has effectively integrated into the workplace.
9. Your employee works effectively with other employees in our organization.
10. Your employee was prepared to face the demands of work.
11. Your employee accepts feedback for improvement.
12. Your employee is flexible in meeting work tasks.
13. Your employee gained the knowledge they needed from the UMSL sport management program.
14. We would recommend UMSL sport management alumni to other organizations.
15. This employee is an effective investment for our organization.
16. Overall, we are satisfied with the preparation of the UMSL sport management alum.

17. What are 1-2 strengths this employee possesses?
  
18. What are 1-2 areas of improvement for this employee?
  
19. Please provide any other information that would assist us in improving our program.

Your job title: \_\_\_\_\_

**Thank you again for providing this feedback?**

## **New Degree Program Bachelor of Health Science in Occupational Therapy Assistant, MU Executive Summary**

Occupational therapy is a health profession that uses a holistic approach to help people across the lifespan do the things they want and need to do through the therapeutic use of daily activities (occupations). There are two levels of entry into the occupational therapy profession, either as an occupational therapist (OT) or as an occupational therapy assistant (OTA). After completion of educational and fieldwork requirements from an educational program accredited by the Accreditation Council for Occupational Therapy Education (ACOTE), OT and OTA students must then pass a national certification exam through the National Board for Certification in Occupational Therapy (NBCOT).

Over the past two decades, accreditation standards and entry-level degree requirements have increased for many health professions education programs, and occupational therapy is no exception. The entry-level degree to become an OT has shifted from the master's level to the occupational therapy doctorate (OTD) level. The majority of OT education programs across the nation, including the University of Missouri – Department of Occupational Therapy (MU OT), are either already at or are in the process of transitioning to the entry-level OTD.

Now the profession is seeing similar changes for OTA education. In April 2019, the Representative Assembly of the American Occupational Therapy Association voted to support entry-level OTA education at both the associate's degree and bachelor's degree levels, creating an opportunity for four-year institutions to develop bachelor's-level OTA education programs. As of July 2019, only seven institutions across the nation were in the early stages of developing a bachelor's-level OTA program. With a well-established OT program that has maintained ACOTE accreditation for more than 50 years, the MU OT program is strategically positioned to create the first bachelor's-level OTA program at a public institution in the state of Missouri.

The Bachelor of Health Science in Occupational Therapy Assistant (BHS-OTA) degree detailed in this proposal will provide an additional degree option for University of Missouri students who wish to complete an undergraduate degree that allows for immediate employment in a health profession with high employment and entry-level salaries. This new degree program will also create additional opportunities for MU to collaborate with community colleges across the state. Students will have the opportunity to complete their first two years of prerequisite coursework through local community colleges before applying for the BHS-OTA program at MU. Students must complete a minimum of 60-61 credit hours (varies by specific pre-requisite courses taken), prior to applying to the BHS-OTA program, which consists of an additional 74 credits of coursework and fieldwork. The combined 134-135 credit hours exceeds the minimum requirements for a bachelor's degree, but the additional credit hours are required to meet all ACOTE accreditation standards for OTA education.

In anticipation of support of this proposal, the MU OT Department has already submitted to ACOTE a Letter of Intent to develop the BHS-OTA degree program and is awaiting notification of Applicant Status. Pending approval from the Board of Curators and the Missouri Department of Higher Education, additional steps to develop the BHS-OTA program include submitting a Candidacy Application, followed by a full Self Study. The earliest possible implementation of the BHS-OTA program, pending ACOTE approval, will be admission of students into the program in Summer 2021 with anticipated graduation in Fall 2023.

No.4

Recommended Action – BHS Occupational Therapy Assistant, University of Missouri – Columbia

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President Mun Choi, recommended by the Academic, Student Affairs, & RED 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 BHS Occupational Therapy Assistant to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Chatman  
Curator Layman  
Curator Snowden  
Curator Williams

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

Roll call vote of the Board: YES NO

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

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

University of Missouri – Columbia

Bachelor of Health Science in  
Occupational Therapy Assistant

New Undergraduate Degree Program Proposal

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## **Executive Summary**

Occupational therapy is a health profession that uses a holistic approach to help people across the lifespan do the things they want and need to do through the therapeutic use of daily activities (occupations). There are two levels of entry into the occupational therapy profession, either as an occupational therapist (OT) or as an occupational therapy assistant (OTA). After completion of educational and fieldwork requirements from an educational program accredited by the Accreditation Council for Occupational Therapy Education (ACOTE), OT and OTA students must then pass a national certification exam through the National Board for Certification in Occupational Therapy (NBCOT).

Over the past two decades, accreditation standards and entry-level degree requirements have increased for many health professions education programs, and occupational therapy is no exception. The entry-level degree to become an OT has shifted from the master's level to the occupational therapy doctorate (OTD) level. The majority of OT education programs across the nation, including the University of Missouri – Department of Occupational Therapy (MU OT), are either already at or are in the process of transitioning to the entry-level OTD.

Now the profession is seeing similar changes for OTA education. In April 2019, the Representative Assembly of the American Occupational Therapy Association voted to support entry-level OTA education at both the associate's degree and bachelor's degree levels, creating an opportunity for four-year institutions to develop bachelor's-level OTA education programs. As of July 2019, only seven institutions across the nation were in the early stages of developing a bachelor's-level OTA program. With a well-established OT program that has maintained ACOTE accreditation for more than 50 years, the MU OT program is strategically positioned to create the first bachelor's-level OTA program at a public institution in the state of Missouri.

The Bachelor of Health Science in Occupational Therapy Assistant (BHS-OTA) degree detailed in this proposal will provide an additional degree option for University of Missouri students who wish to complete an undergraduate degree that allows for immediate employment in a health profession with high employment and entry-level salaries. This new degree program will also create additional opportunities for MU to collaborate with community colleges across the state. Students will have the opportunity to complete their first two years of prerequisite coursework through local community colleges before applying for the BHS-OTA program at MU. Students must complete a minimum of 60-61 credit hours (varies by specific pre-requisite courses taken), prior to applying to the BHS-OTA program, which consists of an additional 74 credits of coursework and fieldwork. The combined 134-135 credit hours exceeds the minimum requirements for a bachelor's degree, but the additional credit hours are required to meet all ACOTE accreditation standards for OTA education.

In anticipation of support of this proposal, the MU OT Department has already submitted to ACOTE a Letter of Intent to develop the BHS-OTA degree program and is awaiting notification of Applicant Status. Pending approval from the Board of Curators and the Missouri Department of Higher Education, additional steps to develop the BHS-OTA program include submitting a Candidacy Application, followed by a full Self Study. The earliest possible implementation of the BHS-OTA program, pending ACOTE approval, will be admission of students into the program in Summer 2021 with anticipated graduation in Fall 2023.

## 1. Introduction

The University of Missouri – Department of Occupational Therapy (MU OT) was established more than 50 years ago, and has consistently maintained accreditation by the Accreditation Council for Occupational Therapy Education (ACOTE) since its inception. There are two entry points into the occupational therapy profession, either as an occupational therapist (OT) or as an occupational therapy assistant (OTA). ACOTE has mandated significant changes in accreditation standards for both OT and OTA education in recent years, leading to a shift in the entry-level degree requirements. For example, the majority of OT education programs across the country now offer an entry-level occupational therapy doctorate (OTD) to become an OT. The MU OT program is in the process of making the transition from an entry-level master's to the entry-level OTD beginning within the next few years.

OTA education is beginning to see a similar shift. Historically, an associate's degree has been the primary entry-level degree for OTAs for more than 60 years. Recognizing the increased ACOTE accreditation requirements and demand across healthcare for highly trained, evidence-based practitioners, the Representative Assembly of the American Occupational Therapy Association (AOTA) voted in April 2019 to support entry-level OTA education at both the associate's degree and bachelor's degree levels. The University of Missouri - Department of Occupational Therapy is poised to be the first public institution in the state, as well as one of the few institutions across the nation, to offer a Bachelor of Health Science in Occupational Therapy Assistant (BHS-OTA) degree.

The addition of the proposed BHS-OTA program will be the linchpin to create a strong academic pipeline in OT education at MU. This program will be a link between community colleges and professional practice in the OT field. The degree supports immediate professional employment as a licensed occupational therapy assistant. Moreover, graduates of the BHS-OTA program will have the opportunity to continue their education by pursuing a clinical doctorate degree in occupational therapy if they wish to practice at a higher practitioner level, and/or the option of completing a PhD to pursue a career in rehabilitation science, all while being able to work as a licensed OTA. Combined, the OT education array at MU will prepare the next generation of health care professionals to help improve independence and quality of life for citizens of the state of Missouri.

Through participation in and completion of the professionally accredited coursework outlined in this proposal, BHS-OTA students will learn evidence-based occupational therapy practice, administration, leadership, and advocacy. Core coursework provides the foundation for specific interest or practice areas and a final baccalaureate project.

Specific objectives of the BHS-OTA program include:

- Prepare BHS-OTA clinicians to utilize and integrate evidence into professional practice to ensure high quality health care services and use of scientifically supported interventions.
- Mentor future health care and policy leaders through modeling of advanced professional practice and professional scholarship in order to meet the demands of an ever-changing practice environment.
- Encourage and support faculty and student involvement in professional

associations, including but not limited to the American Occupational Therapy Association (AOTA) and the Missouri Occupational Therapy Association (MOTA) in order to increase faculty and student professional networking, increasing access to evidence-based practice materials, and provide leadership and professional service opportunities.

- Prepare BHS-OTA students to provide quality occupation-based OT services in rural and metropolitan areas and with a variety of client populations.
- Train BHS-OTA practitioners to demonstrate application of OT theories and foundational methods across professional practice contexts.
- Mentor and train BHS-OTA students to support improved community health outcomes.
- Prepare BHS-OTA students to serve as educators within clinical settings, providing fieldwork opportunities for future students.
- Support student intra-professional and inter-professional health care relationships prior to fieldwork (clinical) experiences.
- Mentor BHS-OTA students through a baccalaureate project in the area of clinical practice, administration, leadership, advocacy, or education.

## **Purpose**

The health care environment places high expectations on all health care professionals to engage in evidence-based practice to optimize patient outcomes and organizational efficiency. Employers recognize the value of advanced degrees for leadership positions. As health care and educational fields raise expectations for entry-level preparation and evidence-based practice, the proposed Bachelor of Health Science—Occupational Therapy Assistant (BHS-OTA) program provides occupational therapy assistants (OTAs) with the necessary skills and knowledge for licensed delivery of patient services and supports career advancement. Primarily, the BHS-OTA will provide entry into the profession as well as preparing OTA graduates for smooth transition into the existing MU OT program should they desire to continue their education and pursue a career as an occupational therapist.

The results of a recent task force organized by the American Occupational Therapy Association's (AOTA) Board of Directors stated that adding an additional point of entry into the OTA profession (i.e., a bachelor's degree) could have a positive impact on increasing diversity within occupational therapy (AOTA, 2019). Additionally, McCombie (2016) reported a majority of current OT practitioners agree that OTAs who have a bachelor's degree are more qualified and ready for advanced practice positions and greater job responsibilities. The intensive study and skill development required of OTAs to ensure quality OT services results in well-rounded, general practitioners, who can work in multiple contexts, and in multiple settings that are often required in rural-based practices (Roots, Brown, Bainbridge, & Li, 2014).

Currently, all entry-level OTA programs in the United States are associate-level programs and exist primarily in community colleges and for-profit higher education institutions. These programs are generally 2-year programs, but often exceed the average number of full-time credit hours (60 credits) as defined by the National Center for Education Statistics (NCES) (AOTA, 2019).

As the profession of OT has expanded and matured, so have the standards for OTA education. To accommodate the increasing complexity and prevalence of OT services, the Accreditation Council for Occupational Therapy Education (ACOTE), the professional accreditation body for occupational therapy education, voted in August 2015 to begin the process of accrediting OTA programs at both the associate and bachelor level. New accreditation standards and guides were approved in the fall of 2018. The OT profession's Representative Assembly (RA) approved both an associate's and bachelor's entry level for OTA at their April 2019 meeting.

ACOTE requires the following steps for accreditation of new OTA programs:

1. Letter of Intent – Submitted by MU OT in May 2019, awaiting ACOTE approval
2. Applicant Program Status – Requires submission of a Candidacy Application
3. Developing Program Status – Requires submission of full Self-Study
4. Full Accreditation Status

As of July 2019, six colleges nationwide are at Applicant Program Status to begin a bachelor's level OTA program, one college nationwide is at Developing Program Status for bachelor's level OTA, and no accredited programs currently exist for bachelor's level OTA. The BHS-OTA option at the University of Missouri would be the first public institution to offer a bachelor-level OTA program in the state of Missouri and would provide a degree pathway for MU School of Health Professions' students and community college transfer students to earn a health professions degree with proven high employment. The BHS-OTA would also prepare OTA graduates for a smooth transition into the existing entry-level OTD degree program at the University of Missouri, should they wish to continue their education and pursue a career as an OT.

## **Academic Component**

Students completing the BHS-OTA curriculum will be required to pass a national certification exam administered by the National Board for Certification in Occupational Therapy (NBCOT) in order to gain entry into the profession and obtain licensure for the state/s in which they plan to practice. NBCOT requires that students graduate from an accredited program before they are eligible to take the certification exam.

The BHS-OTA degree will prepare entry-level students for diverse practice settings including hospitals, schools, long-term care facilities, outpatient clinics, home health agencies, early intervention programs, mental health programs, community agencies, and emerging areas of practice.

## **2. Fit with University Mission and Other Academic Programs**

### **2.A. Alignment with Mission and Goals**

One of the primary goals of the proposed BHS-OTA program is to strengthen the relationship between the University of Missouri-Columbia and community colleges throughout the state. The curriculum for the BHS-OTA was designed with this goal in mind. Completion of the first two years of this degree program will smoothly transfer to MU, easing the application and admissions process for potential students. The BHS-OTA will be a cost effective degree that will result in employment within health services.

Additionally, the BHS-OTA program will prepare OTA practitioners to develop programs and service delivery options that will benefit the communities in which they live, learn, and play. The BHS-OTA graduates will be able to utilize the acquired knowledge of program development and public health needs to increase and/or improve healthcare services in their communities.

The proposal for the BHS-OTA degree program aligns with the campus and departmental mission statements, *The Flagship of the Future* (strategic plan) goals and metrics, the School of Health Professions strategic plan, and the Department of Occupational Therapy's strategic plan.

“The mission of the University of Missouri System, as a land-grant university and Missouri’s only public research and doctoral-level institution, is to discover, disseminate, preserve, and apply knowledge” (University of Missouri, 2019, para. 1). As a professional program situated within the context of a large, public research institution, the Department of Occupational Therapy values the commitment of the University of Missouri to promote lifelong learning, support innovation, and advance the health, cultural, and social interests of all individuals.

Additionally, as one of seven departments within the dynamic School of Health Professions (SHP), we recognize our role in addressing the mission of SHP “to improve the health and well-being of individuals and communities through excellence in teaching and learning, scholarship and discovery, health care, and service” (SHP, 2019, para. 1). The MU Department of Occupational Therapy is dedicated to preparing future practitioners and scholars for the occupational therapy profession. The proposed BHS-OTA program will increase access to high-quality, affordable education for students across the state, region, and nation to pursue continued education by pursuing a graduate clinical doctorate degree in occupational therapy to practice at a higher practitioner level and/or the option of pursuing a PhD to pursue a career in science all while being able to work as a licensed OTA.

The mission of the MU Department of Occupational Therapy is to improve the health and well-being of society by assisting people to optimize their participation in everyday life occupations. We achieve this mission through the integration of:

- Our professional education of clinically innovative occupational therapists prepared to meet the dynamic occupational needs of people and communities across the lifespan;
- Our steadfast commitment to service to our community and our profession;
- Our evidence-based practice; and
- Our commitment to scholarship, discovery, and clinical research to advance our profession.

We envision that the Department of Occupational Therapy at the University of Missouri will be a globally renowned leader in occupational therapy exemplified by innovation and excellence in clinical education, service, practice, and scholarship.

Our proposed transition to the BHS-OTA degree program is in alignment with the following MU strategic priorities as articulated in *The Flagship of the Future* institutional

strategic plan established September 2018:

- Goal 1 – Increase the annual number of undergraduate, graduate/professional degree program and graduate credential completions to 10,000 by 2023.
  - The BHS-OTA program represents a new undergraduate degree program for the institution, and we anticipate that it will be an attractive option for both current MU students and transfer students from community colleges. When fully enrolled the program will graduate close to 45 students per year.
- Goal 2 – Enhance student access and increase the annual size of our new incoming undergraduates to 6000 by 2023.
  - With many health professions now requiring graduate degrees and therefore longer time to completion, the BHS-OTA program will offer students an affordable option for a career with high market demand and entry-level salaries which can be completed in 4.5 years. The degree will attract entering freshmen as well as transfer students from community colleges across the state.
- Goal 4 – Promote excellence and inclusion through teaching and student academic experiences, in and out of the classroom.
  - New faculty hired for this program will engage in professional development opportunities through the new Teaching for Learning Center to discover and implement innovative teaching practices.
  - Faculty will work with SHP and campus entities focused on diversity and inclusion to create an inclusive educational experience for students from underserved and underrepresented groups.
- Goal 9 – Improve four-year undergraduate graduation rates to 55% and six-year graduation rates to 74% by 2023.
  - Once students enter the BHS-OTA program, they are in a cohort model with very close monitoring to ensure student success in both academic and clinical performance. Graduation rates and certification exam pass rates are some of the metrics monitored by ACOTE for accreditation, so faculty are highly motivated to help students be successful.
- Goal 10 – Build on a culture of career readiness to ensure that 95% of undergraduate and graduate/professional students are employed or in graduate school within 6 months of graduation.
  - The U.S. Bureau of Labor Statistics expects employment of OTAs to grow 29% from 2016 to 2026, much faster than the average for all occupations. Graduates from accredited OTA programs typically have no problems finding jobs after graduation, with many of them securing job offers before graduation.

The School of Health Professions Strategic Plan for teaching and learning calls for development of high-caliber health care professionals and academic program offerings. The BHS-OTA program supports immediate professional employment as a licensed occupational therapy assistant (OTA). Moreover, graduates will have the opportunity to continue their education by pursuing a graduate clinical doctorate degree in occupational therapy to practice at a higher practitioner level and/or the option of pursuing a PhD to pursue a career in rehabilitation science all while being able to work as a licensed OTA. Combined, the OT education array at MU will be preparing the next generation of health

care professionals to help improve independence and quality of life for citizens of the state of Missouri. Our proposed program sets high expectations for production and application of current scholarship, development of innovative and exemplary practitioners, and leadership for 21<sup>st</sup> century local and community engagement. In addition, the BHS-OTA program will contribute to workforce development as graduates will be ready to enter the OT profession within four years. This will, in turn, improve overall economy and fill the increased need for OT practitioners across the State of Missouri.

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

The proposed BHS-OTA program will be the only program of its kind in the University of Missouri System, and the first public institution in the State of Missouri to offer an OTA baccalaureate degree level educational program.

The Accreditation Council for Occupational Therapy Education (ACOTE), the professional accreditation body for occupational therapy education, has established a 4-step initial accreditation process (1-Letter of Intent; 2-Applicant Program; 3-Developing Program; 4-Full Accreditation). Nationwide, there is currently only one program at Development Status and six programs nationwide who are in Applicant Status. One of these Applicant Status programs, Central Methodist University, is located in Missouri, and is a private institution with significantly higher tuition and fees.

### Collaboration within SHP

The BHS-OTA program would provide a degree pathway for SHP students to earn a health degree with proven high employment and entry-level salaries. It would also prepare OTA graduates for a smooth transition into the existing occupational therapy doctorate degree program at the University of Missouri if they choose to advance their education and become OTs.

## **3. Business-Related Criteria and Justification**

### **3.A. Market Analysis**

#### **3.A.1. Need for Program**

The U.S. Department of Labor (2019) predicted 29% employment growth for occupational therapy assistants (OTAs) between 2016 and 2026. As of 2017, there were 41,650 OTAs employed in the U.S. This number is expected to increase to 54,850 by 2026, which has created growing student demand for OTA education in the U.S. This market growth is expected as a result of many factors, including aging baby boomers with their growing health concerns and a precipitous rise in children diagnosed with autism spectrum disorder (U.S. Department of Labor – Bureau of Labor Statistics, 2019).

The most significant evidence of this growing student demand for programs in OTA is the growth in the total number of OTA educational programs and the overall OTA student enrollment nationwide. From 2007 to 2017, OTA student enrollment nearly doubled, increasing from 4,921 to 9,580. Reports produced by the AOTA indicate that there are approximately two applicants for every one seat offered in OTA programs across the country (2017: 6,137 OTA students admitted; 13,973 applications to OTA



programs were submitted) (AOTA, 2017). In addition, it is evident in the state-specific market data that there is a clear need for a Bachelors level degree in the profession with significant growth expected in the next 10 years. Also, the average starting salary is significantly higher than the average for the State which will have a positive impact on overall economy. See Appendix F for detailed market data analysis.

**While investigation into approval of bachelor’s degree programs for OTA has taken place over the last several years, formal approval of bachelor’s level OTA programs just began in early 2019.** To date, only six programs nationally are in the Applicant Status of development with ACOTE for an OTA bachelor’s program, and only one program is at Development Status (AOTA, 2019). In February 2019, an AOTA Task Force reported findings from 244 respondents regarding points of entry for OTAs, with 81% of respondents supporting dual entry or associate level entry only for the OTA. In the same task force report, 38% of current associate’s level OTA students supported OTA dual entry at both the associate’s and bachelor’s level.

### **3.A.2. Student Demand for the Program**

In order to estimate regional demand, the Department of Occupational Therapy at University of Missouri conducted a survey in the spring of 2019 with current associate’s OTA students and OTA alumni through the Missouri Health Professions Consortium (MHPC), as well as health science professions majors in the School of Health Professions (SHP) at the University of Missouri. The survey asked all participants to indicate their level of interest in a Bachelors of OTA degree. The results are as follows:

When current SHP health sciences majors were asked “If a Bachelor’s degree in Occupational Therapy Assistant (OTA) had been an option for you as an emphasis area, how likely would you have been to pursue this emphasis area instead of your current one?”, 86% of respondents (n = 132) indicated they would have been moderately likely or extremely likely to pursue that degree path.

Current MHPC associate’s OTA students and current OTA practitioners were asked, “If a bachelor’s degree had been offered when you applied for the associate’s OTA program, how likely is it that you would have pursued the Bachelors of OTA versus the Associates of OTA?”. Among the 79 respondents, almost 80% (79.75%) of respondents indicated they would have been moderately likely or extremely likely to pursue a bachelor’s degree.

Survey respondents who are OTA students or practicing OTAs indicated the following characteristics as the priority concerns when choosing a degree program:

1. Cost (including tuition, books, supplies, fees)
2. Timeline required for degree completion
3. Flexibility of course delivery
4. Employment rates of graduates

Survey respondents who are health science majors indicated the following priorities when choosing a degree program:

1. Employment rates of graduates
2. Time required for degree completion

3. How well the program would prepare the student for a graduate program
4. Cost (including tuition, books, supplies, fees)

This BHS-OTA program will be developed with these key findings in mind. Situated in a public institution, the proposed BHS-OTA program will be an affordable option for students from Missouri and across the nation seeking to complete an allied health degree. The Bachelor of Health Science in OTA will enable students to enter the workforce immediately upon graduation, and will also prepare them for any additional graduate education in occupational therapy. A hybrid course presentation option is being considered to meet the needs of students in rural areas. This will especially allow for community college transfer students to complete their final two years at MU, which will reduce overall costs and will allow students to live and work locally while completing the first two years of the degree. We anticipate attracting new students to MU from community colleges with the specific goal of attaining a BHS-OTA.

<b>Table 1. Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of given year)</b>					
<b>Year</b>	<b>1 (FY22)</b>	<b>2</b>	<b>3</b>	<b>4 (FY25)</b>	<b>5</b>
<b>Full-Time</b>	<b>23</b>	<b>59</b>	<b>80</b>	<b>88</b>	<b>88</b>
<b>Part-Time</b>					
<b>Total</b>	<b>23</b>	<b>59</b>	<b>80</b>	<b>88</b>	<b>88</b>

- When fully-enrolled the expected class size is 44 students (88 total).
- Total enrollment during AY21/22 is likely to include MU Transfers as well as community college direct admits. As program awareness increases the composition will shift, resulting in an increased number of students who are ‘new to MU’.
- **Revenue projections throughout this proposal result entirely from new MU enrollment.**

<b>Table 2. Student Enrollment Projections (anticipated number of students enrolled during the fall semester of given year who were new to campus)</b>					
<b>Year</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>Full-Time</b>	<b>15</b>	<b>45</b>	<b>71</b>	<b>83</b>	<b>83</b>
<b>Part-Time</b>					
<b>Total</b>	<b>15</b>	<b>45</b>	<b>71</b>	<b>83</b>	<b>83</b>

- Over time as students identify MU as their destination for this degree new enrollment will increase and prevalence of transfers will decline.
- When fully-enrolled the expected class size is 44 students (88 total) with diminishing allowance for MU transfers (transfers excluded from Table 1b.).

<b>Table 3. Projected Number of Degrees Awarded</b>										
<b>Year</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
			(Fy24)		(Fy26)					
<b># of Degrees Awarded</b>	<b>0</b>	<b>0</b>	<b>23</b>	<b>35</b>	<b>43</b>	<b>43</b>	<b>43</b>	<b>43</b>	<b>43</b>	<b>43</b>

- Cohorts of 44 students (43 allowing for attrition) are expected at program maturity.
- Degrees awarded are displayed by Fiscal Year to enable financial calculations with Summer Semester credit hour revenue flowing to the next/following fiscal year.
- Students who entered the program in FY22 (AY21/22) will finish-out at the end of AY22/23 (credit hours from their final Summer Semester falls within early FY24).

### **3.B. Financial Projections**

#### **3.B.1. Additional Resources Needed**

The Occupational Therapy Department is well established and the additional resources expected from BHS-OTA tuition/fees under the new resource allocation model will more than offset the related program costs. New expenses related to the BHS-OTA include direct costs for additional faculty and staff, position and program operating expenses, accreditation fees, marketing, travel and other expenses necessary to support the program and students. Expense for other potential costs not included at this time involve identifying new or expanded facilities to accommodate these additional student cohorts. Specific space plans must be disclosed when submitting the candidacy application to ACOTE for professional accreditation. Space planning in the School of Health Professions is coordinated centrally at the school level, and the department is asking the Dean to champion its request for the necessary new program space.

#### **3.B.2. Revenue**

Revenues generated by the program will be sufficient to enable program success. A share of revenue is expected from all programming delivered in alignment with MU's new resource allocation model. Conservatively, because full implementation of the new model has not yet been achieved, the proposed budget reflects only the portion of revenue which results from the new student enrollment hours while expenses are fully-loaded for program delivery to all students.

The Department of Occupational Therapy is recognized as an MU professional program and may charge a professional tuition. However, there is no intention of applying professional rates to undergraduate coursework. Students in the undergraduate OTA will be assessed standard MU undergraduate tuition rates along with supplemental fees which are already in effect for all School of Health Professions degrees.

When fully enrolled and averaging 44 students per cohort, total program revenue from the BHS-OTA will exceed \$1.4M annually. Under the new resource allocation model a substantial portion of the combined tuition and fees from this program, net of scholarships, central mission support and cost allocations, will return to provide support for the program. Projections reflect that allocations from net new revenue will exceed the related program expenses, enabling possibilities for expansion and enhancement of the program going forward.

#### **3.B.3. Net Revenue**

Existing Occupational Therapy Department infrastructure along with new resources from revenue-sharing of new tuition and fees will combine to support the program. Conservative projections which capture only the portion of revenue resulting from new-to-MU students but include full costs, show that the program will break-even at the campus level (direct margin) almost immediately with gross revenues exceeding total annual expenditures during FY23. From internal calculations which are not duplicated in the financial table below, the anticipated revenue sharing enables a break-even at the program level annually by FY24 and cumulatively by FY25 (see Table 1).

Projections for new revenue (resulting from new MU enrollment) and expenses (for delivery of programming to all BHS-OTA students) are in the table below.

**Table 4. Financial Projections for Proposed Program for Years 1 through 5**

<b>PROGRAM SUMMARY - Revenues and Expenses</b>	(FY21)	(FY22)	(FY23)	(FY24)	(FY25)	(FY26)
	<i>Startup</i>	Year 1	Year 2	Year 3	Year 4	Year 5
<b>1. Expenses by Year</b>						
<b>A. One-time</b>						
* <i>New/Renovated Space</i>	<i>pending</i>	0	0	0	0	0
<i>Equipment</i>	0	0	0	0	0	0
<i>Library</i>	0	0	0	0	0	0
<i>Consultants</i>	0	0	0	0	0	0
<i>Other</i>	3,500	6,988	2,400	0	0	0
<b>Total one-time</b>	<b>3,500</b>	<b>6,988</b>	<b>2,400</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>B. Recurring</b>						
<i>Faculty</i>	0	152,500	304,550	310,641	316,854	323,191
<i>Staff</i>	0	39,520	40,310	41,117	41,939	42,778
<i>Benefits</i>	0	72,679	127,199	129,331	131,509	133,735
<i>Equipment</i>	0	0	0	0	0	0
<i>Library</i>	0	0	0	0	0	0
<i>Other</i>	0	25,475	36,726	36,910	37,095	37,280
<b>Total recurring</b>	<b>0</b>	<b>290,174</b>	<b>508,785</b>	<b>517,999</b>	<b>527,397</b>	<b>536,984</b>
<b>C. Transfers and O/H</b>						
** <i>MU Transfers</i>	0	85,860	248,135	412,212	497,054	522,878
** <i>MU Overhead</i>	700	59,432	102,237	103,600	105,479	107,397
<b>Total Transfers &amp; O/H</b>	<b>700</b>	<b>145,292</b>	<b>350,372</b>	<b>515,812</b>	<b>602,533</b>	<b>630,275</b>
<b>Total expenses (A+B+C)</b>	<b>4,200</b>	<b>442,454</b>	<b>861,557</b>	<b>1,033,811</b>	<b>1,129,930</b>	<b>1,167,259</b>
<b>2. Revenue by Year</b>						
*** <i>Tuition/Fees</i>	0	239,252	694,100	1,156,516	1,398,984	1,476,718
<i>Institutional Resources</i>	0	0	0	0	0	0
<i>State Aid -- CBHE</i>	0	0	0	0	0	0
<i>State Aid -- Other</i>	0	0	0	0	0	0
<b>Total revenue</b>	<b>0</b>	<b>239,252</b>	<b>694,100</b>	<b>1,156,516</b>	<b>1,398,984</b>	<b>1,476,718</b>
<b>3. Net revenue (loss) per year</b>	(4,200)	(203,202)	(167,457)	122,705	269,054	309,459
<b>4. Cumulative revenue (loss)</b>	(4,200)	(207,402)	(374,859)	(252,154)	16,899	326,359
						<b>Fully-Enrolled</b>
*	Potential costs for identifying new or expanded facilities to accommodate the program is not included at this time. Space planning in the School of Health Professions is coordinated centrally.					
**	MU Transfers and Overhead (O/H) reflect additional recurring adjustments from program revenue to recognize mission support contributions and cost allocations which are likely under the new MU Resource Allocation Plan.					
***	Total Tuition/Fees shown above are net of scholarships (adjusted for scholarships using \$86.94 per credit hour per campus assumptions for new MU Resource Allocation Model).					

### 3.B.4. Financial and Academic Viability

<b>Table 5. Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable</b>			
<b>Enrollment Status</b>	<b>Full-Time</b>	<b>Part-Time</b>	<b>Total</b>
<b>Number of Students</b>	<b>60</b>	<b>0</b>	<b>60</b>

- Minimum enrollment of 30 students per cohort (60 total) will enable financial break-even by FY26 (Program Year 5).
- Viability at this level of enrollment is dependent upon MU’s new resource allocation modeling and revenue/cost sharing plans which are not yet fully implemented.

Occupational Therapy is a highly attractive field of study and the BHS-OTA is expected to attract new undergraduate students to MU; especially drawing those who select MU as their destination to achieve this degree. The immediate need for OTA practitioners is high and although the program may initially entice more transfers from other MU undergraduate programs, the broader appeal will become readily apparent as the program matures. The eventual enrollment composition will largely include first-time college students and students matriculating from community colleges. By FY24, the incoming BHS-OTA class size is expected to be 45 students per year, including 40 who are new to MU and allowing for MU transfers.

- Enrollment in the BHS-OTA is expected to shift early, as students may be accepted into the program immediately upon program approval, resulting in more transfers initially and settling at lower transfers and higher net new enrollment as program awareness and student alignment improves.
- The total enrollment across the two professional program years (years 3-4 of the degree) will be about 88 total, allowing for slight enrollment attrition from the incoming class size of 45 students per year.
- The proposed budget is based exclusively on the OT-specific course offerings and expected enrollment for traditional undergraduate students using a cohort-based model, including applying tuition discounting consistent with MU undergraduate trends.
- Revenue to support the program operations is expected from revenue modeling which identifies and allocates a significant portion of the MU undergraduate tuition and fees for the program.
- New program expenses include salary and benefit costs for required teaching faculty and support staff, professional accreditation fees, and the associated general operating costs.
- Forecasted revenues and expenditures for the BHS-OTA reveal a Direct Margin (Revenue over Total Expense) that is net and cumulatively positive by the second year of programming (FY23). After applying additional adjustments to recognize internal revenue transfers and campus overhead

costs which are likely under MU's new Resource Allocation Plan, the program Net Margin is annually positive (FY24) and cumulatively positive by program year four (FY25).

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

Marketing for this program will begin with direct outreach to MU and UM System academic advisors to make sure they are aware of this pending change. We will also have more direct outreach to state universities and community colleges to help recruit transfer students into our program as our survey results indicated this would be an attractive option for students to transfer to University of Missouri to complete. To date we have already had conversations with the Missouri Health Professions Consortium (MHPC) about collaboration. The institutions affiliated with MHPC related to OTA education include East Central College, Moberly Area Community College, State Fair Community College, North Central Missouri College, and Three Rivers Community College. If these strategies do not yield target enrollment, then we will engage in more assertive and intentional strategies including presenting at career days (both high school & college) across the State of Missouri.

### **4. Institutional Capacity**

The University of Missouri – Department of Occupational Therapy has been well established for more than 50 years with a consistent history of accreditation since program inception. The current Department Chair and Associate Chair will work closely with newly hired OTA faculty to establish the BHS-OTA program in accordance with ACOTE guidelines for administration, curriculum, and fieldwork experiences. At the department level, the biggest challenge will be identifying adequate space for classrooms and laboratories. In anticipation of approval of this new OTA program, the Department Chair has already communicated these potential space needs to the SHP Dean and the Provost's office.

At the division level, SHP already has an exceptional team of undergraduate advisors who help students plan appropriate coursework to meet prerequisite requirements for any professional programs to which they plan to apply. The Department Chair and Associate Chair will work closely with newly hired OTA faculty and the SHP academic advisors to ensure that this new degree program simply enhances the array of career paths available to their advisees.

### **5. Program Characteristics**

#### **5.A. Program Outcomes**

In accordance with ACOTE accreditation guidelines, the proposed BHS-OTA program has identified the following abilities-based outcomes. At completion of their education, students will:

1. Utilize and **integrate evidence** into professional practice to ensure high quality health care services and use of scientifically supported interventions.
2. Demonstrate entry-level **clinical competence** to meet the demands of an ever-changing practice environment in rural and metropolitan areas and with a variety

of client populations.

3. Address the occupational needs of individuals and communities to improve **community health** outcomes.
4. Engage in **lifelong learning** behaviors reflective of professionalism as expected in the healthcare environment.
5. Develop a **professional identity** through a baccalaureate project in the area of clinical practice, administration, leadership, advocacy, or education.

Upon completion of all coursework, fieldwork, and the baccalaureate project, students will be eligible to sit for the national certification examination administered by the National Board for Certification in Occupational Therapy (NBCOT) and to apply for licensure in the state/s in which they intend to practice as occupational therapy assistants.

### 5.B. Structure

Prior to acceptance into the BHS-OTA program, students must complete a minimum of 60 credit hours which includes foundational and pre-requisite content for the professional component of the curriculum. The students will be required to earn a grade of “C-“ or higher in each pre-requisite course and complete all science courses within four years of their application to the BHS-OTA program. The pre-requisite courses will prepare the students for advanced study, including: the functioning and movement of the human body; the sciences that influence health including the study of disease processes and the impact of injury to the human body; and foundational skills in professional writing (See Appendices A and C for curriculum examples). These 60 hours must include:

Sciences	Biological Science with lab
	Human Anatomy with lab
	Human Physiology with lab
Human Development	Must cover entire lifespan
Behavioral or Social Sciences	General Psychology (or equivalent)
	Abnormal Psychology
	Intro to Sociology (or equivalent)
*Health Sciences	Intro to Health Professions
	Public Health Principles and Practice
	Healthcare in the United States
Minimum of two (2) writing intensive courses (one must be English 1000 or equivalent)	
College Algebra or equivalent	
Introductory Statistics	
History or Political Science	
Humanities or Fine Arts Elective (6 credits)	
Public Speaking	
Medical Terminology	

\*Recognizing that the specific Health Sciences coursework may not be available at all institutions from which students may be transferring, OTA faculty will review each applicant’s transcripts for similar coursework and may make exceptions on a case-by-case basis.



For the purposes of this proposal, the current Bachelor of Health Science coursework at University of Missouri was used to highlight specific courses that may comprise these 60 credit hours. These courses do not need to be completed at University of Missouri, however, and we anticipate that this program will be of interest to students transferring from community colleges. Total number of credits for pre-requisite courses may vary by institution, specifically in regard to the science prerequisites. For example, at the University of Missouri, the recommended pre-requisite courses total 61 credits. See Appendix A for a table of the suggested pre-requisite courses included above.

The professional BHS-OTA curriculum will consist of an additional 74 hours beyond the pre-requisite minimum 60-61 credits hours. The required 134 to 135 credit hours is greater than that required for a baccalaureate degree at MU. However, the additional 15 credit hours are required to meet ACOTE accreditation standards. Each course described below is considered a new course. Delivery of this content will require the addition of 3.0 faculty FTE, 1.0 staff FTE, and related resources. Additional clinical faculty may be required to teach on an adjunct basis for laboratory and service-learning content in the curriculum. See Appendix B for a representation of the proposed professional OTA coursework (years 3-4 in the program) and Appendix C for a representation of the entire four-year degree program. Course descriptions can be found in Appendix D.

### **5.C. Program Design and Content**

The Accreditation Council for Occupational Therapy Education (ACOTE) regulates curriculum content for occupational therapy assistant programs. Appendix D contains detailed descriptions of all courses slated for development with approval of this proposal.

### **5.D. Program Goals and Assessment**

#### Assessing Learning Outcomes

ACOTE accreditation standards mandate that student learning outcomes be assessed in each course through a variety of means including assignments, lab tests, objective tests, essay tests, projects, presentations, demonstrations, and other assessment measures. Furthermore, ACOTE requires successful completion of Level I Fieldwork (number of hours is optional), Level II Fieldwork (16 weeks total), and a baccalaureate project. Student performance for these experiences will be assessed as follows:

- Level I Fieldwork – AOTA recently published the *AOTA Level I Fieldwork Competency Evaluation for OT and OTA Students*. The form assesses students in the areas of Fundamentals of Practice, Foundations of Occupational Therapy, Professional Behaviors, Screening and Evaluation, and Intervention. The form allows flexibility in use across diverse practice settings.
- Level II Fieldwork – All students are assessed using the *AOTA Fieldwork Performance for the Occupational Therapy Assistant Student*, which measures entry-level competence. This form is completed by the student's fieldwork educator at midterm and completion of the fieldwork experience. Additionally, the department will require updates on student progress at 2-week intervals to ensure successful completion of the fieldwork experience.
- Baccalaureate Project – Each student, in collaboration with faculty and mentors, develops a plan for the project including specific objectives, plans for supervision

and mentoring, and a formal evaluation mechanism for objective assessment of the student's project.

The BHS-OTA program will also utilize the *Occupational Therapy Knowledge Exam (OTKE)* to assess student learning outcomes for entry-level students prior to their Level II Fieldwork experiences. The *OTKE* is published by the National Board for Certification in Occupational Therapy (NBCOT). It is an online, cohort-based 100-item test designed exclusively for OTA program directors to assist with analyzing students' performance related to the validated domain and task statements for entry-level practice. The MU OT Program already utilizes the *OTKE* in the existing entry-level MOT degree program and will continue to administer the exam to OTA students.

Projection of Program Graduates

Upon approval of this proposal, the earliest timeframe in which to admit the first cohort of entry-level OTA students will be Summer 2021, with a graduation date of Fall 2023.

**5.E. Student Preparation**

To apply to the BHS-OTA program, students must complete a minimum of 60 credit hours which includes foundational and pre-requisite content for the professional component of the curriculum. All science courses have to be completed within 4 years of applying to the program. Students will be required to grade of C-minus or higher in the following prerequisite courses (see Appendix A):

Sciences	Biological Science with lab
	Human Anatomy with lab
	Human Physiology with lab
Human Development	Must cover entire lifespan
Behavioral or Social Sciences	General Psychology (or equivalent)
	Abnormal Psychology
	Intro to Sociology (or equivalent)
*Health Sciences	Intro to Health Professions
	Public Health Principles and Practice
	Healthcare in the United States
Minimum of two (2) writing intensive courses (one must be English 1000 or equivalent)	
College Algebra or equivalent	
Introductory Statistics	
History or Political Science	
Humanities or Fine Arts Elective (6 credits)	
Public Speaking	
Medical Terminology	

**5.F. Faculty and Administration**

Administration of BHS-OTA Program

Dr. Timothy Wolf, Department of Occupational Therapy Chair, will initially serve as the Program Director for the BHS-OTA program.

Faculty to Meet Instructional Needs

A 1.0 FTE faculty member was recently hired to assist in the continued development of this program and likely will transition into a role as BHS-OTA Program Director in the

future. In the interim, she will assist with instructional needs for the existing OT program and the Department of Health Sciences. In addition to this faculty member, delivery of the BHS-OTA curriculum will require an additional 2.0 faculty FTE, 1.0 staff FTE, and related resources. Additional clinical faculty may be required to teach on an adjunct basis for laboratory and service-learning content in the curriculum.

### Faculty Requirements

ACOTE accreditation standards require the following for faculty teaching in a baccalaureate level OTA program:

- Core faculty who are OT practitioners and teaching OT content must be currently licensed or otherwise regulated according to state regulations.
- The majority of full-time faculty members who are OT practitioners teaching in the program must hold a minimum of a master's degree awarded by an institution that is accredited by a USDE-recognized regional accrediting body. All full-time faculty must hold a minimum of a baccalaureate degree that is awarded by an institution that is accredited by a USDE-recognized regional or national accrediting body. The degrees are not limited to occupational therapy. At least 50% of the full-time core faculty must have a master's degree.
- All faculty will be expected to be active members of state and national professional associations, which in turn provides opportunities for students to be involved in research and leadership within the profession. Membership in the professional association, the American Occupational Therapy Association, will be required of all faculty members and students in order to access resources necessary for course design, instruction, and professional practice. Students will meet with their assigned faculty advisor on a regular basis to ensure successful progression through the program.

### **5.G. Alumni and Employer Surveys**

In alignment with ACOTE accreditation standards, a detailed program evaluation that includes surveys of alumni and employers will be utilized.

#### Alumni Surveys

The Academic Fieldwork Coordinator will send New Graduate Exit Surveys to alumni from each cohort 6 months after graduation via REDCap (Research Electronic Data Capture), a secure web application for building and managing online surveys and databases. The surveys assess student satisfaction, job placement, graduate pay, and student loan debt, all of which are required elements of ACOTE accreditation. Faculty members and administrators will review data from the surveys at an annual strategic planning meeting.

#### Employer Surveys

The Academic Fieldwork Coordinator will send Employer Satisfaction Surveys to employers of recent graduates via REDCap. The New Graduate Exit Surveys described above will ask graduates to identify and provide contact information for an employer or supervisor. Shortly after the New Graduate Exit Survey deadline, the Academic Fieldwork Coordinator will send out Employer Satisfaction Surveys. Faculty members and administrators will review data from the surveys at an annual strategic planning

meeting.

## **5.H. Program Accreditation**

The Accreditation Council for Occupational Therapy Education (ACOTE) is recognized as the accrediting agency for occupational therapy education by both the United States Department of Education (USDE) and the Council for Higher Education Accreditation (CHEA). ACOTE is also an active member of the Association of Specialized and Professional Accreditors (ASPA). ACOTE currently accredits 409 occupational therapy and occupational therapy assistant educational programs in the United States and its territories. The entry-level BHS-OTA must be professionally accredited by ACOTE. The Department of Occupational Therapy has already submitted a Letter of Intent to ACOTE to begin the process to develop a bachelor's-level OTA program. Pending approval of ACOTE, the University of Missouri - Board of Curators, and the Missouri Department of Higher Education, we will move forward with our Candidacy Application at the earliest date allowed through the ACOTE process.

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**Appendix A - Required Pre-Requisite Courses for BHS-OTA**

<b><u>Prerequisite Coursework</u></b>		
<b>Core Subject</b>	<b>Course</b>	<b>Credit Hours</b>
English	English/Exposition and Argumentation (English 1000)	3 hrs
	Writing Intensive course	3 hrs
Math	College Algebra (Math 1100)	3 hrs
	Intro to Statistics (Stats 1200)	3 hrs
Science	Biological Science with lab (Bio Sci 1010 and 1020 or 1500)	4-5 hrs
	Human Anatomy with lab (Pth AS 2201/2203)	4-5 hrs
	Elements of Physiology with lab (MPP 3202)	4-5 hrs
Behavioral and Social Sciences	General Psychology (Psych 1000)	3 hrs
	Abnormal Psychology (Psych 2510)	3 hrs
	Sociology 1000 (Introduction to Sociology or higher)	3 hrs
*Health Sciences	Intro to Health Professions (Hlth Sci 1000)	3 hrs
	Public Health Principles and Practice (Hlth Sci 3300)	3 hrs
	Health Care in the United States (Hlth Sci 4300)	3 hrs
Other	History or Political Science – Missouri State Law requirement (Example: History 1100/1200 or Poli Sci 1100)	3 hrs
	Humanities or Fine Arts Elective – 2 courses	6 hrs
	Public Speaking	3 hrs
	Medical Terminology	3 hrs
MU Specific Prerequisite	Lifespan Human Development (Example: HDFS 2400 or 2400W)	3 hrs

\*Recognizing that the specific Health Sciences coursework may not be available at all institutions from which students may be transferring, OTA faculty will review each applicant's transcripts for similar coursework and may make exceptions on a case-by-case basis.

## Appendix B – Required Courses in BHS-OTA Curriculum

### Summer Semester – Intro to OT Education

OcThr 3010	OT Professional Skills & Writing	3 hrs
OcThr 3020	History and Foundations of OT	3 hrs

**Total Semester Hours    6 hrs**

### Fall Semester – Understanding Occupation

OcThr 3110	Intro to Evidence-Based Practice	3 hrs
OcThr 3120	Medical Conditions in OT	3 hrs
OcThr 3130	Analysis of Occupations (WI)	3 hrs
OcThr 3140	Professional Documentation	2 hrs
OcThr 3150	Measuring Mvmt I: Funct. Human Anat.	3 hrs
OcThr 3160	Fieldwork Level I A	1 hr

**Total Semester Hours    15 hrs**

### Spring Semester – Supporting Early Life Occupation

OcThr 3210	Ethics in OT	3 hrs
OcThr 3220	Physical Disabilities I with Lab	3 hrs
OcThr 3230	Psychosocial Practice I: Diagnoses	2 hrs
OcThr 3240	Pediatrics & Adolescent Practice I/Lab	3 hrs
OcThr 3250	Measuring Mvmt II: Assessing Motor Fct	2 hrs
OcThr 3260	Fieldwork Level I B	1 hr
OcThr 3280	Intro to Bacc Project: Choose Focus	1 hr

**Total Semester Hours    15 hrs**

### Fall Semester – Supporting Adult Occupations

OcThr 4120	Physical Disabilities II with Lab	3 hrs
OcThr 4130	Psychosocial Practice II: Group Dynamics	3 hrs
OcThr 4140	Pediatrics and Adolescent Practice II/Lab	3 hrs
OcThr 4150	OT Policy, Advocacy, & Scholarship	2 hrs
OcThr 4160	Fieldwork Level I C	1 hr
OcThr 4180	Baccalaureate Project I	3 hrs

**Total Semester Hours    15 hrs**

### Spring Semester – Planning the OTA Career Path

OcThr 4210	OT in Community Practice	3 hrs
OcThr 4230	OT Management & Leadership	3 hrs
OcThr 4250	Exploring OT Specialization	3 hrs
OcThr 4260	Fieldwork Level I D	1 hr
OcThr 4280	Baccalaureate Project II	3 hrs
OcThr 4290	Preparing for Level II Fieldwork	2 hrs

**Total Semester Hours    15 hrs**

### Summer Semester – Level II Fieldwork

OcThr 4320	Fieldwork Level II A	4 hrs
OcThr 4340	Fieldwork Level II B	4 hrs

**Total Semester Hours    8 hrs**

**74 total required credits in BHS-OTA coursework**

## Appendix C – Full BHS-OTA Curriculum

<u>1<sup>st</sup> Year Fall Semester – Prerequisites</u>		
Engl 1000	Exposition & Argumentation	3 hrs
Math 1100	College Algebra	3 hrs
Psych 1000	General Psychology	3 hrs
Bio Sci 1030	General Biology with Lab	5 hrs
????	FIG Seminar or College Success Seminar or OT 1000 – Intro to OT	1 hr
<b>Total Semester Hours</b>		<b>15 hrs</b>

<u>1<sup>st</sup> Year Spring Semester - Prerequisites</u>		
Stats 1200	Intro Statistical Reasoning	3 hrs
HltSc 1000	Intro to Health Professions	3 hrs
Comm 1200	Public Speaking	3 hrs
PthAs 2201	Human Anatomy	3 hrs
PthAs 2203	Human Anatomy Lab	2 hrs
????	Humanities WI or Fine Arts Elective	3 hrs
<b>Total Semester Hours</b>		<b>17 hrs</b>

<u>2<sup>nd</sup> Year Fall Semester – Prerequisites</u>		
Soc 1000	Introduction to Sociology	3 hrs
MPP 3202	Elements of Physiology	5 hrs
????	History or Political Science	3 hrs
????	Humanities WI or Fine Arts Elective	3 hrs
<b>Total Semester Hours</b>		<b>14 hrs</b>

<u>2<sup>nd</sup> Year Spring Semester - Prerequisites</u>		
HDFS 2400	Principles of Human Development	3 hrs
Psych 2510	Abnormal Psychology	3 hrs
CDS 2190	Medical Terminology	3 hrs
HltSci 3300	Public Health Principles & Practice	3 hrs
HltSci 4300	Health Care in the U.S.	3 hrs
<b>Total Semester Hours</b>		<b>15 hrs</b>

<u>3<sup>rd</sup> Year Summer Semester – Intro to OT Education</u>		
OcThr 3010	OT Professional Skills & Writing	3 hrs
OcThr 3020	History and Foundations of OT	3 hrs
<b>Total Semester Hours</b>		<b>6 hrs</b>

<u>3<sup>rd</sup> Year Fall Semester – Understanding Occupation</u>		
OcThr 3110	Intro to Evidence-Based Practice	3 hrs
OcThr 3120	Medical Conditions in OT	3 hrs
OcThr 3130	Analysis of Occupations (WI)	3 hrs
OcThr 3140	Professional Documentation	2 hrs
OcThr 3150	Measuring Mvmt I: Funct. Human Anat.	3 hrs
OcThr 3160	Fieldwork Level I A	1 hr
<b>Total Semester Hours</b>		<b>15 hrs</b>

<u>3<sup>rd</sup> Year Spring Semester – Supporting Early Life Occupation</u>		
OcThr 3210	Ethics in OT	3 hrs
OcThr 3220	Physical Disabilities I with Lab	3 hrs
OcThr 3230	Psychosocial Practice I: Diagnoses	2 hrs
OcThr 3240	Pediatrics & Adolescent Practice I/Lab	3 hrs
OcThr 3250	Measuring Mvmt II: Assessing Motor Fct	2 hrs
OcThr 3260	Fieldwork Level I B	1 hr
OcThr 3280	Intro to Bacc Project: Choose Focus	1 hr
<b>Total Semester Hours</b>		<b>15 hrs</b>

<u>4<sup>th</sup> Year Fall Semester – Supporting Adult Occupations</u>		
OcThr 4120	Physical Disabilities II with Lab	3 hrs
OcThr 4130	Psychosocial Practice II: Group Dynamics	3 hrs
OcThr 4140	Pediatrics and Adolescent Practice II/Lab	3 hrs
OcThr 4150	OT Policy, Advocacy, & Scholarship	2 hrs
OcThr 4160	Fieldwork Level I C	1 hr
OcThr 4180	Baccalaureate Project I	3 hrs
<b>Total Semester Hours</b>		<b>15 hrs</b>

<u>4<sup>th</sup> Year Spring Semester – Planning the OTA Career Path</u>		
OcThr 4210	OT in Community Practice	3 hrs
OcThr 4230	OT Management & Leadership	3 hrs
OcThr 4250	Exploring OT Specialization	3 hrs
OcThr 4260	Fieldwork Level I D	1 hr
OcThr 4280	Baccalaureate Project II	3 hrs
OcThr 4290	Preparing for Level II Fieldwork	2 hrs
<b>Total Semester Hours</b>		<b>15 hrs</b>

<u>4<sup>th</sup> Year Summer Semester – Level II Fieldwork</u>		
OcThr 4320	Fieldwork Level II A	4 hrs
OcThr 4340	Fieldwork Level II B	4 hrs
<b>Total Semester Hours</b>		<b>8 hrs</b>

**Total Credits for BHS-OTA = 135 credits**  
**(Total credits may vary based on pre-requisite coursework. 74 required credits in OTA coursework)**



## Appendix D – OTA Course Descriptions (Years 3 & 4)

### 3rd Year - Summer Semester – 6 Hours

- **OC THR 3010 – OT Professional Skills & Writing (3 credit hours)** - This course will foster practical professional skills in critical thinking, learning to analyze and apply literature to make evidence-based practice decisions and recommendations, using theory to guide practice, and support professional leadership, scholarship, and service of the students. Practical skills needed for assessment, goal planning, intervention planning, documentation, discharge planning, other professional written and verbal communication skills, as well as therapeutic use of self, consumer and professional advocacy, and ethics in daily practice will be emphasized.
- **OC THR 3020 - History and Foundations of Occupational Therapy (3 credit hours)** - This course will present an introduction to occupational therapy, including history, philosophical base, values, ethics, practice framework, and clinical reasoning. Students will learn selected theories and frames of reference as they pertain to interventions in mental health, physical disabilities, pediatrics, and community practice areas.

### 3rd Year - Fall Semester – 15 Hours

- **OC THR 3110 - Introduction to Evidence-Based Practice (3 credit hours)** -This course will teach students how to analyze published research and apply it to intervention planning for various client populations and practice contexts and environments. Students will receive instruction on how to share evidence that occupation supports performance, participation, health, and well-being with OT consumers, policy makers, and communities.
- **OC THR 3120 - Medical Conditions in Occupational Therapy (3 credit hours)** - This course will provide a framework for students to learn about common medical conditions seen by occupational therapy practitioners and to facilitate learning of these conditions from an occupational therapy perspective. It is not intended to emphasize treatment of a diagnosis, however students will learn about specific factors unique to given conditions that may impact an individual's occupational roles and functions.
- **OC THR 3130 - Analysis of Occupations (WI) (3 credit hours)** -\_This course is designed to foster a beginning exposure to individuals experiencing a variety of physical or mental disabilities, including caregivers of individuals with disabilities, through community experiences. Through these experiences, students will develop skills in observation, analysis, interview, assessment and data collection, and relationship building and complete writing assignments based on their observations, analysis, and performance of human occupation across the lifespan, with an emphasis on contextual factors impacting occupational performance.
- **OC THR 3140 - Professional Documentation (2 credit hours)** -This course will provide an in-depth practice and review of the professional writing format (APA) that is required for professional OT publications. This course will also review and practice appropriate documentation for OT billing, including but not limited to SOAP notes and electronic medical reporting/documentation.

- **OC THR 3150 - Measuring Movement I: Functional Human Anatomy (3 credit hours)** -This course will provide an in-depth review of human anatomy, including thorough review of typical musculoskeletal structures, and an introduction of neurophysiology and the impact on movement. Students will apply this knowledge of anatomy and physiology to study muscle groups and their function relative to performing various activities including but not limited to analysis of functional movement patterns required for work, self-care, play, and leisure activities.
- **OC THR 3160 – Fieldwork Level I A (direct observation of a COTA) (1 credit hour)** -This minimum 32-hour rotation will include direct observation of a Certified Occupational Therapy Assistant in any treatment setting. This rotation will include an in-depth review of the documentation and billing process utilized by the fieldwork educator.

### **3rd Year - Spring Semester – 15 Hours**

- **OC THR 3210 - Ethics in Occupational Therapy (3 credit hours)** - This course will provide a thorough review and in-depth study of the Occupational Therapy Code of Ethics. Ethics cases based on actual situations will be studied and students will be able to develop professional written responses to difficult situations based on the OT Code of Ethics.
- **OC THR 3220 - Physical Disabilities I with Lab (3 credit hours)** - This course will provide an in-depth opportunity for students to develop assessment, intervention, and documentation skills to address a wide range of physical disabilities and conditions typically treated by occupational therapy and occupational therapy assistants in various settings. Students will learn through class and lab activities to adapt the environment, tools, materials, and occupations to meet the self-care, work, play, and leisure needs of the adult population.
- **OC THR 3230 - Psychosocial Practice I: Understanding Diagnoses (2 credit hours)** -This course will focus on learning about the most common mental health diagnoses seen in occupational therapy treatment; both as a primary diagnosis and co-occurring diagnoses. Intensive study on how active symptoms of each mental health diagnosis can impact occupational participation will be included.
- **OC THR 3240 - Pediatrics and Adolescent Practice I with Lab (3 credit hours)** - This course will focus on occupational therapy treatment and outcome monitoring of the pediatric and adolescent population, including study of normal and delayed development of the infant, child and adolescent. The lab component incorporates theoretical principles and provides hands-on learning opportunities for students to develop assessment, intervention planning and implementation, and documentation skills to address a range of childhood sensory-motor, cognitive, and psychosocial performance deficits as well as opportunities to adapt the environment, tools, materials, and occupations to meet the self-care, work/play, and leisure needs of the pediatric and adolescent population.
- **OC THR 3250 - Measuring Movement II: Assessing Motor Function (2 credit hours)** - This course will be a hands on learning experience reinforcing knowledge of human anatomy and learning goniometric and manual muscle test measurement. Students will experience and measure typical movement and strength and learn how to recognize deficits in both areas.
- **OC THR 3260 - Fieldwork Level I B (Human Development / Pediatric Rotation) (1 credit hour)** - This minimum 32-hour rotation will include direct observation and interaction with the pediatric

population, including birth through 21 years of age. Students will complete an intensive study comparing and contrasting typical vs. atypical development in settings such as hospitals, preschools, private therapy centers, etc.

- **OC THR 3280 - Intro to Baccalaureate Project: Choosing an Area of Focus (1 credit hour) -** Students will be introduced to the Baccalaureate Project, exploring project opportunities, brainstorming project options, and learning the process of successful project planning and completion. Students are not required to have a final choice for their project by the end of this course, but are strongly encouraged to have project ideas narrowed down to no more than two.

#### **4th Year - Fall Semester – 15 hours**

- **OC THR 4120 - Physical Disabilities II with Lab (3 credit hours) -** This course will provide an in-depth opportunity for students to develop standardized assessment and screening skills, intervention, documentation skills, and outcomes measurement to skillfully address an imbalance in personal occupations resulting from a wide range of disabilities and conditions typically treated by occupational therapy and occupational therapy assistants working with adult, older adult, and geriatric populations. Through hands-on lab activities, students will learn to adapt the environment, tools, materials, and occupations to meet the self-care, work, play, and leisure needs of the adult and geriatric population.
- **OC THR 4130 -Psychosocial Practice II: Group Dynamics (3 credit hours) -** This course will focus on understanding the purpose and types of occupational therapy groups used in mental health therapies. Students will learn their personal areas of strengths and areas of growth in leading or co-leading a group while developing skills for proficiency in planning a skilled, evidence-based occupational therapy group for various mental health needs by the end of this course.
- **OC THR 4140 - Pediatrics and Adolescent Practice II with lab (3 credit hours) -**This course will focus on advanced study of pediatric and adolescent conditions. Topics covered in depth will include Sensory Integration, OT in Neonatal Intensive Care Units (NICU), School Systems Practice and state and federal law outlining OT responsibilities, and successful post-secondary transition for clients with disabilities.
- **OC THR 4150 - OT Policy, Advocacy, and Scholarship (2 credit hours) -** Throughout this course, students will study various state and federal policy that impacts the practice of occupational therapy. They will choose an area of policy to focus on, and develop a plan to address the policy or needed policy changes and share with their elected legislators during the annual Missouri Occupational Therapy Association (MOTA) OT on the Hill Day in Jefferson City, where student attendance will be required.
- **OC THR 4160 -Fieldwork Level I C (Psychosocial) (1 credit hour) -** This minimum 32-hour rotation will include direct observation and interaction with a client population who may be experiencing symptoms of a mental health disorder including but not limited to altered cognitive status such as dementia or Alzheimer's. Settings may include hospitals, long-term care facilities, etc., where students will participate in leadership of OT-based groups developed for the client population.
- **OC THR 4180 - Baccalaureate Project I (3 credit hours) -** During this course, students will choose an area of focus (clinical practice, administration, leadership, advocacy, or education) and identify a faculty member(s) to guide their project development. Students will finalize a plan for project implementation

by the end of this course in order to start project implementation no later than the following semester.

#### **4<sup>th</sup> Year - Spring Semester – 15 hours**

- **OC THR 4210 - Occupational Therapy in Community Practice (3 credit hours)** - This course will explore the practice of occupational therapy in non-traditional and emerging areas of practice where students will learn how to conduct a needs assessment of a chosen community and develop an OT-based program to address the identified need. Students will seek out stakeholders and develop an OT-based program that could be self-sustaining and serve the needs of the identified community.
- **OC THR 4230 - Occupational Therapy Management and Leadership (3 credit hours)** – This course will explore various styles of leadership and management in which students will learn their leadership and management style and build on their personal strengths and talents. Students will learn the role of a “typical” therapy manager including but not limited to interdisciplinary and intradisciplinary supervision, professional communication, and billing practices.
- **OC THR 4250 - Exploring OT Specialization (3 credit hours)** - Students will investigate opportunities for advanced specialization in specific areas of practice including but not limited to certifications offered through the American Occupational Therapy Association (AOTA). Students will develop a draft plan of study for the first three years of clinical practice outlining continuing education plans which may include pursuing certification or additional higher degrees.
- **OC THR 4260 - Fieldwork Level I D (Physical Disabilities) (1 credit hour)** - This minimum 32-hour rotation will include direct observation and interaction with an occupational therapist (OTR) or certified occupational therapy assistant (COTA) in a physical disabilities setting. The client population will include clients who are receiving OT services for any disability limiting their physical abilities necessary to participate in chosen and purposeful occupational activities.
- **OC THR 4280 – Baccalaureate Project II (3 credit hours)** - Students will complete implementation of the Capstone Project this semester. Students will present the project to their student cohort and group of chosen OT leaders, as well as submit the project as a poster or short course for state and/or national OT conference.
- **OC THR 4290 - Preparing for Level II Fieldwork (2 credit hours)** - Students will work directly with the Academic Fieldwork Coordinator (AFWC) to intensively prepare for Level II Fieldwork. Topics may include but not be limited to review of Fieldwork policies and procedures, assertive communication, accessing resources in resource poor areas, and supervision.

#### **4<sup>th</sup> Year - Summer Semester – 8 hours**

- **OC THR 4320 - Fieldwork Level II A (4 credit hours)** - In-depth practicum experience in delivering occupational therapy services to clients, designed to promote clinical reasoning and reflective practice. Emphasis on hands-on experiences and translation of theory into practice.
- **OC THR 4340 – Fieldwork Level II B – (4 credit hours)** - In-depth practicum experience in delivering occupational therapy services to clients, designed to promote clinical reasoning and reflective practice. Emphasis on hands-on experiences and translation of theory into practice.

## SCHOOL OF HEALTH PROFESSIONS

### OFFICE OF THE DEAN

May 17, 2019

Latha Ramchand, PhD  
110 Jesse Hall  
University of Missouri  
Columbia, MO 65211

Dear Provost Ramchand:

I am writing to confirm my full support for the Bachelor's of Health Science: Occupational Therapy Assistant proposed by Dr. Tim Wolf to be housed in the Department of Occupational Therapy within the School of Health Professions (SHP).

The accrediting body for occupational therapy is the Accreditation Council for Occupational Therapy Education, otherwise known by its acronym, ACOTE. In 2018, ACOTE approved standards and guidelines for bachelor's level OTA programs to further address increasing health care and market demand for occupational therapy professionals prepared to engage in evidence based practice in order to optimize patient outcomes and efficiency of care delivery.

In line with our mission and values as a land grant institution, this proposed degree will be the only one of its kind in Missouri. Furthermore, the BHS-OTA will create a seamless path to professional OT degree programs

I am confident this program will be successful. I am recommending that you approve this proposal, including the planned budget. Please feel free to contact me if you have any questions.

Best regards,



Kristofer Hagglund, PhD  
Dean



# APPENDIX F: DETAILED MARKET ANALYSIS

## EMPLOYMENT POTENTIAL

Academic Affairs note: This is an expanded 4 digit CIP search.

PROJECT CRITERIA	
Validate	Programs
States	Missouri
Metro Areas (MSAs)	St. Louis, MO-IL, Kansas City, MO-KS
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
Selected Programs	Health Professions and Related Clinical Sciences, Other (51.9999), Health and Wellness, General (51.0001), Health Services/Allied Health/Health Sciences, General (51.0000), Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808), Clinical Research Coordinator (51.0719), Health and Medical Administrative Services, Other (51.0799), Health Information/Medical Records Administration/Administrator (51.0706), Health Information/Medical Records Technology/Technician (51.0707), Health Unit Coordinator/Ward Clerk (51.0703), Health Unit Manager/Ward Supervisor (51.0704), Health/Health Care Administration/Management (51.0701), Health/Medical Claims Examiner (51.0715), Hospital and Health Care Facilities Administration/Management (51.0702), Long Term Care Administration/Management (51.0718), Medical

	Administrative/Executive Assistant and Medical Secretary (51.0716), Medical Insurance Coding Specialist/Coder (51.0713), Medical Insurance Specialist/Medical Biller (51.0714), Medical Office Assistant/Specialist (51.0710), Medical Office Computer Specialist/Assistant (51.0709), Medical Office Management/Administration (51.0705), Medical Reception/Receptionist (51.0712), Medical Staff Services Technology/Technician (51.0717), Medical Transcription/Transcriptionist (51.0708), Medical/Health Management and Clinical Assistant/Specialist (51.0711)
Career Outcomes mapped to Selected Programs of Study	Health Educators, Community Health Workers, Medical and Health Services Managers, Fitness and Wellness Coordinators, Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians, First-Line Supervisors of Office and Administrative Support Workers, Medical Records and Health Information Technicians, Registered Nurses, Informatics Nurse Specialists, Social and Community Service Managers, Patient Representatives, Medical Secretaries, Insurance Claims Clerks, Insurance Policy Processing Clerks, Administrative Services Managers, Natural Sciences Managers

## HOW MANY JOBS ARE THERE FOR YOUR GRADUATES?

For your project criteria, there were **25,327** job postings in the last 12 months.

Compared to:

- 713,696 total job postings in your selected location
- 186,161 total job postings requesting a Bachelor's degree in your selected location

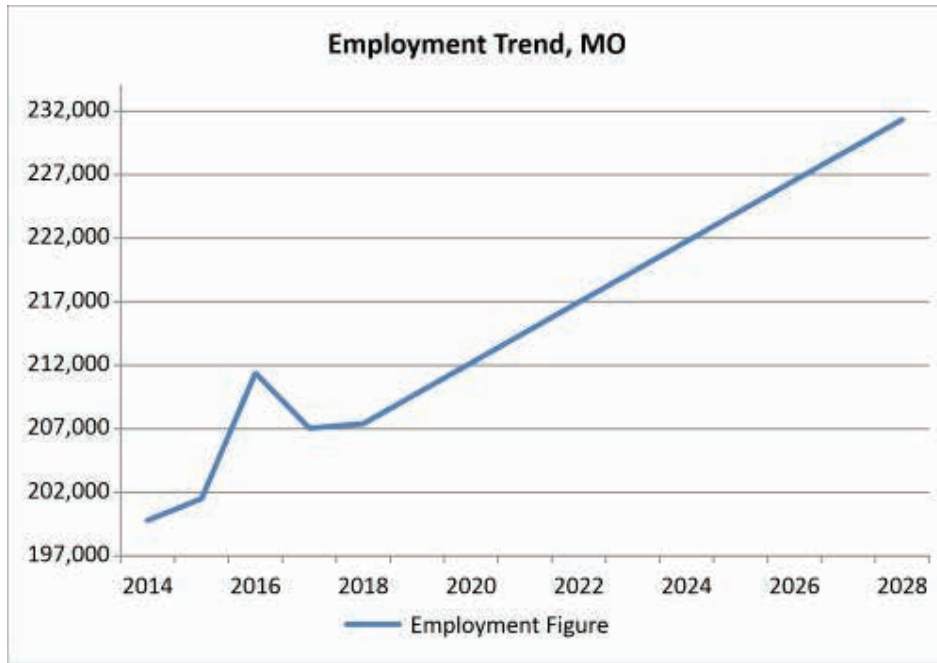
The number of jobs is expected to **grow** over the next 8 years.

## GROWTH BY GEOGRAPHY

Geography	Selected Occupations	Total Labor Market	Relative Growth
St. Louis, MO, Kansas City, MO	11.77 %	6.74 %	Average
Missouri	12.08 %	6.68 %	Average
Nationwide	10.70 %	5.78 %	Average

**HOW HAS EMPLOYMENT CHANGED FOR CAREER OUTCOMES OF YOUR PROGRAM?**

	2014	2015	2016	2017	2018	2028
Employment (BLS)	199,800	201,510	211,400	207,050	207,400	231,329



Employment data between years 2019 and 2028 are projected figures.

**DETAILS BY OCCUPATION**

Occupation Group	Postings	LQ	Employment (2018)	Employment Growth (2017 - 2018)	Projected Employment Growth (2019-2028)
Health Diagnosing and Treating Practitioners	17,620	0.9	74,980	0.1%	16.3%
Other Management Occupations	3,292	0.7	10,180	6.8%	17.8%
Supervisors of Office and Administrative Support Workers	1,551	0.6	22,150	-3.4%	4.0%



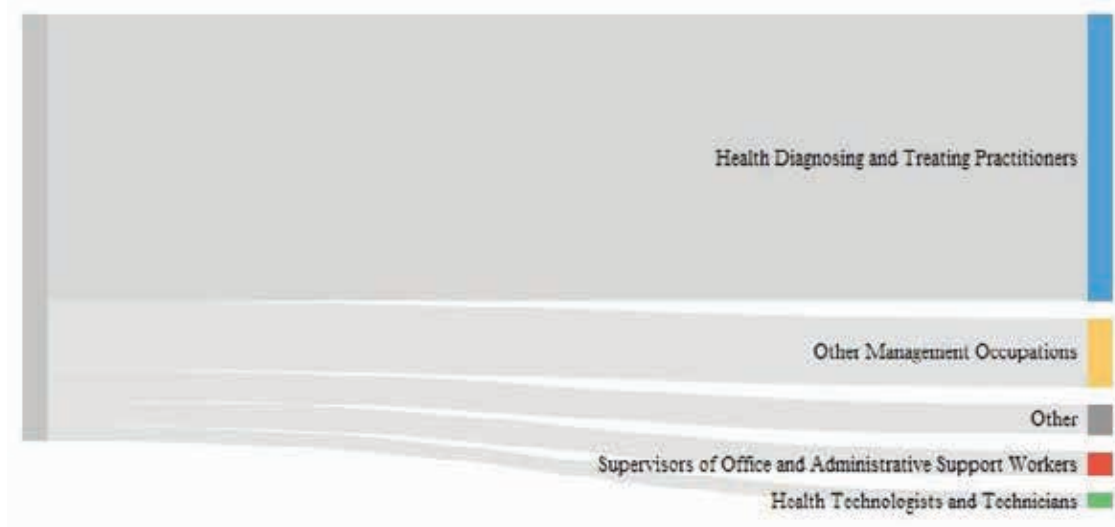
Health Technologists and Technicians	732	0.7	14,140	-1.9%	9.1%
Operations Specialties Managers	642	0.5	4,920	-10.2%	10.8%
Counselors, Social Workers, and Other Community and Social Service Specialists	494	0.8	2,850	5.6%	17.3%
Other Office and Administrative Support Workers	340	1.2	NA	NA	NA
Information and Record Clerks	235	0.5	48,150	0.6%	5.1%
Secretaries and Administrative Assistants	167	0.5	16,750	-2.8%	16.6%
Computer Occupations	19	1.2	12,570	11.6%	18.5%

#### HOW VERSATILE IS MY PROGRAM?

Graduates of this program usually transition into any of the 11 different occupation groups:

Occupations Group	Market Size (postings)	Percentage of Career Outcome demand
Health Diagnosing and Treating Practitioners	17,620	67.1%
Other Management Occupations	4,267	16.2%
Supervisors of Office and Administrative Support Workers	1,551	5.9%
Health Technologists and Technicians	935	3.6%
Operations Specialties Managers	642	2.4%
Counselors, Social Workers, and Other Community and Social Service Specialists	494	1.9%

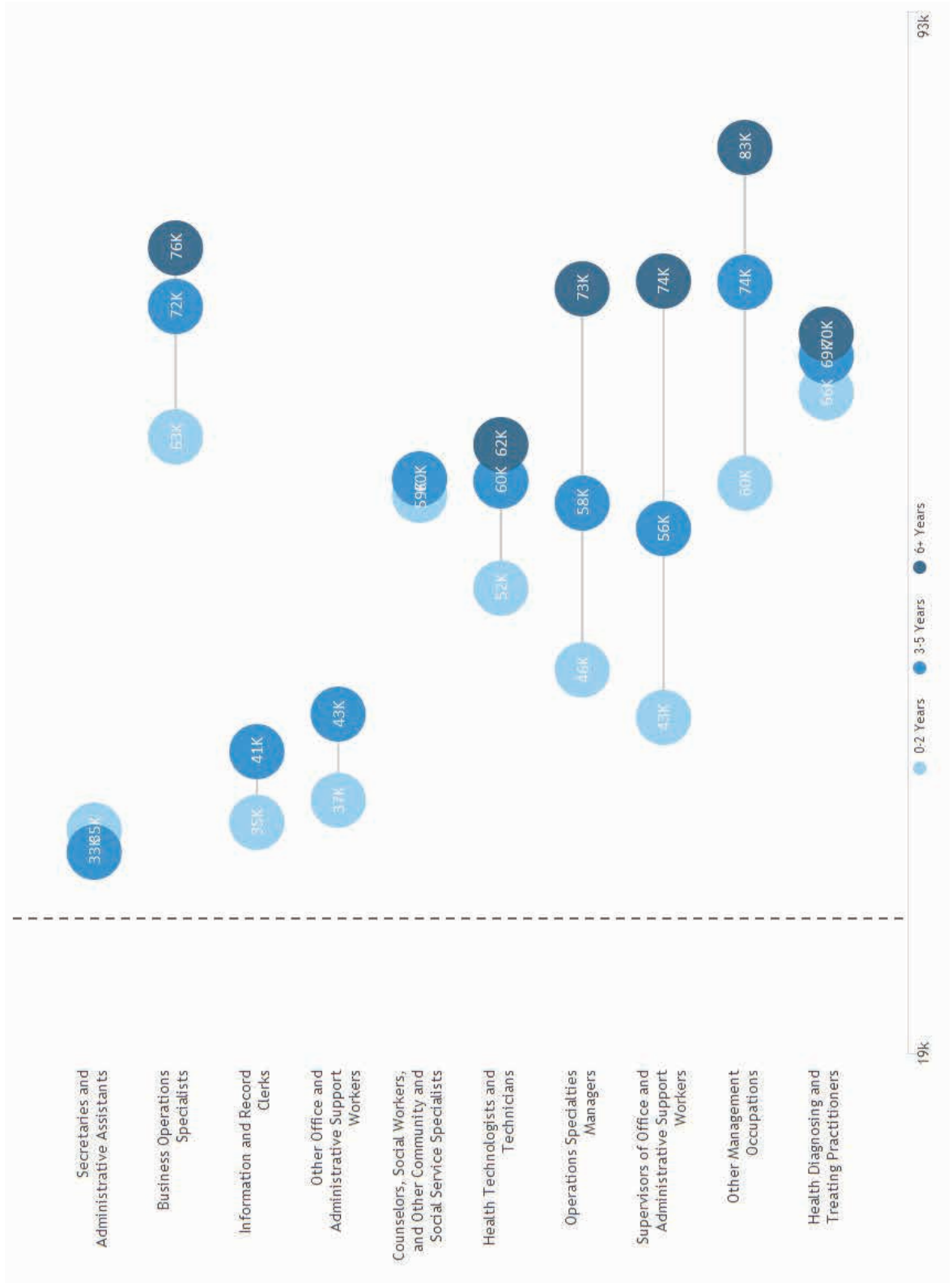
Other Office and Administrative Support Workers	340	1.3%
Information and Record Clerks	235	0.9%
Secretaries and Administrative Assistants	167	0.6%
Computer Occupations	19	0.1%
Other Healthcare Support Occupations	0	0.0%



**WHAT SALARY WILL MY GRADUATES MAKE?**

The average salary in **Missouri** for graduates of your program is **\$64,605**

This average salary is **Above** the average living wage for Missouri of **\$28,621**



\*\* Note: The expected salary visualization has been cropped to display only 10 data points \*\*

Salary numbers are based on Burning Glass models that consider advertised job posting salary, BLS data, and other proprietary and public sources of information.

Occupation Group	25 <sup>th</sup> Percentile	Average	75 <sup>th</sup> Percentile
Health Diagnosing and Treating Practitioners	\$65,993	\$68,640	\$70,190
Other Management Occupations	\$59,578	\$73,865	\$83,479
Supervisors of Office and Administrative Support Workers	\$42,897	\$56,327	\$73,955
Operations Specialties Managers	\$46,291	\$58,199	\$73,433
Health Technologists and Technicians	\$52,125	\$59,747	\$62,344
Counselors, Social Workers, and Other Community and Social Service Specialists	\$58,695	\$59,854	\$0
Other Office and Administrative Support Workers	\$37,035	\$43,158	\$0
Information and Record Clerks	\$35,427	\$40,507	\$0
Business Operations Specialists	\$62,879	\$72,165	\$76,333
Secretaries and Administrative Assistants	\$34,885	\$33,373	\$0
Top Executives	\$0	\$70,559	\$0
Computer Occupations	\$66,911	\$0	\$0

WHERE IS THE DEMAND FOR MY GRADUATES?



#### TOP LOCATIONS BY POSTING DEMAND

Location	Postings
California	106,781
Texas	73,453
Florida	51,035
New York	41,524
Pennsylvania	34,787
Georgia	32,510
North Carolina	31,962
Ohio	31,445
Illinois	29,753
Massachusetts	29,202

# VALIDATE: COMPETITIVE LANDSCAPE

## PROJECT CRITERIA

Validate	Programs
States	Missouri
Metro Areas (MSAs)	St. Louis, MO-IL, Kansas City, MO-KS
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
Selected Programs	Health Professions and Related Clinical Sciences, Other (51.9999), Health and Wellness, General (51.0001), Health Services/Allied Health/Health Sciences, General (51.0000), Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808), Clinical Research Coordinator (51.0719), Health and Medical Administrative Services, Other (51.0799), Health Information/Medical Records Administration/Administrator (51.0706), Health Information/Medical Records Technology/Technician (51.0707), Health Unit Coordinator/Ward Clerk (51.0703), Health Unit Manager/Ward Supervisor (51.0704), Health/Health Care Administration/Management (51.0701), Health/Medical Claims Examiner (51.0715), Hospital and

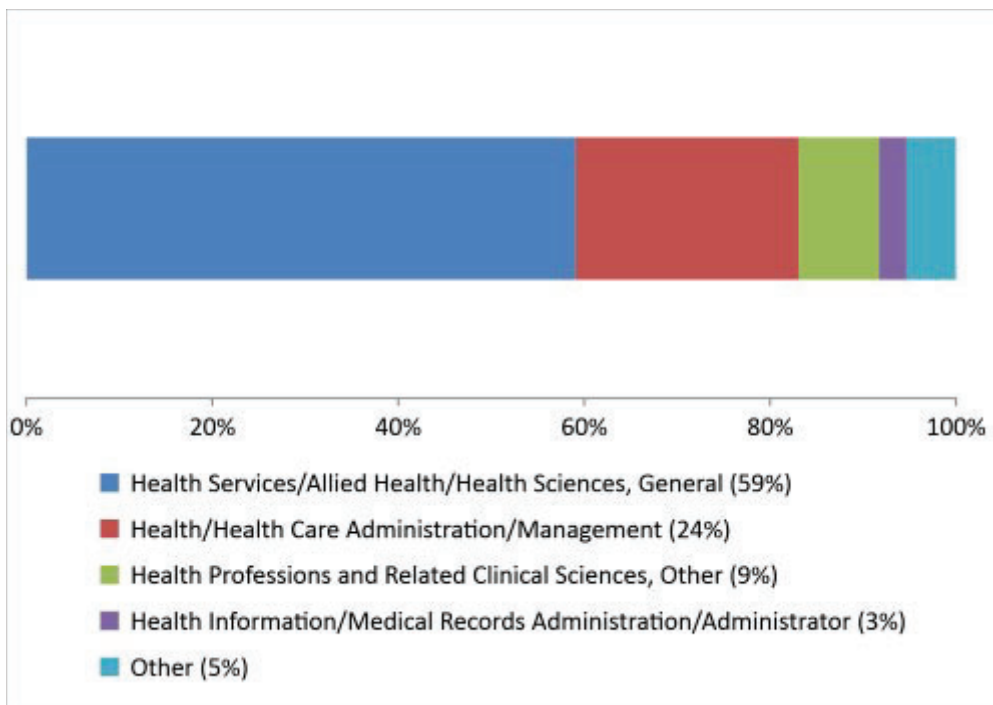
	Health Care Facilities Administration/Management (51.0702), Long Term Care Administration/Management (51.0718), Medical Administrative/Executive Assistant and Medical Secretary (51.0716), Medical Insurance Coding Specialist/Coder (51.0713), Medical Insurance Specialist/Medical Biller (51.0714), Medical Office Assistant/Specialist (51.0710), Medical Office Computer Specialist/Assistant (51.0709), Medical Office Management/Administration (51.0705), Medical Reception/Receptionist (51.0712), Medical Staff Services Technology/Technician (51.0717), Medical Transcription/Transcriptionist (51.0708), Medical/Health Management and Clinical Assistant/Specialist (51.0711)
Career Outcomes mapped to Selected Programs of Study	Health Educators, Community Health Workers, Medical and Health Services Managers, Fitness and Wellness Coordinators, Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians, First-Line Supervisors of Office and Administrative Support Workers, Medical Records and Health Information Technicians, Registered Nurses, Informatics Nurse Specialists, Social and Community Service Managers, Patient Representatives, Medical Secretaries, Insurance Claims Clerks, Insurance Policy Processing Clerks, Administrative Services Managers, Natural Sciences Managers

## OVERVIEW

	#	% Change (2013-2017)
Degrees Conferred	1,412	91%
Number of Institutions	38	18%

Average Conferrals by Institution	37	60.90%
Median Conferrals by Institution	10	66.70%

**MARKET SHARE BY PROGRAM**

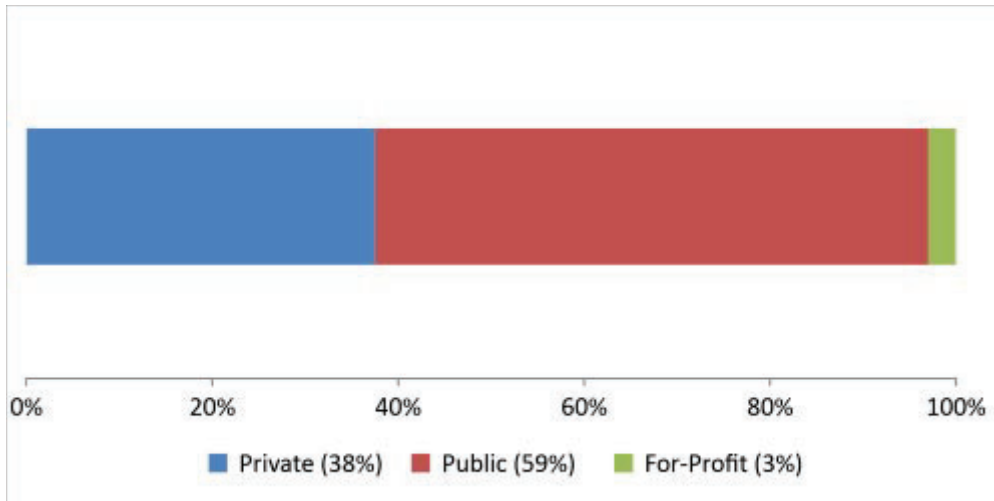


Program	Conferrals (2017)	Market Share (%)
Health Services/Allied Health/Health Sciences, General	834	59.07%
Health/Health Care Administration/Management	339	24.01%
Health Professions and Related Clinical Sciences, Other	122	8.64%
Health Information/Medical Records Administration/Administrator	42	2.97%



Other	75	5.31%
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## MARKET SHARE BY INSTITUTION TYPE



Institution Type	Conferrals (2017)	Market Share (%)
Private	530	37.54%
Public	840	59.49%
For-Profit	42	2.97%

## TOP INSTITUTIONS

Institution	School Type	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
-------------	-------------	------------------------	---------------------	----------------------	----------------------------------

University of Missouri-Columbia	Public	39.80%	1.51%	562	98.60%
Saint Louis University	Private	8.00%	4.21%	113	303.60%
Park University	Private	7.44%	-3.52%	105	29.60%
University of Missouri-Kansas City	Public	6.80%	6.80%	96	100.00%
Missouri Southern State University	Public	5.59%	-3.61%	79	16.20%
University of Central Missouri	Public	3.97%	-0.09%	56	86.70%
Lindenwood University	Private	3.90%	-2.46%	55	17.00%
Maryville University of Saint Louis	Private	2.97%	-2.58%	42	2.40%
Columbia College (MO)	Private	2.83%	2.83%	40	100.00%
Missouri State University-Springfield	Public	1.98%	1.98%	28	100.00%

## TOP PROGRAMS

Program	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
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Health Services/Allied Health/Health Sciences, General	59.07%	13.47%	834	147.50%
Health/Health Care Administration/Management	24.01%	-4.81%	339	59.20%
Health Professions and Related Clinical Sciences, Other	8.64%	-6.52%	122	8.90%
Health Information/Medical Records Administration/Administrator	2.97%	-2.98%	42	-4.50%
Hospital and Health Care Facilities Administration/Management	1.98%	-0.73%	28	40.00%
Health and Wellness, General	1.63%	1.22%	23	666.70%
Health and Medical Administrative Services, Other	0.85%	-0.50%	12	20.00%
Medical Office Management/Administration	0.57%	0.57%	8	100.00%
Health Information/Medical	0.28%	0.28%	4	100.00%

Records Technology/Technician				
Medical Office Assistant/Specialist	0.00%	0.00%		

## ACTIVE COMPETITORS

Institution	School Type	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
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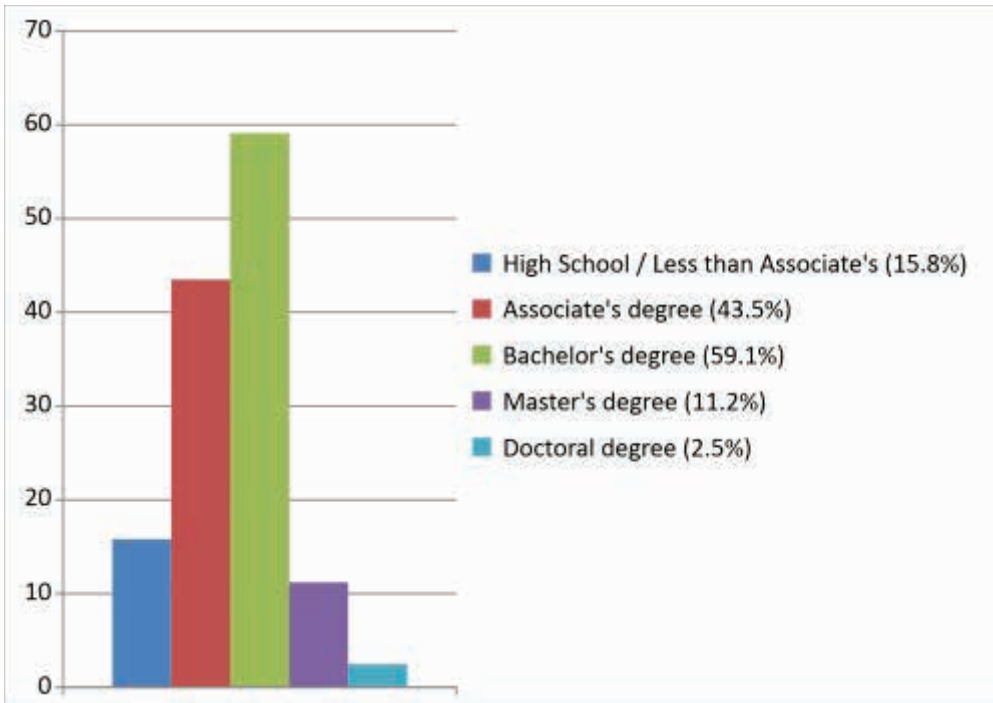
# VALIDATE: MARKET ALIGNMENT

## PROJECT CRITERIA

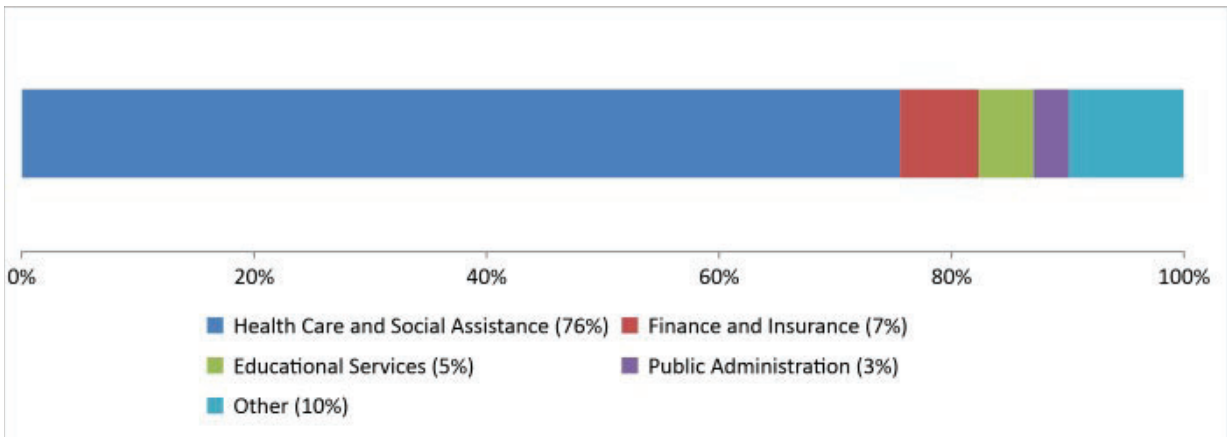
Validate	Programs
States	Missouri
Metro Areas (MSAs)	St. Louis, MO-IL, Kansas City, MO-KS
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
Selected Programs	Health Professions and Related Clinical Sciences, Other (51.9999), Health and Wellness, General (51.0001), Health Services/Allied Health/Health Sciences, General (51.0000), Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808), Clinical Research Coordinator (51.0719), Health and Medical Administrative Services, Other (51.0799), Health Information/Medical Records Administration/Administrator (51.0706), Health Information/Medical Records Technology/Technician (51.0707), Health Unit Coordinator/Ward Clerk (51.0703), Health Unit Manager/Ward Supervisor (51.0704), Health/Health Care Administration/Management (51.0701), Health/Medical Claims Examiner (51.0715), Hospital and Health Care Facilities Administration/Management (51.0702), Long Term Care Administration/Management (51.0718), Medical

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<p>Career Outcomes mapped to Selected Programs of Study</p>	<p>Health Educators, Community Health Workers, Medical and Health Services Managers, Fitness and Wellness Coordinators, Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians, First-Line Supervisors of Office and Administrative Support Workers, Medical Records and Health Information Technicians, Registered Nurses, Informatics Nurse Specialists, Social and Community Service Managers, Patient Representatives, Medical Secretaries, Insurance Claims Clerks, Insurance Policy Processing Clerks, Administrative Services Managers, Natural Sciences Managers</p>

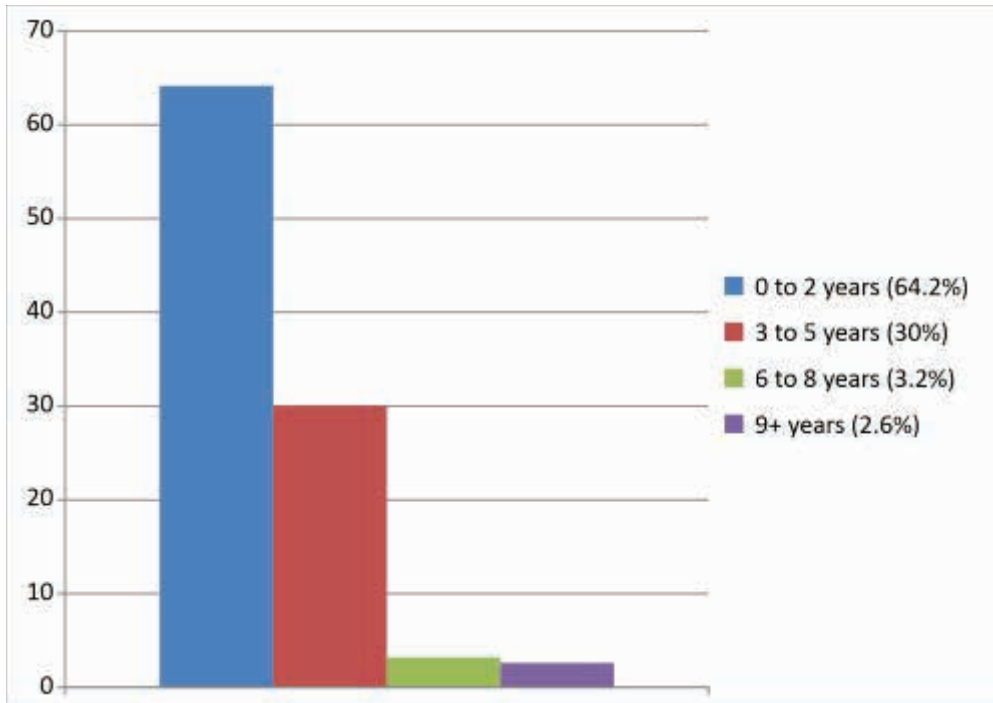
JOB POSTINGS BY ADVERTISED EDUCATION (%)



#### JOB POSTINGS BY INDUSTRY (%)



#### JOB POSTINGS BY EXPERIENCE REQUESTED (%)



## TOP TITLES

**Experience Level:** All Experience

Title	Postings	Market Share (%)
Registered Nurse	8,785	34.69%
Med/Surg Registered Nurse	899	3.55%
Clinical Nurse	490	1.93%
Operating Room Nurse	478	1.89%
Nurse Case Manager	341	1.35%
Office Manager	304	1.20%
Staff Nurse	291	1.15%



Case Manager	279	1.10%
Home Health Registered Nurse	267	1.05%
Nurse Manager	250	0.99%
Telemetry Registered Nurse	247	0.98%
Emergency Room Registered Nurse	239	0.94%
Clinical Manager	221	0.87%
Nurse Assistant	219	0.86%
Practice Manager	215	0.85%

## TOP EMPLOYERS HIRING

**Experience Level:** All Experience

Employer	Postings	Market Share (%)
BJC Healthcare	2,503	9.88%
Mercy	2,064	8.15%
Hospital Corporation of America	1,074	4.24%
Truman Medical Centers	782	3.09%
Anthem Blue Cross	740	2.92%
Mercy Health Multiple Locations	616	2.43%

Saint Luke's Health System	600	2.37%
University of Kansas	530	2.09%
St Mary Health Care	519	2.05%
Department of Veterans Affairs	386	1.52%
Research Medical Center	344	1.36%
Ssm Health	331	1.31%
Overland Park Regional Medical Center	275	1.09%
Intel Corporation	238	0.94%
Menorah Medical Center	232	0.92%

# VALIDATE: KEY COMPETENCIES

## PROJECT CRITERIA

Validate	Programs
States	Missouri
Metro Areas (MSAs)	St. Louis, MO-IL, Kansas City, MO-KS
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
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## TOP 15 SPECIALIZED SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Patient Care	10010 (40%)	15.79%	No	No
Treatment Planning	5008 (20%)	13.44%	No	No
Advanced Cardiac Life Support (ACLS)	3877 (15%)	25.93%	No	No

Life Support	3166 (13%)	30.59%	No	No
Patient/Family Education and Instruction	2759 (11%)	11.82%	No	No
Budgeting	2756 (11%)	-10.04%	No	No
Acute Care	2756 (11%)	44.69%	No	No
Case Management	2573 (10%)	-2.31%	No	No
Cardiopulmonary Resuscitation (CPR)	2429 (10%)	-4.18%	No	No
Home Care	2207 (9%)	-5.92%	No	Yes
Scheduling	2193 (9%)	1.88%	No	No
Patient Evaluation	2186 (9%)	4.7%	No	No
Medication Administration	2051 (8%)	10.48%	No	No
Legal Compliance	1920 (8%)	6.16%	No	No
Telemetry	1912 (8%)	60.08%	No	No

## TOP 15 BASELINES SKILLS

Skill	Postings
Planning	5912 (23%)
Teamwork / Collaboration	5646 (22%)
Communication Skills	5338 (21%)
Critical Thinking	3330 (13%)
Research	2739 (11%)
Problem Solving	2663 (11%)
Computer Literacy	2228 (9%)
Organizational Skills	2173 (9%)
Microsoft Excel	2060 (8%)

Written Communication	1855 (7%)
Microsoft Office	1816 (7%)
Leadership	1761 (7%)
Building Effective Relationships	1482 (6%)
Physical Abilities	1374 (5%)
Writing	1274 (5%)

#### TOP 15 SOFTWARE PROGRAMMING SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Microsoft Excel	2060 (8%)	17.03%	No	No
Microsoft Office	1816 (7%)	-10.2%	No	No
Microsoft Word	1097 (4%)	-13.39%	No	No

Microsoft Powerpoint	721 (3%)	-8.52%	No	No
Microsoft Outlook	337 (1%)	-1.45%	No	No
Word Processing	256 (1%)	-19.34%	No	No
Microsoft Access	210 (1%)	-57.74%	No	No
ICD-10	194 (1%)	50.78%	No	No
SQL	157 (1%)	-13.3%	No	No
Microsoft Windows	125 (0%)	6.61%	No	No
Salesforce	115 (0%)	46.69%	No	No
ICD-9-CM Coding	114 (0%)	-100%	No	No
Epic Systems	103 (0%)	-47.54%	No	No
Software Development	92 (0%)	5.78%	No	No
SAP	85 (0%)	33.72%	No	No



## TOP 15 SKILL CLUSTERS

Skill	Postings
Basic Patient Care	11034 (44%)
Emergency and Intensive Care	9383 (37%)
Medical Support	8520 (34%)
General Medicine	5732 (23%)
Advanced Patient Care	4547 (18%)
Patient Education and Support	3738 (15%)
Basic Living Activities Support	3609 (14%)
People Management	3315 (13%)
Health Care Procedure and Regulation	3298 (13%)
Budget Management	2772 (11%)

Basic Customer Service	2323 (9%)
Regulation and Law Compliance	2148 (8%)
Surgery	2099 (8%)
Mental and Behavioral Health Specialties	2087 (8%)
Teaching	1889 (7%)

#### TOP 15 SALARY PREMIUM SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Nurse Management	1875 (7%)	-2.1%	Yes	No
Clinical Experience	1821 (7%)	-5.71%	Yes	No
Critical Care	1402 (6%)	19.86%	Yes	No
Surgery	1184 (5%)	3.52%	Yes	No

Discharge Planning	1108 (4%)	11.77%	Yes	No
Oncology	641 (3%)	15.67%	Yes	No

### TOP 15 COMPETITIVE ADVANTAGE SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Home Care	2207 (9%)	-5.92%	No	Yes
Pediatrics	615 (2%)	23.93%	No	Yes

### TOP 15 CERTIFICATIONS

Skill	Postings	Salary Premium	Competitive Advantage
Registered Nurse	16827 (66%)	No	No
Advanced Cardiac Life Support (ACLS) Certification	3701 (15%)	No	Yes
Basic Life Saving (BLS)	3305 (13%)	No	No

Basic Cardiac Life Support Certification	2397 (9%)	No	Yes
Driver's License	1506 (6%)	No	No
First Aid Cpr Aed	1405 (6%)	No	Yes
American Heart Association Certification	878 (3%)	No	No
Certified Case Manager (CCM)	581 (2%)	No	No
Nursing Specialty Certification	523 (2%)	No	No
Security Clearance	434 (2%)	No	No
Neonatal Resuscitation Program (NRP)	246 (1%)	No	No
Pediatric Advanced Life Support (PALS) Certification	206 (1%)	No	No
Registered Respiratory Therapist	180 (1%)	No	No
Certified Nurse Operating Room (CNOR)	171 (1%)	No	No
Advanced Practice Nurse	169 (1%)	No	No

## TOP 15 SALARY PREMIUM CERTIFICATIONS

Skill	Postings	Salary Premium	Competitive Advantage
No certificates available			

## TOP 15 COMPETITIVE ADVANTAGE CERTIFICATIONS

Skill	Postings	Salary Premium	Competitive Advantage
Advanced Cardiac Life Support (ACLS) Certification	3701 (15%)	No	Yes
Basic Cardiac Life Support Certification	2397 (9%)	No	Yes
First Aid Cpr Aed	1405 (6%)	No	Yes

# EMPLOYMENT POTENTIAL

Academic Affairs Note: This is a standard 4-digit CIP search.

## PROJECT CRITERIA

Validate	Programs
States	Missouri
Metro Areas (MSAs)	Kansas City, MO-KS, St. Louis, MO-IL
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
Selected Programs	Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808)
Career Outcomes mapped to Selected Programs of Study	Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians

## HOW MANY JOBS ARE THERE FOR YOUR GRADUATES?

For your project criteria, there were 345 job postings in the last 12 months.

Compared to:

- 713,696 total job postings in your selected location

- 186,161 total job postings requesting a Bachelor's degree in your selected location

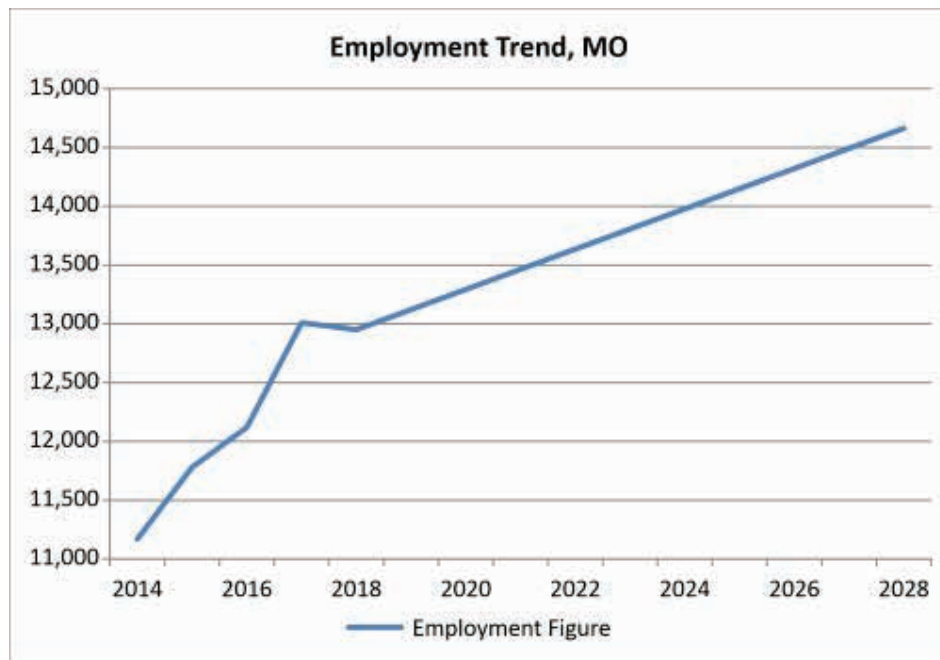
The number of jobs is expected to **grow** over the next 8 years.

#### GROWTH BY GEOGRAPHY

Geography	Selected Occupations	Total Labor Market	Relative Growth
Kansas City, MO, St. Louis, MO	14.40 %	6.74 %	High
Missouri	13.24 %	6.68 %	High
Nationwide	16.03 %	5.78 %	High

#### HOW HAS EMPLOYMENT CHANGED FOR CAREER OUTCOMES OF YOUR PROGRAM?

	2014	2015	2016	2017	2018	2028
Employment (BLS)	11,170	11,780	12,120	13,010	12,950	14,664



Employment data between years 2019 and 2028 are projected figures.

## DETAILS BY OCCUPATION

Occupation Group	Postings	LQ	Employment (2018)	Employment Growth (2017 - 2018)	Projected Employment Growth (2019-2028)
Health Diagnosing and Treating Practitioners	231	1.3	3,210	13.4%	27.5%
Health Technologists and Technicians	114	0.7	9,030	-4.6%	7.7%
Other Healthcare Support Occupations	0	0.0	710	0.0%	19.2%

## HOW VERSATILE IS MY PROGRAM?

Graduates of this program usually transition into any of the 3 different occupation groups:

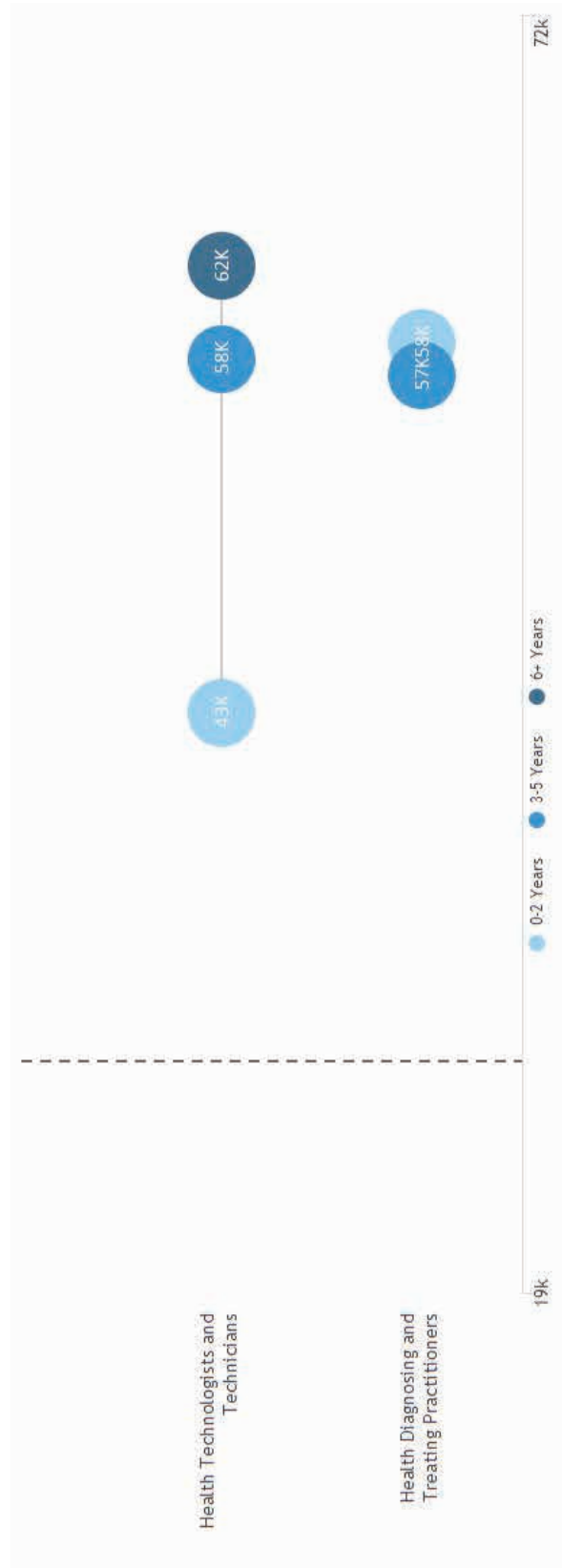
Occupations Group	Market Size (postings)	Percentage of Career Outcome demand
Health Diagnosing and Treating Practitioners	231	67.0%
Health Technologists and Technicians	114	33.0%
Other Healthcare Support Occupations	0	0.0%

## WHAT SALARY WILL MY GRADUATES MAKE?

The average salary in **Missouri** for graduates of your program is **\$55,820**

This average salary is **Above** the average living wage for Missouri of **\$28,621**

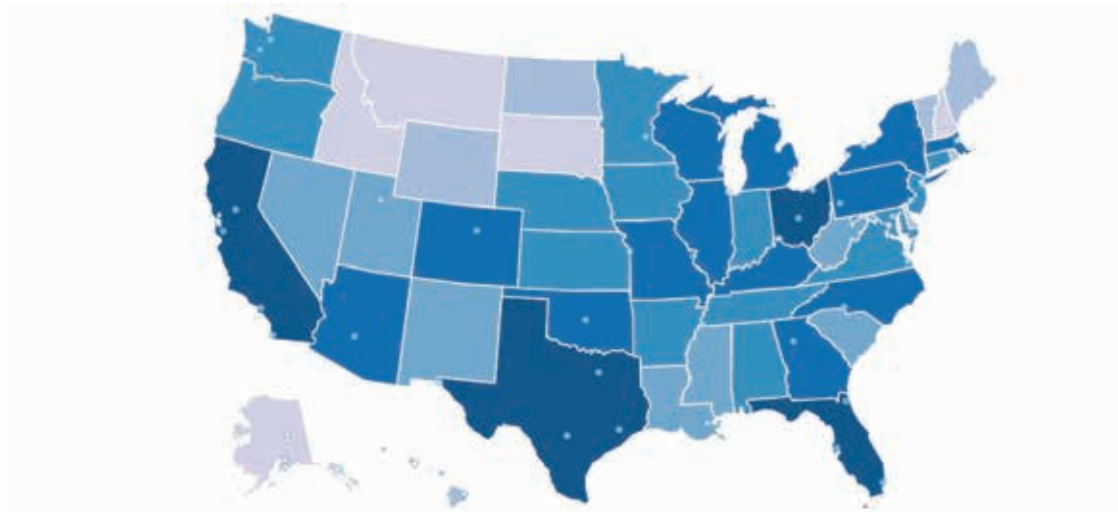




Salary numbers are based on Burning Glass models that consider advertised job posting salary, BLS data, and other proprietary and public sources of information.

Occupation Group	25 <sup>th</sup> Percentile	Average	75 <sup>th</sup> Percentile
Health Diagnosing and Treating Practitioners	\$58,494	\$57,144	\$0
Health Technologists and Technicians	\$43,128	\$57,804	\$61,669

**WHERE IS THE DEMAND FOR MY GRADUATES?**



**TOP LOCATIONS BY POSTING DEMAND**

Location	Postings
California	888
Texas	800
Ohio	570
Florida	554
North Carolina	470

Georgia	459
Colorado	390
New York	358
Pennsylvania	351
Michigan	340

# VALIDATE: COMPETITIVE LANDSCAPE

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## PROJECT CRITERIA

Validate	Programs
States	Missouri
Metro Areas (MSAs)	Kansas City, MO-KS, St. Louis, MO-IL
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
Selected Programs	Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808)
Career Outcomes mapped to Selected Programs of Study	Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians

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## OVERVIEW

	#	% Change (2013-2017)
Number of Institutions	0	0%
Average Conferrals by Institution	0	0.00%
Median Conferrals by Institution	0	0.00%

## MARKET SHARE BY PROGRAM

Program	Conferrals (2017)	Market Share (%)
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## MARKET SHARE BY INSTITUTION TYPE

Institution Type	Conferrals (2017)	Market Share (%)
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## TOP INSTITUTIONS

Institution	School Type	Market Share	Market Share Change	Conferrals	Conferrals Change
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(2017)

(2017)

(2013-2017)

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TOP PROGRAMS

Program	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
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ACTIVE COMPETITORS

Institution	School Type	Market Share (2017)	Market Share Change	Conferrals (2017)	Conferrals Change (2013-2017)
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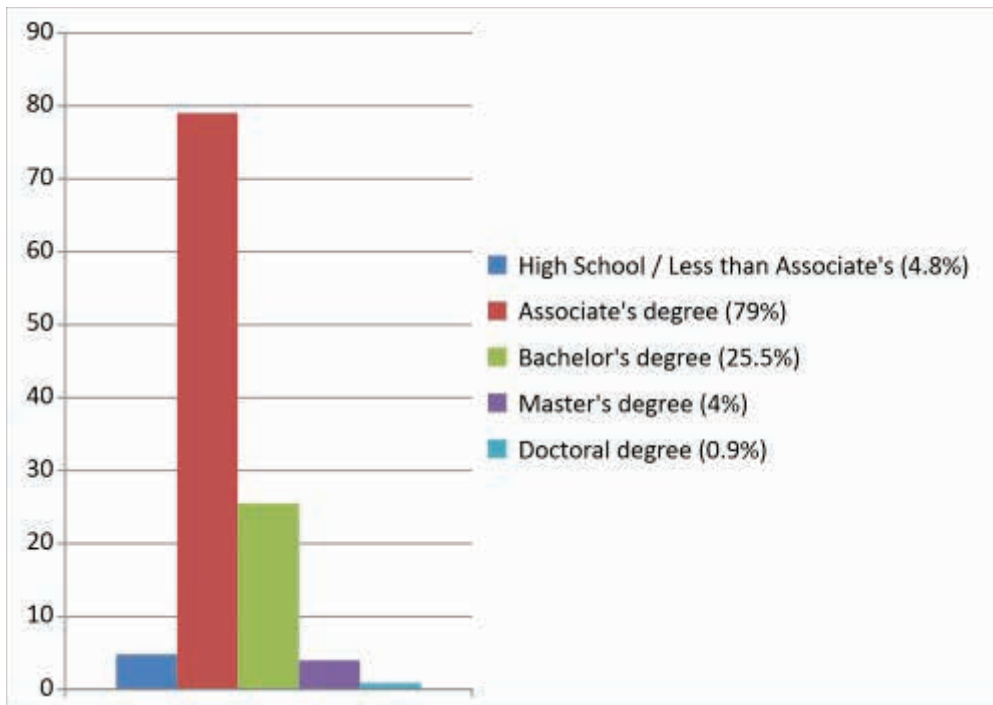
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# VALIDATE: MARKET ALIGNMENT

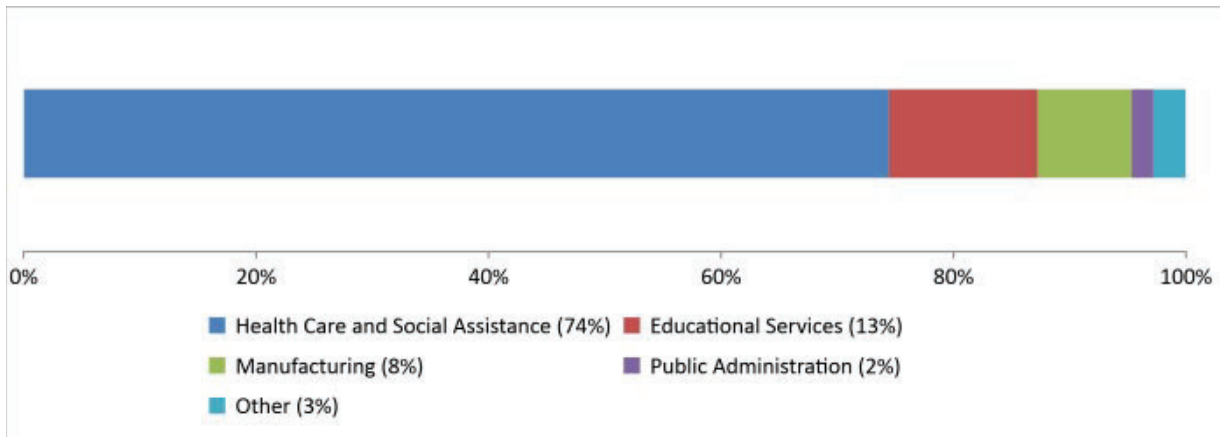
## PROJECT CRITERIA

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States	Missouri
Metro Areas (MSAs)	Kansas City, MO-KS, St. Louis, MO-IL
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Time Period	8/1/2018 - 7/31/2019
Selected Programs	Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808)
Career Outcomes mapped to Selected Programs of Study	Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians

## JOB POSTINGS BY ADVERTISED EDUCATION (%)

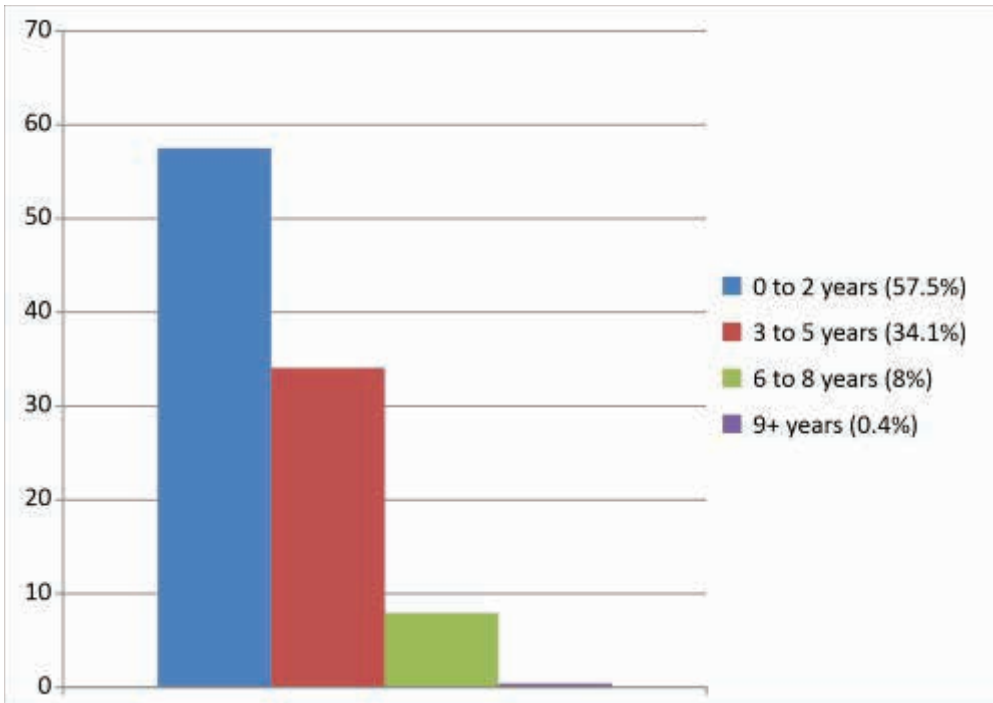


#### JOB POSTINGS BY INDUSTRY (%)



#### JOB POSTINGS BY EXPERIENCE REQUESTED (%)





## TOP TITLES

**Experience Level:** All Experience

Title	Postings	Market Share (%)
Respiratory Therapist	181	52.46%
Radiologic Technologist	17	4.93%
Respiratory Care Practitioner	16	4.64%
Rrt	14	4.06%
Technologist	14	4.06%
Radiology Technician	8	2.32%
Radiological Technician	5	1.45%

Senior Technologist	5	1.45%
Area X - Rays Commander	4	1.16%
Technician	4	1.16%
Veterinary Technician	4	1.16%
Crt Pmc	3	0.87%
Diagnostic Radiologic Technologist	3	0.87%
Grt/Rrt	3	0.87%
Imaging Technician	3	0.87%

## TOP EMPLOYERS HIRING

**Experience Level:** All Experience

Employer	Postings	Market Share (%)
Mercy	36	10.43%
Rotech Healthcare	31	8.99%
University of Kansas	28	8.12%
Hospital Corporation of America	24	6.96%
BJC Healthcare	19	5.51%
St Mary Medical Center	12	3.48%
Spectrum	10	2.90%
The Boeing Company	10	2.90%

Mercy Health Multiple Locations	9	2.61%
Prime Healthcare	8	2.32%
Prime Healthcare Services	8	2.32%
Washington University in St. Louis	8	2.32%
Knapp Medical Center	7	2.03%
Mission Regional Medical Center	7	2.03%
Northrop Grumman	7	2.03%

# VALIDATE: KEY COMPETENCIES

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## PROJECT CRITERIA

Validate	Programs
States	Missouri
Metro Areas (MSAs)	Kansas City, MO-KS, St. Louis, MO-IL
Degree Level	Bachelor's degree
Time Period	8/1/2018 - 7/31/2019
Selected Programs	Allied Health and Medical Assisting Services, Other (51.0899), Anesthesiologist Assistant (51.0809), Chiropractic Assistant/Technician (51.0813), Clinical/Medical Laboratory Assistant (51.0802), Emergency Care Attendant (EMT Ambulance) (51.0810), Lactation Consultant (51.0815), Medical/Clinical Assistant (51.0801), Occupational Therapist Assistant (51.0803), Pathology/Pathologist Assistant (51.0811), Pharmacy Technician/Assistant (51.0805), Physical Therapy Technician/Assistant (51.0806), Radiologist Assistant (51.0814), Respiratory Therapy Technician/Assistant (51.0812), Speech-Language Pathology Assistant (51.0816), Veterinary/Animal Health Technology/Technician and Veterinary Assistant (51.0808)
Career Outcomes mapped to Selected Programs of Study	Speech-Language Pathology Assistants, Radiologic Technologists, Radiologic Technicians, Respiratory Therapy Technicians, Respiratory Therapists, Veterinary Technologists and Technicians

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## TOP 15 SPECIALIZED SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Respiratory Therapy	210 (61%)	9.42%	No	No
Advanced Cardiac Life Support (ACLS)	115 (33%)	25.93%	No	No
Patient Care	108 (31%)	15.79%	No	No
Life Support	83 (24%)	30.59%	No	No
Critical Care	48 (14%)	19.86%	No	No
Patient/Family Education and Instruction	46 (13%)	11.82%	No	No
Treatment Planning	45 (13%)	13.44%	No	No
Radiology	42 (12%)	10.59%	No	No
Patient Transportation and Transfer	42 (12%)	7.82%	No	No
Cardiopulmonary Resuscitation (CPR)	42 (12%)	-4.18%	No	No
Ventilation	39 (11%)	22.3%	No	No

Patient Evaluation	38 (11%)	4.7%	No	No
Quality Assurance and Control	32 (9%)	39.46%	No	No
Patient Contact	32 (9%)	22.88%	No	No
Patient Visitation	31 (9%)	11.41%	No	No

## TOP 15 BASELINES SKILLS

Skill	Postings
Planning	96 (28%)
Critical Thinking	55 (16%)
Organizational Skills	49 (14%)
Microsoft Excel	47 (14%)
Troubleshooting	39 (11%)

Research	38 (11%)
Physical Abilities	34 (10%)
Time Management	33 (10%)
Microsoft Powerpoint	33 (10%)
Leadership	29 (8%)
Detail-Oriented	29 (8%)
English	28 (8%)
Teamwork / Collaboration	24 (7%)
Microsoft Office	19 (6%)
Problem Solving	18 (5%)

## TOP 15 SOFTWARE PROGRAMMING SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Microsoft Excel	47 (14%)	17.03%	No	No
Microsoft Powerpoint	33 (10%)	-8.52%	No	No
Microsoft Office	19 (6%)	-10.2%	No	No
Python	13 (4%)	61.12%	No	No
WebLogic	10 (3%)	-45.04%	No	No
OSI model	10 (3%)	8.88%	No	No
Microsoft Visio	10 (3%)	-25.99%	No	No
JBoss	10 (3%)	-54.5%	No	No
C++	10 (3%)	-24.09%	No	No
Automation Tools	10 (3%)	48.11%	No	No



Teradata DBA	9 (3%)	-50.09%	No	No
Struts	9 (3%)	-100%	No	No
Spring MVC	9 (3%)	4.95%	No	No
PERL Scripting Language	9 (3%)	-36.55%	No	No
Java	9 (3%)	-13.18%	No	No

## TOP 15 SKILL CLUSTERS

Skill	Postings
Pulmonology	210 (61%)
Emergency and Intensive Care	179 (52%)
Basic Patient Care	116 (34%)
Medical Support	78 (23%)
Patient Education and Support	63 (18%)

General Medicine	62 (18%)
Radiology	62 (18%)
Quality Assurance and Control	34 (10%)
Medical Records	33 (10%)
General Medical Tests and Procedures	31 (9%)
Rehabilitation	20 (6%)
Medical Billing and Coding	19 (6%)
Pediatrics	19 (6%)
Rehab Therapy	18 (5%)
Technical Support	17 (5%)

TOP 15 SALARY PREMIUM SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Rehabilitation	20 (6%)	-7.58%	Yes	No
Infection Control	14 (4%)	8.86%	Yes	No
Neonatal Intensive Care Unit (NICU)	9 (3%)	15.18%	Yes	No
Tracheotomy	3 (1%)	19.26%	Yes	No
Respiratory Care Procedures	3 (1%)	12.02%	Yes	Yes
Neonatal Resuscitation	3 (1%)	33.54%	Yes	No

#### TOP 15 COMPETITIVE ADVANTAGE SKILLS

Skill	Postings	Projected Growth	Salary Premium	Competitive Advantage
Teaching	14 (4%)	-12.75%	No	Yes
Spirometry	7 (2%)	8.77%	No	Yes
Pediatric Intensive Care Unit (PICU)	6 (2%)	22.2%	No	Yes

Patient Monitoring	5 (1%)	37.32%	No	Yes
Bronchoscopy	5 (1%)	36.58%	No	Yes
Respiratory Care Procedures	3 (1%)	12.02%	Yes	Yes
Customer Service	3 (1%)	1.05%	No	Yes
Apnea	3 (1%)	12.65%	No	Yes
Patient Treatment	2 (1%)	17%	No	Yes
Community Health	1 (0%)	-4.91%	No	Yes

## TOP 15 CERTIFICATIONS

Skill	Postings	Salary Premium	Competitive Advantage
Registered Respiratory Therapist	147 (43%)	No	No
Advanced Cardiac Life Support (ACLS) Certification	114 (33%)	No	Yes

Respiratory Care Practitioner (RCP)	108 (31%)	No	No
Basic Life Saving (BLS)	70 (20%)	No	No
Neonatal Resuscitation Program (NRP)	69 (20%)	No	No
Pediatric Advanced Life Support (PALS) Certification	52 (15%)	No	No
Certified Respiratory Therapist	40 (12%)	No	No
Basic Cardiac Life Support Certification	40 (12%)	No	No
Driver's License	37 (11%)	No	No
American Registry of Radiologic Technologists (ARRT) Certification	27 (8%)	No	No
Security Clearance	13 (4%)	No	No
Registered Radiologic Technologist	9 (3%)	No	No
Diagnostic Radiologic Technologists	5 (1%)	No	No
American Heart Association Certification	4 (1%)	No	No

Certified Veterinary Technician	3 (1%)	No	No
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#### TOP 15 SALARY PREMIUM CERTIFICATIONS

Skill	Postings	Salary Premium	Competitive Advantage
No certificates available			

#### TOP 15 COMPETITIVE ADVANTAGE CERTIFICATIONS

Skill	Postings	Salary Premium	Competitive Advantage
Advanced Cardiac Life Support (ACLS) Certification	114 (33%)	No	Yes
First Aid Cpr Aed	1 (0%)	No	Yes

## **Amendment to Collected Rules and Regulations**

### **340.070 Faculty Leave**

#### **Background:**

UM System and campus leaders have been working to revise the Collected Rule and Regulation (CRR) 340.070 on Faculty Leave. Throughout this process they have received input from various groups including the Intercampus Faculty Council, the UM Academic Officers, and the General Officers, all of whom have provided valuable feedback to enhance the proposed version. Below highlights the changes included in this CRR revision:

1. Inclusion of clinical department faculty, who were inadvertently omitted when they were added to CRR 310.035 on NTT faculty.
2. This adjustment ensures they are eligible for faculty leaves in the same manner as all other NTT faculty.
3. In preparation for the implementation of the defined contribution plan effective 10/01/2019, references to the retirement plan in the CRR is being changed to include the defined contribution plan.

This revised rule will provide clearer guidance for the universities around faculty leave.





**Collected Rules and Regulations**  
**Personnel**  
**Chapter 340: Employee Absences**  
**340.070 Faculty Leave**

REDLINE

Bd. Min. 1-31-08; Amended 2-06-09; Amended 12-10-10; Amended 7-27-12; Amended 2-9-17; Amended Bd. Min 4-12-18.

- A. **Professional Leave** – Within the specifications described below, each campus will develop an application and review process to approve leaves and stipulate the duration (not to exceed one year) and support associated for each leave aligned with institutional priorities and commensurate with available resources. All faculty members who accept a paid leave must state their intention to return to the University for the same amount of time they plan to be gone. Return of the faculty member for such period of time does not guarantee that the period of such leave shall be taken into account as service credit for purposes of ~~any University retirement plan~~~~the University's Retirement, Disability, and Death Benefit Plan~~. Exemptions to returning to the University at the conclusion of the leave can only be granted by the president upon recommendation of the chancellor. Additionally, all faculty members must file a report on the accomplishments during the leave period as specified by their chancellor or chancellor's designee.
1. **Research Leave.** Tenured, tenure-track, and full-time, ranked non-tenure track research faculty members with established scholarly, artistic or research records are eligible to apply for a research leave. A research leave may be taken for a period of time up to a full year. If a faculty member receives an external fellowship or grant support for a research leave, the University may supplement such support to provide full regular salary; if such external support is not received, the University may provide full regular salary. Additional travel funds and leave related expenses may be provided as deemed appropriate.
  2. **Development Leave.** Tenured, tenure-track and full-time, ranked non-tenure track faculty members are eligible to apply for a development leave to pursue personal, professional, instructional, or administrative development. Development leave may be taken for a period of time up to a full year. If a faculty member receives external fellowship or grant support for a development leave, the University may supplement such support to provide full regular salary; if such external support is not received, the University may provide full regular salary. Additional travel funds and leave related expenses may be provided as deemed appropriate.
  3. **Sabbatical Leave.** Tenured faculty members are eligible to apply for a sabbatical leave after six or more years of service, and can reapply for subsequent sabbatical leaves six years after the prior sabbatical leave. Sabbatical leaves may be taken for a period of time up to a full year. A faculty member on a sabbatical leave will receive up to one-half their regular annual salary. Additional travel funds and leave related expenses may be provided as deemed appropriate.
- B. **Personal Leave** – Within the specifications described below, each campus will develop an application and review process to approve personal leaves and stipulate the duration (not to exceed one year) and support associated for each leave. All leaves must be documented in writing, recorded, and approved by signature of the provost or designee.
1. **Leave of Absence.** Faculty members may apply for a personal leave without pay. A leave of absence may be granted in cases of exceptional personal or institutional reasons, such as medical leave beyond the requirements of the Family and Medical Leave Act (FMLA). A leave of absence without pay may be granted for a period not to exceed one year and may not extend past the ending date of the faculty member's appointment. Any extension of the one year limit must be approved by the chancellor.
  2. **Paid Family and Medical Leave**

1. A tenured, or tenure-track [faculty member](#), or full-time, ranked non-tenure track faculty member [as defined in Section 310.035](#), who is eligible for family and medical leave (See Section 340.010) will be paid, up to 12 weeks, during any portion of such leave that occurs during the faculty member's normally scheduled work duties. Paid family and medical leaves cannot exceed more than two 12-week paid leaves within a six-year period. Additional leaves during any six-year period will be unpaid. However, if such faculty member is covered by another approved University vacation/sick leave policy, the provisions of such vacation/sick leave policy shall apply in determining the extent to which the family and medical leave shall be paid.
2. Under no circumstance can a faculty member exceed 12 weeks of family and medical leave within any 12-month period unless such leave is for covered service member leave for which the maximum is described in Section 340.010. However, given that the traditional semester is 16-weeks in duration, it is important not to interrupt the teaching and learning environment of students. Therefore, any faculty member who would normally have teaching responsibilities and is returning from a family and medical leave mid-semester will not be expected to return to the classroom until the start of a new term. In order to receive pay upon the return from a 12-week family and medical leave or a 26-week covered service member leave, a differentiated work load must be negotiated. This differentiated work load must be documented in writing and approved by the department chair, dean<sup>[1]</sup> and the provost or designee. If negotiated, the faculty member may be eligible to receive pay for the remainder of the semester. Faculty members who take family and medical leave, either paid or unpaid, shall not, because of such leave, be assigned heavier work load or be otherwise discriminated against.

C. **Military Leave** – See Section 340.010 and the HR Policy Manual for further information regarding military leave.

~~D. **Definition of Full-time, Ranked, Non-Tenure (NTT) Faculty.** For purposes of this policy, there shall be four main types of full-time, ranked NTT faculty. Each should have primary responsibility in a single area: teaching, or research, or clinical practice, or extension activities. The titles should identify the area. Within each area, there shall be three ranks:~~

- ~~1.—Research faculty (Research Professor, Associate Research Professor, Assistant Research Professor)~~
- ~~2.—Teaching faculty (Teaching Professor, Associate Teaching Professor, Assistant Teaching Professor)~~
- ~~3.—Clinical/Professional Practice faculty (Clinical Professor, Associate Clinical Professor, Assistant Clinical Professor or Professional Practice Professor, Associate Professional Practice Professor, Assistant Professional Practice Professor)~~
- ~~4.—Extension faculty (Extension Professor, Associate Extension Professor, Assistant Extension Professor, Extension Professional, Associate Extension Professional, Assistant Extension Professional)~~
- ~~5.—Librarian faculty (Librarian I/II, Librarian III, Librarian IV) on campuses whose librarian faculty have opted for NTT status as a body, whose faculty council or faculty senate, as appropriate to the individual campus, has formally recognized librarian faculty as having NTT status as a body and whose Chancellor has approved such recognition.~~

[1] On campuses with no schools or colleges and, therefore, no deans, there is no requirement for approval by the dean.

**Collected Rules and Regulations**  
**Personnel**  
**Chapter 340: Employee Absences**  
**340.070 Faculty Leave**

CLEAN

Bd. Min. 1-31-08; Amended 2-06-09; Amended 12-10-10; Amended 7-27-12; Amended 2-9-17; Amended Bd. Min 4-12-18.

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# **External Affairs, Marketing and Advancement**

# University of Missouri



## Board of Curators

### External Affairs, Marketing and Advancement Committee Meeting

Wednesday, September 18, 2019

9:00 A.M.

This Board Committee Meeting is being held in conjunction with the September 26, 2019 Board Meeting.

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

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

**Participant Code: 177492#**

### AGENDA

#### **PUBLIC SESSION – 9:00 A.M.**

Call to Order – Chair Graham

Roll Call of the Committee

#### Information

1. Strategic Communications and Marketing Year-End Reports – (Kamrhan Farwell, Andy Careaga, Bob Samples and Anne Spenner)
2. Advancement Report – (Tom Hiles, Joan Nesbitt, Paul Herring, Lisa Baronio)

Recess



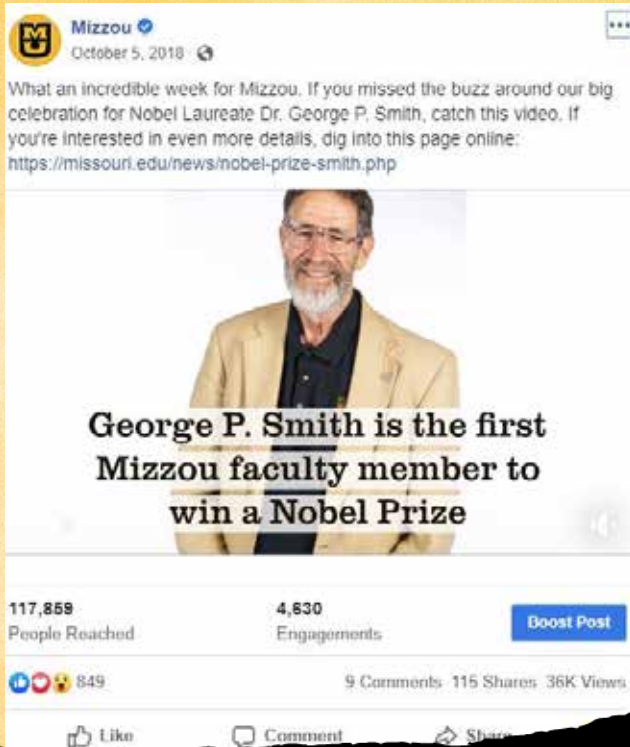
Strategic Communication  
& Marketing  
University of Missouri

# **MIZZOU COMMUNICATIONS** **PROGRESS 2018-2019**

OPEN - EXT AFF M&A - INFO 1-1

# GOAL

# SHIFT NATIONAL REPUTATION





# GOAL

# SHIFT NATIONAL REPUTATION

**FACEBOOK**  
**274,855**  
**FANS**



**969**

INCREASE  
IN FANS

**TWITTER**  
**126,999**  
**FOLLOWERS**



**6,611**

INCREASE IN  
FOLLOWERS

**INSTAGRAM**  
**60,680**  
**FOLLOWERS**



**9,765**

INCREASE IN  
FOLLOWERS

## MEDIA VIEWS & ENGAGEMENTS

**facebook**

Views FY 2018 – 489,021

Views FY 2019 – 1,311,166

**822,145 INCREASE**

**twitter**

Engagements FY 2018 – 373,045

Engagements FY 2019 – 383,447

**10,402 INCREASE**

*\*as of FY18-19*

*Year-over-year comparison*

# GOAL

# SHIFT NATIONAL REPUTATION

ST. LOUIS POST-DISPATCH News Obit Business Sports Got 72°

## University of Missouri and Siemens pair up to bolster research, train biomedical engineers

By Jack Scarrup St. Louis Post-Dispatch Jul 13, 2019

SUBSCRIBE FOR FREE



RECOMMENDED

Washington MONTHLY

## How the University of Missouri Is Rebuilding Its Reputation

Four years ago, the school was plagued by ugly racial incidents. Now, it's increasing access for low-income students.

by Paul Glastris August 15, 2019 HIGHER EDUCATION



THE CHRONICLE OF HIGHER EDUCATION

LEADERSHIP & GOVERNANCE

## Colleges Can Recover From Racial Crisis by Taking a Lesson From Mizzou

By Sarah Brown | NOVEMBER 13, 2018

What does it really take for a college to recover from a racial crisis? That's the



# GOAL

# DRIVE ENROLLMENT MARKETING

## ENROLLMENT

**+4.7%** INCREASE IN APPLICATIONS

**95M** DELIVERED IMPRESSIONS

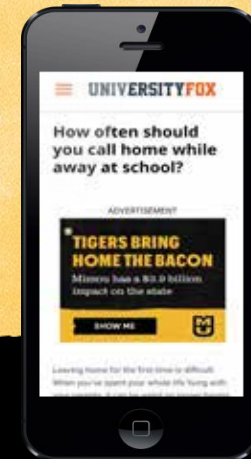
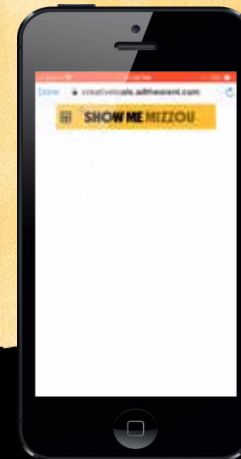
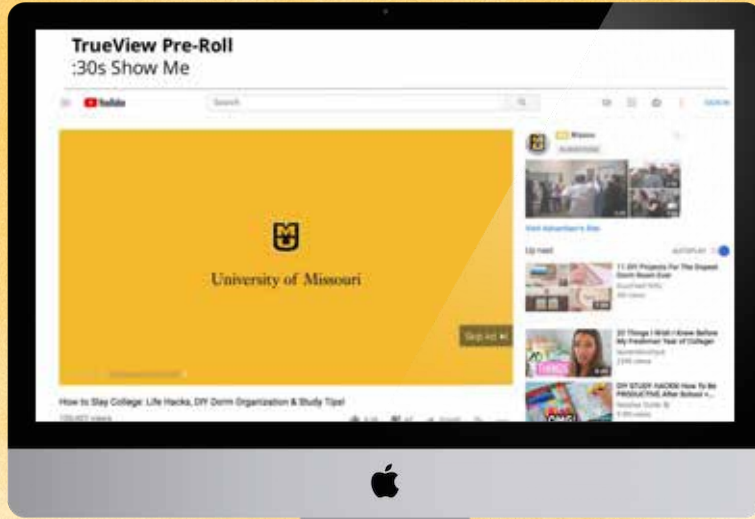
## YIELD

**+9.5%** INCREASE IN ADMITTED STUDENTS

**+16.9%** INCREASE IN ADMITTED STUDENTS (with deposits)

# GOAL

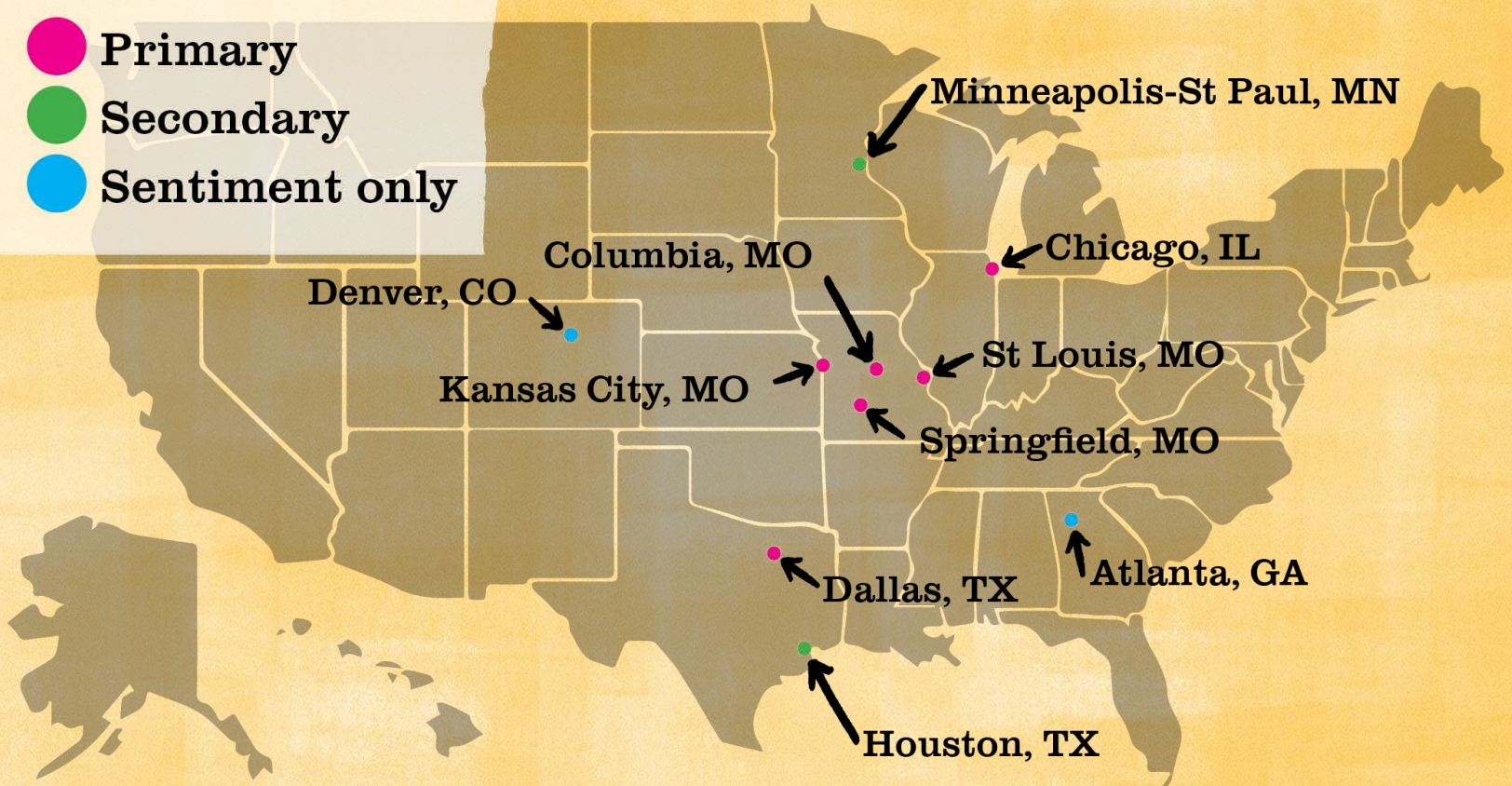
# DRIVE ENROLLMENT MARKETING



# GOAL

# DRIVE ENROLLMENT MARKETING

- Primary
- Secondary
- Sentiment only



GOAL

# TELL OUR STORY BETTER

**42**  
*states*

**20**  
*episodes*

**4,300+**  
*downloads*

**1**  
*bonus  
episode*

**31**  
*countries*



GOAL

TELL OUR STORY BETTER



2.5M+

SOCIAL MEDIA  
VIDEO VIEWS

16,561 STORIES

PLACED IN INTERNATIONAL,  
NATIONAL, STATE AND  
LOCAL MEDIA OUTLETS.

63%

INCREASE OVER PLACEMENTS IN FY18

# GOAL TELL OUR STORY BETTER

## Leadership Messages



### Our Universities FOR Missouri Disaster Relief

[View in French](#)

Faculty, staff and students,

When fellow Missourians face overwhelming obstacles, our University community will always gladly stand together and answer the call to help. Recently, some in northwest Missouri have lost homes and livelihoods to flooding. In order to get essential supplies to those who need them most, the UM System is raising money in partnership with Feeding Missouri.

If you would like to donate to this effort, please visit the [Disaster Resources and Support](#) webpage. While Feeding Missouri is only accepting monetary donations, volunteer opportunities will become available as needs unfold.


[Donate Now](#)

Flooding along the Missouri and Mississippi rivers is our present, and compromised levees mean it's also our foreseeable future. To our University community can do a great deal of good for those experiencing such challenging conditions.

Thank you for your support and the good works you provide our community.

Sincerely,

Marshall Stewart  
Chief Engagement Officer, UM System  
Vice Chancellor for Extension and Engagement, MU Extension



### Office of the Chancellor University of Missouri

May 23, 2019

Mizzou family,

Our thoughts are with the residents of Jefferson City this morning and with the emergency crews working hard to protect their citizens and work on cleanup and recovery efforts.

Mizzou leaders have been in contact with state and local officials, as well as individuals from Lincoln University, to offer resources and assistance, including housing for those displaced and help with cleanup efforts.

We also wish to extend an offer to impacted staff, faculty and students here at the University of Missouri, UM System employees in Columbia and also at Lincoln University to provide temporarily housing and meals to help during this chaotic time of personal loss.

For information about housing, please contact MU Residential Life at 573-882-7275.

The MU Police Department has seven officers, including MUPD Chief Doug Schwandt, in Jefferson City helping with the response to the tornado damage. In addition, MU Extension teams who have been helping with the impacts of flooding for months are on the ground to assist with recovery efforts, providing information about assessing water and wind damage. The [Community Emergency Management](#) team is also working to help with recovery efforts.



# GOAL

# TELL OUR STORY BETTER

## 3<sup>rd</sup> Party Affirmation



 **Rep. Vicky Hartzler** @RepHartzler · May 29  
As #flooding continues to impact #farmers in the Midwest, researchers at @Mizzou are working towards solutions by studying water logging tolerance for crops through a competitive research award provided by @usda\_nifa. Well done, Tigers!

## Social Media

 **Mizzou** @Mizzou · Apr 4  
@UMSystem and @MUExtension partnered together to aid and assist communities affected by the Missouri River flooding.  
[news.missouri.edu/2019/flooding/](https://news.missouri.edu/2019/flooding/)



0:50 1.8K views

## Radio

 **MU Extension** @MUExtension · Jul 6  
Tune in to @1400KFJU Sun. at 9 a.m. to hear @MarshallStewart discuss his office's latest initiatives and what MU Extension, @Mizzou and @urnsystem have been doing across the state to help those dealing with flooding and tornado damage. [ow.ly/6Ca850uSHrB](https://ow.ly/6Ca850uSHrB)

## Press Headline



Hot Topics: Teaching and Learning  
Campus Life

Research Science Campus Life Athletics Teaching & Learning Arts & Humanities Community  
Traditions Archive



### Port in the storm

MU Extension partners with local agencies to help those affected by widespread flooding

Dick and Annette Thomas aren't sure where to begin.

GOAL

TELL OUR STORY BETTER  
ALIGN MIZZOU COMMUNICATORS



DEPUTY CHIEF MARKETING  
& COMMUNICATIONS  
OFFICER

NextGen   
PRECISION HEALTH  
Institute



# Missouri S&T metrics

Report to the Board of Curators External Affairs, Marketing and  
Advancement Committee | Sept. 18, 2019

Andrew Careaga | Missouri S&T

Where  
your voice  
matters.

MISSOURI  
S&T



Where  
forward is  
the only  
direction.

MISSOURI  
S&T

MISSOURI  
S&T

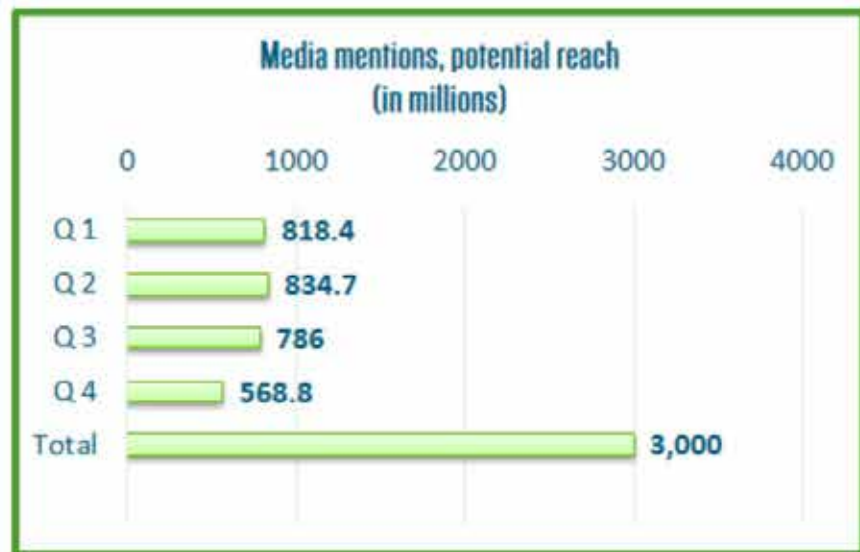
## Missouri S&T dashboard goals

1. Raise visibility of Missouri S&T as a leading STEM-focused research university
2. Expand share of voice among peer institutions
3. Support relevant outreach and visibility efforts as they pertain to the Missouri compacts

# Goal 1. Raise visibility

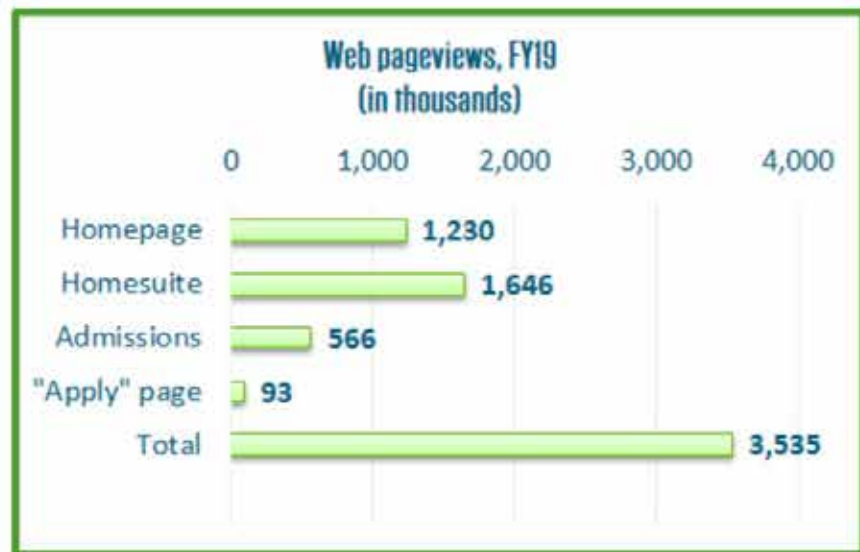
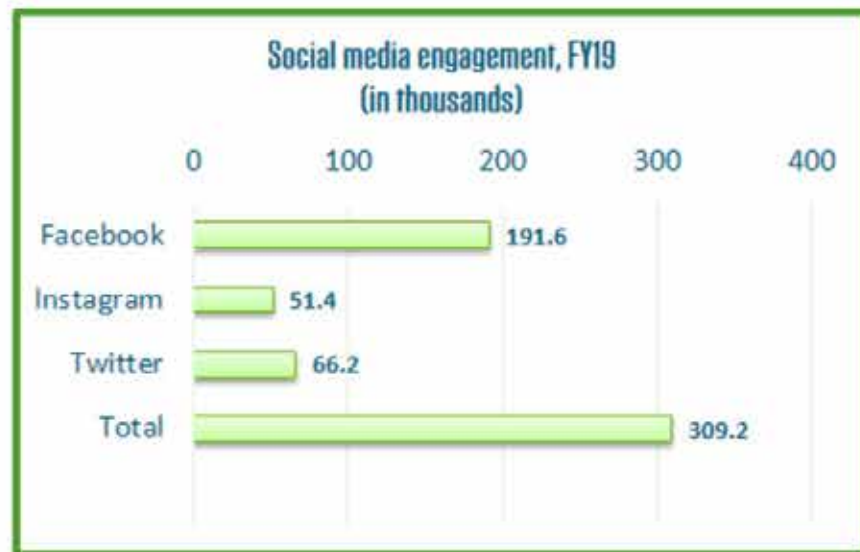


Influencer marketing: Email newsletters and postcards to academic peers, recruiters, alumni



Total media mentions: 9,391  
Total reach: 3,007,922,426  
Audience per mention: 3,203

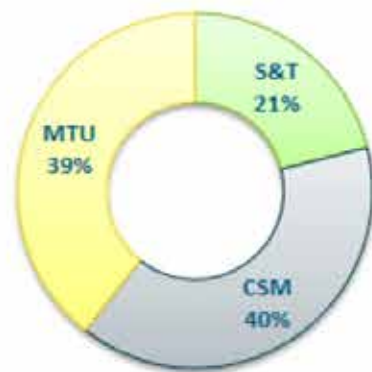
# Goal 1 (continued): Raise visibility



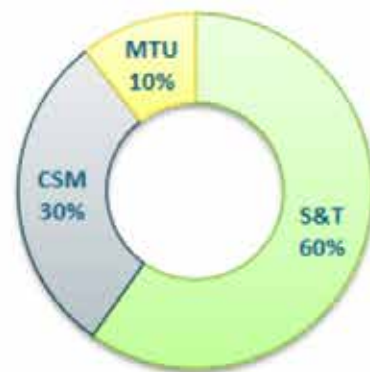
Meaningful engagement determined by shares, likes, retweets

## Goal 2: Expand share of voice

Share of voice, news media mentions, FY19



Share of voice, social media, FY19



Share of voice measures how well Missouri S&T is getting its message out in comparison to peer institutions. In this case, we measure against two comparator universities, Colorado School of Mines (CSM) and Michigan Technological University (MTU).

# Goal 3: Support relevant outreach and visibility efforts

## Missouri compact for excellence in ...

student success

- Student recruitment marketing collateral
- Student stories and testimonials on website, social media, postcards, video

research and creative works

- Research and scholarship promoted through annual research magazine, news releases and features, postcards, video, e-newsletters
- Marketing campaign targeting *U.S. News & World Report* voters

engagement and outreach

- Engagement Week, Legislative Day, 150<sup>th</sup> anniversary event planning

inclusive excellence

- "Conversations on ..." web features spotlighting diverse communities
- eConnection "Staff Spotlight"
- Monthly "Accomplishments" newsletter
- Marketing Title IX student survey

planning, operations, stewardship

- Marketing support for fundraising, alumni relations, advancement
- #MinerTakeover during S&T Giving Day

**MINERS DIG DEEPER**



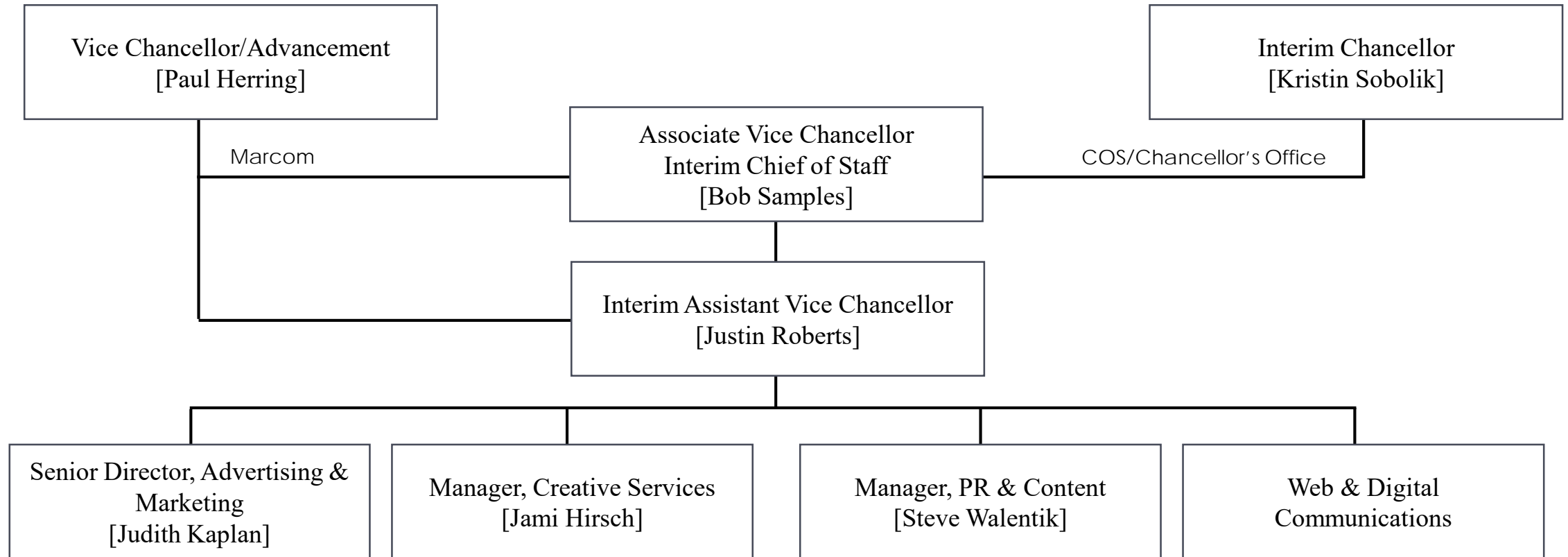
# University of Missouri-St. Louis Marketing & Communications Update

Justin L. Roberts, Interim Assistant Vice Chancellor

September 18, 2019



# Organizational Chart



# FY19 MarCom Goals

1. Plan and implement integrated marketing communications strategies to enhance UMSL's overall brand awareness, institutional reputation and student recruitment.
2. Increase the year-end number of UMSL Daily posts through a broader use of short form articles, videos, photos, infographics and social integration.
3. Increase overall website traffic to umsl.edu with a focus on increasing traffic to key landing pages for admissions, applications, campus tours, and inquiry forms.

# FY19 Year-End Metrics

## FY19 Paid Advertising

- **Institutional Marketing**

- 100,000<sup>th</sup> Graduate – College Campaigns for Arts and Sciences, Business, Education, Nursing – Campus Beauty

- **Enrollment Marketing**

- Late Registration – Summer Registration – College Fairs – Illinois Rate – UMSL Days – Nights, Online, Weekends

- **Programmatic Marketing**

- Teach-in-12 – Cybersecurity – Entrepreneurship – Graduate Business – Bridge Program – Off Campus Degrees

- **Outcomes**

- Attributed Lead Generations: 9,772 which led to 2,863 applications
- Overall Applications: 9,093

Media Mix	FY19 Final	FY20 Projected*
Radio	35.90%	12.05%
TV	29.80%	0.00%
Outdoor	19.50%	40.04%
Digital	14.80%	46.48%
Print	0.00%	1.43%
	100.00%	100.00%

# FY19 Year-End Metrics

- **Creative Services**

- 378 graphic design projects **6.78%** supporting schools, colleges and administrative units
- We Transform Lives Rollout
- Enrollment marketing materials redesign

- **CASE Awards**

- Gold & Bronze – Publication and Design
- Silver – PSA/Commercial Spots
- Bronze – Department Branding Programs

- **Goal FY20**

- Develop, integrate and share UMSL brand standards by creating a thorough brand architecture and accessible campus-wide toolkit



# FY19 Year-End Metrics

- **UMSL Daily**

- Google online news source
- 469 articles **13.56%**
- 314,786 unique pageviews **5.94%**
- Weekly digest to internal and external audiences (38,400 distribution)

- **UMSL Magazine**

- Two, 40-page issues annually
- 105,000 distribution

- **News and Media**

- 8,550 media hits
- 3.9 billion potential reach

- **Social Media**

Facebook	Followers	Impressions	Engagements
FY18	18,967	2,710,072	67,854
FY19	19,980	11,699,779	73,760
<b>Gains</b>	<b>5.34%</b>	<b>331.70%</b>	<b>8.70%</b>
Twitter	Followers	Impressions	Engagements
FY18	7,185	1,574,691	21,885
FY19	7,979	1,692,051	25,587
<b>Gains</b>	<b>11.05%</b>	<b>7.45%</b>	<b>16.92%</b>

# FY19 Year-End Metrics

## Unique Web Pageviews

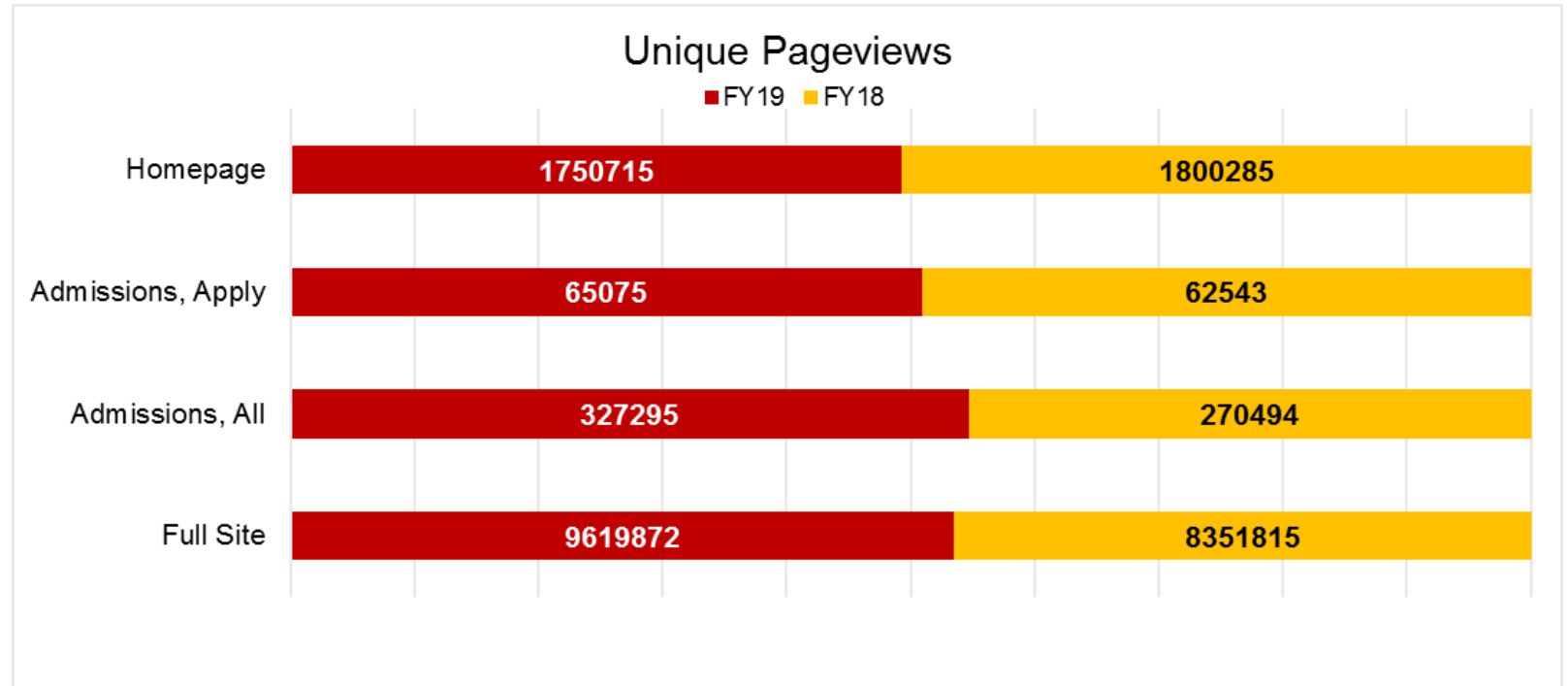
- Full Site: 15.18%
- Admissions: 4.05%
- Application: 20.99%
- Homepage: 2.75%

## Average Time on Page

- 0:51 to 1:37: 89.18%

## Bounce Rate

- 2.89% to 6.77%: 47.47%



# FY20 MarCom Goals

1. Increase/drive website traffic to key landing pages for admissions, applications, campus tours, and inquiry forms.
2. Continue to refine paid advertising media mix/strategies to better reach target audiences where they consume media.
3. Work with admissions/enrollment management to maximize the campus' relationship with RNL to enhance immediate enrollments and establish a long-term enrollment strategy.
4. Realign existing MarCom resources to support University Advancement's launch of a comprehensive fundraising campaign.



# Board of Curators Presentation September 2019

UMKC

OPEN – EXT AFF M&A – INFO 1-4

# Top 3 Marketing and Communication Goals

1

Support student recruitment and retention goals, particularly undergraduate.

2

Raise positive public awareness of UMKC in the greater Kansas City region, including in support for fund-raising and friend-raising.

3

Deliver high quality and high value marketing and communications strategies and services that elevate both the university and individual units.



**OUT-OF-HOME**

KANGAROOS ARE EVERYWHERE

## OOH – Billboards



**FROM THE KAUFFMAN  
CENTER TO CARNEGIE HALL.  
UMKC GRADS ARE EVERYWHERE.**

UMKC



**SPOTTED AT CERNER,  
LOCKTON AND H&R BLOCK.  
UMKC GRADS ARE EVERYWHERE.**

UMKC

KANGAROOS ARE EVERYWHERE

## OOH - Streetcar



KANGAROOS ARE EVERYWHERE

# Digital - Out-of-home



Frame 1



Frame 2



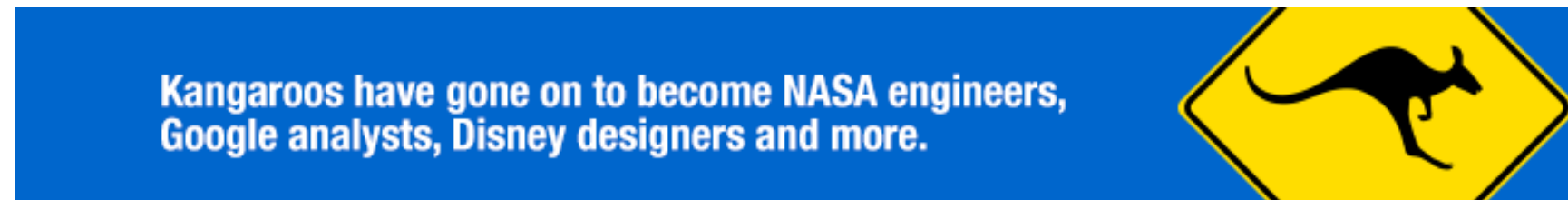
Frame 3

**DIGITAL**



KANGAROOS ARE EVERYWHERE

## Footer Banner



KANGAROOS ARE EVERYWHERE

# Website Banner



Frame 1



Frame 2



Frame 3



Frame 4

**VIDEO**



**SOCIAL**

KANGAROOS ARE EVERYWHERE

# Social

 **UMKC**  
Sponsored Like Page

You don't have to look hard to spot a Roo. From NASA to Google, from hospitals to courtrooms to theaters throughout the country, our grads continually excel in all sorts of fields. They're everywhere.




**UMKC GRADS EXCEL EVERYWHERE.**  
Get your share of \$150 million in scholarships.


[UMKC.EDU/EXCEL](http://UMKC.EDU/EXCEL) Learn More

 20 562 Comments 311 Shares

 Like  Comment  Share


 **UMKC**  
Sponsored ▼




You don't have to look hard to spot a Roo. From NASA to Google, from hospitals to courtrooms to theaters throughout the country, our grads continually excel in all sorts of fields. They're everywhere.



**UMKC GRADS EXCEL EVERYWHERE.** Learn More

[umkc.edu/excel](http://umkc.edu/excel)

 20 562 Comments 311 Shares

 Like  Comment  Share

# Student Storytelling

"I am someone that loves a good view. I live for seeing the sky change colors behind the KC skyline, like at the Liberty Memorial."

Daphne Posadas  
Business Administration, Pre-Law, '21

[Read Daphne's story >](#)



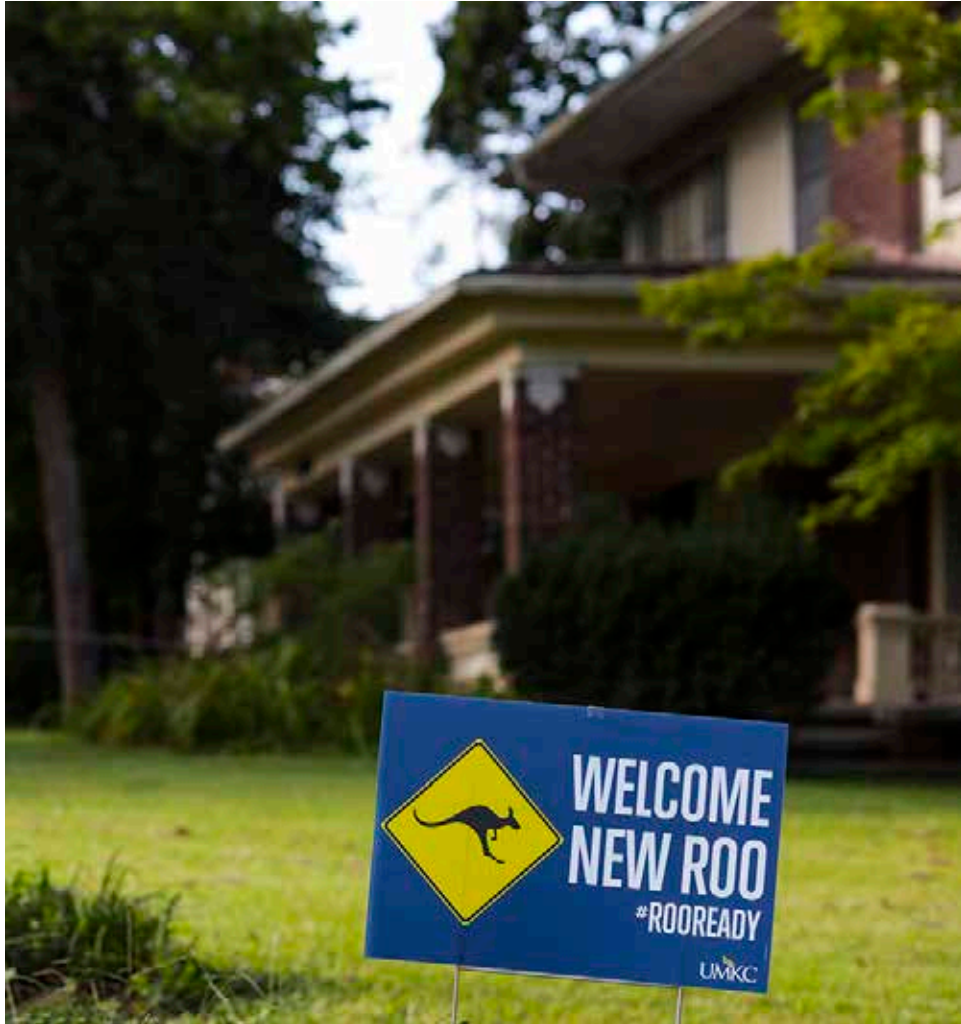
"I admire Dr. Vlastos' humility. He performs some of the most difficult, intricate surgeries in the country and saves families, mothers and babies who were never supposed to make it."

Akash  
Six-year B.A./M.D. '20

[Meet this Dynamic Duo >](#)



# Guerrilla Marketing





# 2019 Campaign Results\*

**200M+**  
impressions

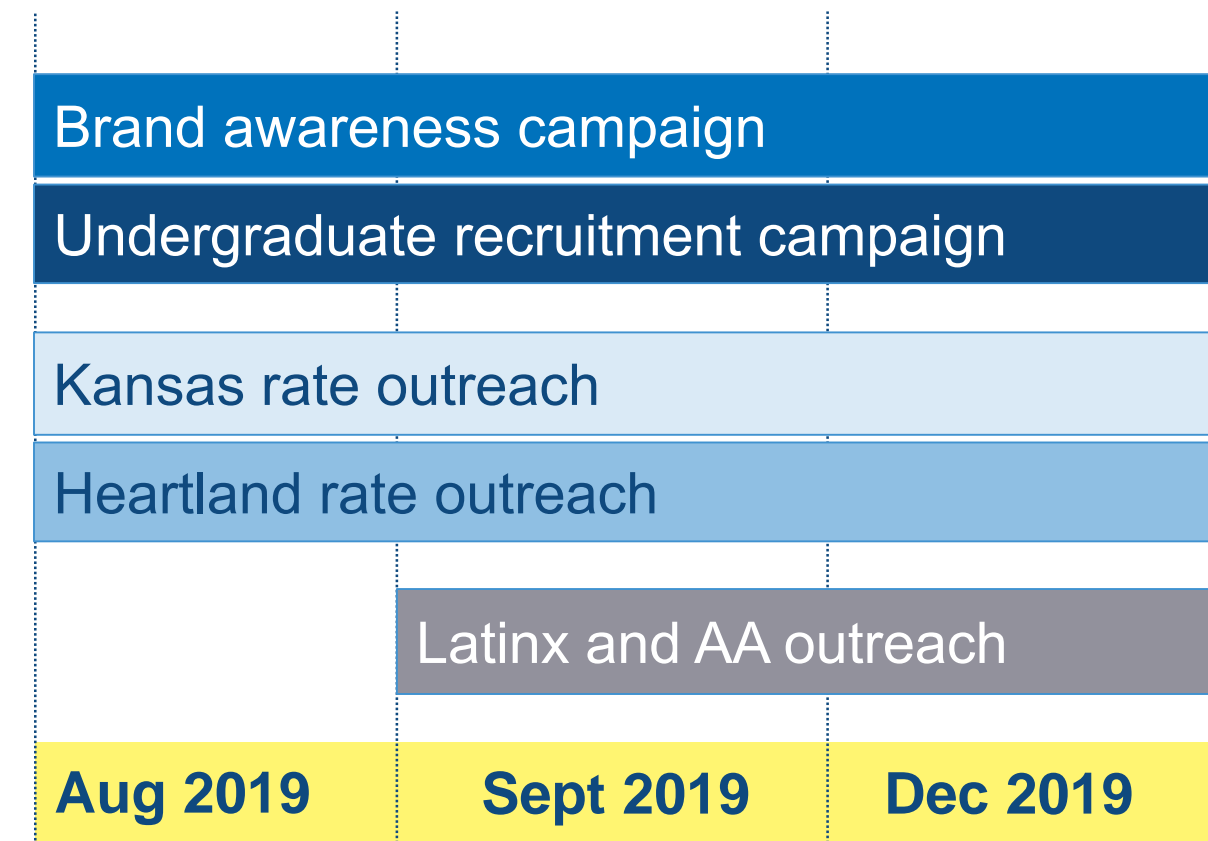
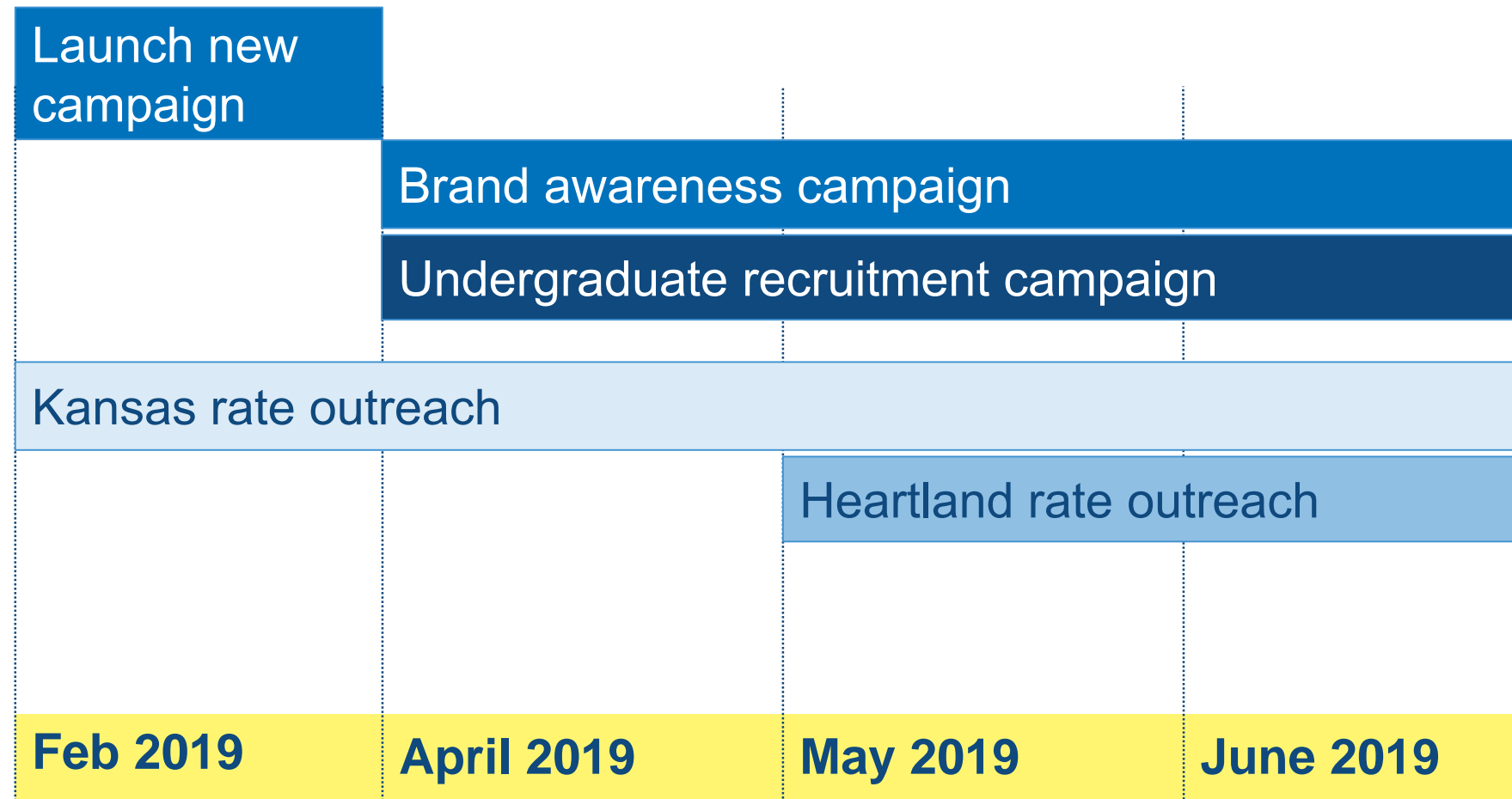
**140M+**  
digital  
impressions

**190K+**  
landing page  
views

**449**  
submitted  
applications via  
campaign

\*As of Sept 5, 2019

# 2019 Marketing Plan



**THANK YOU**

# UNIVERSITY OF MISSOURI SYSTEM (Q4, FY19; April 1 - June 30, 2019)

## Communication metrics, systemwide

### >>MEDIA MENTIONS

#### Media mentions and reach, measured quarterly, year to date sum

	MU, Total	MU, QoQ	UMKC, Total	UMKC QoQ	S&T, Total	S&T, QoQ	UMSL, Total	UMSL QoQ	Systemwide, Total
Media mentions	49,702	-12.47%	23,165	-41.29%	9,391	-29.52%	8,575	8.20%	90,833
Potential reach (sum)	25,833,960,736	-11.10%	15,315,685,853	-68.07%	3,007,922,426	-27.63%	4,830,129,960	-17.74%	48,987,698,975

### >>SOCIAL MEDIA

#### Meaningful engagements, systemwide, measured quarterly, year to date sum

	MU, Total	MU, QoQ	UMKC, Total	UMKC QoQ	S&T, Total	S&T, QoQ	UMSL, Total	UMSL QoQ	Systemwide, Total
Facebook	724,488	8.67%	86,290	-18.81%	191,647	-78.33%	73,760	20.40%	1,076,185
Twitter	607,395	-39.05%	63,976	11.90%	66,162	-13.62%	40,452	103.29%	777,985

### >>STUDENT

#### Fall 2019 applications and enrollments (freshmen, transfer, graduate students), measured quarterly, year to date sum

	MU, Total	MU, QoQ	UMKC, Total	UMKC QoQ	S&T, Total	S&T, QoQ	UMSL, Total	UMSL QoQ	Systemwide, Total
Applications to date	26,641	11.23%	9,689	17.53%	7,179	14.42%	7,199	31.03%	50,708
Enrollments to date	6,989	31.45%	3,807	387.45%	1,500	32.16%	1,208	132.76%	13,504
Current students (fall day 1, annual)	29,443	N/A	16,936	N/A	8,835	N/A	16,989	N/A	72,203

### >>WEB

#### Visits to primary 'apply now' page, measured quarterly, year to date sum

	MU, Total	MU, QoQ	UMKC, Total	UMKC QoQ	S&T, Total	S&T, QoQ	UMSL, Total	UMSL QoQ	Systemwide, Total
Unique pageviews	323,103	-31.95%	134,594	-8.58%	566,245	-20.44%	65,075	-2.11%	1,089,017

### >>MARKETING

#### Systemwide spend per student (fall total headcount), measured annually, annual average

	MU, Total	UMKC, Total	S&T, Total	UMSL, Total	Systemwide, Total
Marketing outreach spend	\$62.67	\$28.98	\$21.29	\$59.36	\$43.08

**>>PERSONNEL (CENTRAL COMMUNICATIONS ONLY)**

**Salary and benefit cost, per student, measured quarterly, year to date average**

	MU, Total	MU, QoQ	UMKC, Total	UMKC QoQ	S&T, Total	S&T, QoQ	UMSL, Total	UMSL QoQ	Systemwide, Total
<b>Staff salary</b>	\$ 19.22	7.71%	\$ 30.86	8.47%	\$ 31.46	9.29%	\$ 12.62	3.30%	\$23.54
<b>Staff benefit cost</b>	\$ 6.75	11.36%	\$ 10.74	8.11%	\$ 10.92	6.87%	\$ 3.53	2.94%	\$7.99
<b>Total</b>	\$ 25.97	N/A	\$ 41.59	N/A	\$ 42.39	N/A	\$ 16.16	N/A	\$31.53
<b>Headcount</b> <i>(average - as of last day of quarter)</i>	29	N/A	37	N/A	18	N/A	18	N/A	101

# UNIVERSITY OF MISSOURI-COLUMBIA (MU)

## Communication metrics and marketing goals

### >>GOALS

#### Top 3 communication and marketing goals

1. Drive enrollment
2. Boost positive insitutional reputation
3. Increase positive engagement with all stakeholders

### >> MEDIA MENTIONS

#### Media mentions and potential reach, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Media mentions	12,917	15,785	11,198	9,802	49,702	-12.47%
Potential reach (sum)	7,373,731,925	7,244,343,322	5,937,361,543	5,278,523,946	25,833,960,736	-11.10%

### >>MARKETING

#### Marketing outreach spend (fall total headcount), annual

	Annual
Spend per student (annual)	\$ 62.67

### >>PERSONNEL

#### Salary and benefit cost, per student, quarterly

	Q1	Q2	Q3	Q4	YTD Avg.	QoQ Change
Staff salary	14.44	19.33	20.76	22.36	\$ 19.22	7.71%
Staff benefit cost	5.15	6.78	7.13	7.94	\$ 6.75	11.36%
Headcount (as of last day of quarter)	26	27	29	32	29	

### >>SOCIAL MEDIA

#### Followers and meaningful engagements, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Total followers, Facebook	256,439	256,430	256,896	257,302	257,302	0.16%
Total engagements, Facebook	139,098	137,027	214,868	233,495	724,488	8.67%
Total followers, Twitter	121,841	124,241	125,620	126,693	126,693	0.85%
Total engagements, Twitter	132,915	207,720	165,743	101,017	607,395	-39.05%

## >>STUDENT

### Fall 2019 applications and enrollments (freshmen, transfer, graduate students), year to date

	Q1	Q2	Q3	Q4	YTD/Annual	QoQ Change
Applications to date		5,843	19,103	23,952	26,641	11.23%
Enrollments to date		331	2,264	5,317	6,989	31.45%
Current students <i>(fall day 1, annual)</i>					29,443	

## >>WEB

### Unique pageviews, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Homepage		447,239	447,566	431,053	1,740,667	-3.77%
Admissions		42,059	111,071	101,147	323,103	-31.95%

# UNIVERSITY OF MISSOURI-KANSAS CITY (UMKC)

## Communication metrics and marketing goals

### >>GOALS

#### Top 3 communication and marketing goals

1. Support student recruitment and retention goals, particularly undergraduate.
2. Raise positive public awareness of UMKC in the greater Kansas City region, including in support of fund-raising and friend-raising.
3. Deliver high quality and high value marketing and communications strategies and services that elevate both the university and individual units.

### >>ACTIVITY, GRAPHIC DESIGN

#### Recent print and graphic design activity, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Number of projects	168	211	188	246	813	30.85%

### >>ACTIVITY, RECRUITMENT MARKETING MIX

#### UMKC marketing mix undergraduate campaign, annual

	Annual
Total market mix	\$374,712

### >>EARNED MEDIA

#### Media mentions and reach, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Media mentions	6,670	6,328	6,406	3,761	23,165	-41.29%
Reach (sum)	3,512,934,565	4,370,524,228	5,633,359,790	1,798,867,270	15,315,685,853	-68.07%

### >>MARKETING

#### Marketing outreach spend (fall total headcount), annual

	Annual
Spend per student (annual)	\$28.98

### >>PERSONNEL\*

#### Salary and benefit cost, per student, quarterly

	Q1	Q2	Q3	Q4	YTD Avg.	QoQ Change
Staff salary	\$27.79	\$32.64	30.22	32.78	\$ 30.86	8.47%
Staff benefit cost	\$9.61	11.25	10.61	11.47	\$ 10.74	8.11%
Headcount (as of last day of quarter)	34	38	37	37	37	

### >>SOCIAL MEDIA

#### Followers and meaningful engagements, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Total followers, Facebook	31,331	31,524	32,963	31,793	31,793	-3.55%
Total engagements, Facebook	14,573	21,649	27,633	22,435	86,290	-18.81%
Total followers, Instagram	3,943	4,240	4,670	5,112	5,112	9.46%
Total engagements, Instagram	7,075	5,785	5,836	5,148	23,844	-11.79%
Total followers, Twitter	11,659	11,884	12,314	12,535	12,535	1.79%
Total engagements, Twitter	15,350	11,183	17,670	19,773	63,976	11.90%



<b>&gt;&gt;STUDENT</b>							
<b>Fall 2019 Applications and enrollments (freshmen, transfer, graduate students), year-to-date</b>							
	Q1	Q2	Q3	Q4	YTD/Annual	QoQ Change	
Applications to date		1,557	5,949	8,244	9,689	9,689	17.53%
Enrollments to date		1	154	781	3,807	3,807	387.45%
Current students <i>(fall day 1, annual)</i>					16,936		

<b>&gt;&gt;WEB</b>							
<b>Unique pageviews, quarterly</b>							
	Q1	Q2	Q3**	Q4	YTD	QoQ Change	
Homepage	839,080	893,314	655,461	556,227	2,944,082	-15.14%	
Admissions	42,982	46,880	23,369	21,363	134,594	-8.58%	

\* As of July 1, 2018, UMKC staff total includes every FT marketing and communication staff member employed at the university. We switched to shared services model, so the work to support central administration is intertwined with the work we do for ALL academic units, other support units, centers and institutes. Individuals on our staff support multiple projects that cut across central administration and the rest of campus.

**\*\*We launched our home suite website on Dec 6 and the change has impacted the way people navigate the website. We've also changed admissions pages and will soon be launching a new one. The new URL is: <https://www.umkc.edu/UMKC-Admissions/> As an additional note: Fourth quarter web traffic is typically the lowest of the year. The decline from Q3 to Q4 represents roughly the same percentage dropoff as prior year.**

## MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY (Missouri)

### Communication metrics and marketing goals

#### >>GOALS

##### Top 3 communication and marketing goals

1. Raise visibility of Missouri S&T as a leading STEM-focused research university
2. Expand "share of voice" among peer institutions
3. Support relevant outreach and visibility efforts as they pertain to the Missouri Compacts

#### >>ACTIVITY, GRAPHIC DESIGN

##### Recent print and graphic design activity, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Student recruitment		13	1	13	12	39 -7.69%
Advancement/Alumni Relations		18	18	21	13	70 -38.10%
Departmental support		30	24	19	7	80 -63.16%
Athletics		6	18	1	5	30 400.00%
Other (signage, apparel, etc.)		40	35	24	34	133 41.67%
<b>Total impressions</b>	<b>342,969</b>	<b>891,527</b>	<b>168,195</b>	<b>99,879</b>	<b>1,502,570</b>	<b>-40.62%</b>

#### >>ACTIVITY, MARKETING TO INFLUENCERS

##### Marketing to influencer publications, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Annual research magazine, quantity					2,200	
Annual research magazine, reach					1,300	
E-newsletter editions, quantity	2	6	5	7	20	40.00%
E-newsletter editions, reach	767	13,253	42669	6641	63330	-84.44%
E-newsletter, open rate (avg.)	25.30%	32.14%	35.95%	31.56%	31.24%	40.00%
Postcards, quantity	1	1	4	2	8	-50.00%
Postcards, reach	12,489	8300	32528	11,900	65217	-63.42%

#### >>ACTIVITY, DIGITAL MARKETING

##### Recent web and digital marketing activity, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Academic support, quantity	17	12	15	18	62	20.00%
Academic support, reach	82,294	20,973	18155	58,601	180,023	222.78%
Adv./Alumni relations, quantity	5	6	4	8	23	100.00%
Adv./Alumni relations, reach	8,235	71,189	43599	26,433	149,456	-39.37%
Exec. communications, quantity	13	12	7	4	36	-42.86%
Exec. communications, reach	81,269	32,588	51,326	27,518	192,701	-46.39%
Internal and other, quantity	44	35	58	43	180	-25.86%
Internal and other, reach	140,573	78,462	161,667	86,839	467,541	-46.29%

#### >>ACTIVITY, WEB

##### Recent web and digital activity, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Direct website work	401	166	97	131	795	35.05%
Content author web support	201	190	209	280	880	33.97%
Training	12	16	21	31	80	
Mass email builds/projects	60	56	37	54	207	45.95%
Social media posts	301	442	607	742	2092	

Webmaster/social media 599 398 682 742 2421

**>>MEDIA MENTIONS**

**Media mentions and potential reach, quarterly**

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Media mentions	1,859	2,559	2,917	2,056	9,391	-29.52%
Potential reach	818,461,499	834,682,263	785,952,492	568,826,172	3,007,922,426	-27.63%
Share of voice, earned media	19.20%	21.40%	23.70%	21.30%	85.60%	-10.13%

**>>MARKETING**

**Marketing outreach spend (fall total headcount), annual**

	Annual
Spend per student (annual)	\$21.29

**>>PERSONNEL**

**Salary and benefit cost, per student, quarterly**

	Q1	Q2	Q3	Q4	YTD Avg.	QoQ Change
Staff salary	\$29.75	\$32.37	30.45	33.28	\$31.46	9.29%
Staff benefit cost	\$10.46	\$11.26	10.62	11.35	\$10.92	6.87%
Headcount (as of last day of quarter)	18	18	17	17	18	

**>>SOCIAL MEDIA**

**Followers and meaningful engagements, quarterly**

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Total followers, Facebook	26,497	26,915	27,038	27,690	27,690	2.41%
Total engagements, Facebook	73,516	32,221	70,610	15,300	191,647	-78.33%
Total referrals, Facebook	11,957	16,716	24,866	17,164	70,703	
Total followers, Instagram	4,677	4,995	5,518	5,875	5,875	6.47%
Total engagements, Instagram	7,321	8,090	18,804	17,167	51,382	-8.71%
Total referrals, Instagram	151	401	165	107	824	-0.3515152
Total followers, Twitter	12,692	12,966	13,525	13,689	13,689	1.21%
Total engagements, Twitter	15,282	19,579	16,794	14,507	66,162	-13.62%
Total referrals, Twitter	2,479	2,318	2,381	1,868	9,046	-0.2154557
Share of voice, social media	49%	44%	52.40%	85.60%	58%	63.36%
SOV w/ 2 comparators (Colo. School of Mines, Michigan Tech)						
Total referrals, Reddit			96	103	90	289
Total referrals, LinkedIn			617	1314		1931

**>>STUDENT**

**Fall 2019 Applications and enrollments (freshmen, transfer, graduate students), year-to-date**

	Q1	Q2	Q3	Q4	YTD/Annual	QoQ Change
Applications to date	1,141	4,449	6,274	7,179	7,179	14.42%
Enrollments to date	1	487	1,135	1,500	1,500	32.16%
Current students (fall day 1, annual)					8,835	

**>>TOP 5 GATEWAY FEATURES**

**Most viewed features by non-campus visitors, quarterly**

1. Missouri S&T grad helps capture first-ever image of a black hole (April 11, 2019 - 1,902 pageviews) <https://news.mst.edu/2019/04/mis>
2. S&T, Phelps Health receive \$5.1 million to help military address traumatic brain injury (April 8, 2019 - 1,307 pageviews) <https://news.n>
3. Missouri S&T to celebrate expansion of fitness center (April 16, 2019 - 1,205 pageviews) <https://news.mst.edu/2019/04/missouri-st-to>
4. Missouri S&T awarded \$1.45 million grant for energy research (April 1, 2019 - 697 pageviews) <https://news.mst.edu/2019/04/missouri>
5. Students use a driving simulator to test roadway design before construction (May 14, 2019 - 697 pageviews) <https://news.mst.edu/2019>

YTD 1: Introducing Dr. Mohammad Dehghani (May 16, 2019 - 7,169 pageviews) <https://news.mst.edu/2019/05/nationally-regarded-engir>  
 YTD 2: U.S. News ranks 15 S&T programs among top online graduate offerings (Jan. 15, 2019 - 2,309 pageviews) <https://news.mst.edu/2019/01/u-s-news-ranks-15-st-programs-among-top-online-graduate-offerings/>  
 YTD 3: Missouri S&T researchers win multimillion dollar grant to build fast-charging stations for electric cars (Oct. 9, 2018 - 2,198  
 YTD 4: Miner football reaches first post-season bowl since 1950 (Nov. 13, 2018 - 2,055 pageviews) <https://news.mst.edu/2018/11/miner>  
 Missouri S&T grad helps capture first-ever image of a black hole (April 11, 2019 - 1,902 pageviews) <https://news.mst.edu/2019/04/misso>

<b>&gt;&gt;WEB</b>							
<b>Unique pageviews, quarterly</b>							
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>YTD</b>	<b>QoQ Change</b>	
<b>Homepage</b>	218,483	368,924	354,410	288,202	1,230,019	-18.68%	
<b>Homesuite</b>	152,676	534,055	528,371	430,444	1,645,546	-18.53%	
<b>Admissions</b>	27,036	179,656	200,242	159,311	566,245	-20.44%	
<b>Apply Page</b>	21,725	30,123	23,811	17,334	92,993		

## UNIVERSITY OF MISSOURI-ST. LOUIS (UMSL) Communication metrics and marketing goals

### >>GOALS

#### Top 3 communication and marketing goals

1. Plan and implement integrated marketing communications strategies to enhance UMSL's overall brand awareness, institutional reputation and student recruitment.
2. Increase the year-end number of UMSL Daily posts through a broader use of short form articles, videos, photos, infographics and social integration.
3. Increase overall website traffic to umsl.edu with a focus on increasing traffic to key landing pages for admissions, applications, campus tours, and

### >>ACTIVITY, GRAPHIC DESIGN

#### Recent print and graphic design activity, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Number of projects	119	77	104	78	378	-25.00%

### >>MEDIA MENTIONS

#### Media mentions and potential reach, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Media mentions	2,647	1,993	1,890	2,045	8,575	8.20%
Potential reach (sum)	1,553,473,464	1,344,173,221	1,060,264,109	872,219,166	4,830,129,960	-17.74%

### >>MARKETING

#### Marketing outreach spend (fall total headcount), annual/quarterly

	Q1	Q2	Q3	Q4	YTD/Annual	QoQ Change
Spend per student (annual)					\$59.36	
Paid impressions	40,065,649	88,151,192	90,184,014	44,666,974	263,067,829	-50.47%

### >>OWNED MEDIA

#### UMSL Daily original content articles/feature stories posted, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Articles/Feature Stories	99	125	119	126	469	5.88%

### >>PERSONNEL

#### Salary and benefit cost, per student, quarterly

	Q1	Q2	Q3	Q4	YTD Avg.	QoQ Change
Staff salary	\$13.70	\$12.13	\$12.13	12.53	\$12.62	3.30%
Staff benefit cost	\$3.83	\$3.40	\$3.40	3.5	\$3.53	2.94%
Headcount (as of last day of quarter)	20	18	18	17	18	

### >>SOCIAL MEDIA

#### Followers and meaningful engagements, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Total followers, Facebook	18,582	19,462	19,789	19,980	19,980	0.97%
Total engagements, Facebook	17,329	18,568	17,179	20,684	73,760	20.40%
Total followers, Twitter	7,223	7,441	7,817	7,979	7,979	2.07%
Total engagements, Twitter	9,329	12,240	6,226	12,657	40,452	103.29%

### >>STUDENT

#### Fall 2019 Applications and enrollments (freshmen, transfer, graduate students), year-to-date

	Q1	Q2	Q3	Q4	YTD/Annual	QoQ Change
Applications to date	822	3,413	5,494	7,199	7,199	31.03%
Enrollments to date	1	26	519	1,208	1,208	132.76%
Current students (fall day 1, annual)					16,989	

### >>WEB

#### Unique pageviews and posts, quarterly

	Q1	Q2	Q3	Q4	YTD	QoQ Change
Homepage	308,998	482,045	499,372	460,300	1,750,715	-7.82%
Admissions, application page	15,043	17,012	16,686	16,334	65,075	-2.11%
Admissions, all related	109,222	87,376	68,191	62,506	327,295	-8.34%
Full site	1,891,985	2,386,606	2,440,949	2,900,332	9,619,872	18.82%
UMSL Daily blog	77,437	71,138	78,477	87,734	314,786	11.80%

### **UMSL MarCom Staffing (20 FTE)**

Associate Vice Chancellor – Provides overall leadership and strategy to the unit, manages executive communications, serves as lead spokesperson

Senior Director of Marketing – Leads all university and college level paid marketing efforts including media buys/placements, and fiscal functions.

- Two staff (manager and marketing associate) who lead all event and marketing efforts for the Touhill Performing Arts Center and UMSL projects.

Senior Director of Communications – Leads university public relations, content, web and digital communications.

- One manager of creative services and four graphic designers providing centralized services for the entire university – from brochures and posters to digital and print advertising.
- One marketing associate who manages projects, timelines and billing.
- One manager and three PR writers providing all content for UMSL Daily (an award winning news source), content for UMSL Magazine (a biannual print publication), coordinate media relations/faculty experts, and manage university social media.
- One campus photographer supporting all campus units.
- Three website staff including a backend web programmer, a frontend web designer, and a content specialists responsible for website updates, unit-level training/support, and CRM integration.

### **UMSL Unique Characteristics**

- Unique founding with the UM System formed at the same time as UMSL, unlike the other three universities which are much older.
- Saturated market for higher education in St. Louis, with UMSL's niche as the only public research university in the region.
- UMSL provides access to a high-quality education at an affordable price; Serious Education, Serious Value.
- Outstanding programs in criminology/criminal justice, psychology, cybersecurity, biochemistry, biotechnology and business, all areas that fit the needs of the St. Louis region.
- Only College of Optometry in the state of Missouri.
- Highest transfer student population, where 75% of first-time undergraduates are transfers.
- Older student population (average age is 28 overall, and 24 for undergraduates).
- Heavily a commuter campus, although with goals of becoming more residential.
- Given its youth, UMSL tends to be more flexible and able to seize on opportunities; one example is landing the headquarters and IT operations of Express Scripts on the campus, which provides a unique model nationally for an academic-corporate partnership
- UMSL is a major player in the entrepreneur/innovation scene in the region, such as being a founding partner of CORTEX and establishing UMSL Accelerator.
- Strong alumni base with a heavy presence in the St. Louis region □ we educate and provide the workforce for St. Louis far more than any other institution!

# UM SYSTEM COMMUNICATION METRICS

## Explanation of terms

### >>ALL

#### ***Pertaining to document globally***

*Quarters follow the University's fiscal year (July 1 to June 30), unless otherwise specified*

*Quarter-over-quarter (QoQ) displays change between current/most recent quarter available and the quarter immediately preceding it.*

### >>GOALS

#### ***Results sought by communication and marketing efforts***

*Each department sets goals for each fiscal year; these goals make up a portion of each university's goals.*

### >>MARKETING

#### ***Paid promotional content and placements, measured on a year-to-date basis***

*Includes actual spend on marketing outreach efforts, including billboards, paid social media placements, advertisements, etc.*

**Spend per student:** Total amount of marketing spend in specified timeframe, divided by total number of all students in timeframe (including, freshman undergraduate students, graduate students and transfer students). This is a year-to-date figure. For this dashboard we are looking at FY19 marketing and fall 2018 enrollment.

### >>MEDIA MENTIONS

#### ***Publicity garnered outside of paid advertising***

**Mentions:** Instance in which a monitored keyword/phrase (such as an organization's name) appears in in an online media outlet such as a blog or online newspaper.

**Potential reach:** Refers to total number of individuals/households exposed to a particular medium (not specific pieces of content) in a measured timeframe. Reach does not guarantee page views. Total reach is a sum, meaning this number will be quite high.

*Data is collected for each university using the same software tool, Meltwater, to ensure consistent measurement systemwide. The MU News Bureau pulls data from Meltwater based on specified keywords. To pull media mentions for this report, common search terms were used related to each campus. Meltwater reports do not provide a comprehensive overview of all media mentions as local, regional and some national mentions might not appear in the search results. Non-digital stories (such as radio) also are not included. Additionally, Meltwater might pull content that is not relevant to the university. These numbers are meant to provide a snapshot of our work promoting UM System campuses in the media.*

## >>PERSONNEL

### **Relating to university staff dedicated to strategic communications and/or marketing**

Personnel considered are those who report through the central communication function of each university; does not include communication-related positions reporting through other departments or divisions. Total number of employees are counted on the last day of each quarter to account for differing start times. This is a quarterly figure and the yearly total will be an average of the quarters.

Staff number for University of Missouri-Columbia number pertains to the central MU Comms/Marketing team, not personnel who work in the joint Office of Strategic Communication and Marketing dedicated to serving the UM System central office.

## >>SOCIAL MEDIA

### **Digital platforms for publishing and sharing user-generated content**

**Meaningful engagements:** Users taking action beyond just viewing, for example liking, commenting and sharing social media posts.

Data is collected for each university using the same software tools to ensure consistent measurement systemwide.

**Instructions, Facebook Insights:** Look at the engagements for each post in the quarter and put those numbers into an Excel sheet. Once data has been entered, you can use Excel to determine the total number.

**Instructions, Twitter Analytics:** Search for each month to get the impressions and engagements for that month. Put engagements into Excel to easily get the total number.

## >>STUDENT

### **Related to the student body of the university; fall total headcount**

**Applications:** Number of unique entries submitted through application process; includes undergraduate and graduate applications.

**Enrollment:** Number of unique prospective students who have declared attendance.

Data consistent with enrollment management dashboard updated regularly for the president's office. UM System will pull from enrollment management dashboard.

## >>WEB

### **Collection of digital content identified by a common domain name**

**Unique pageviews:** Number of times a user views a webpage (~30 second window). This typically provides a more accurate account of real people visiting real webpages, minimizing "web noise" such as bots, web spiders, users' slow download speeds, etc.

**Homepage:** Main, introductory landing page of a website.

**Admissions page:** Landing page for admissions information; web addresses include "https://admissions.missouri.edu/apply/", "https://www.umkc.edu/apply/", "http://futurestudents.mst.edu/admissions/", "https://www.umsl.edu/admissions/applications.html".

Data is collected for each university using the same software tool, Google Analytics, to ensure consistent measurement systemwide. We are counting unique pageviews only, including both on-campus and off-campus traffic.







MIZZOU  
OUR TIME TO  
LEAD

# CAMPAIGN UPDATE

SEPTEMBER  
18

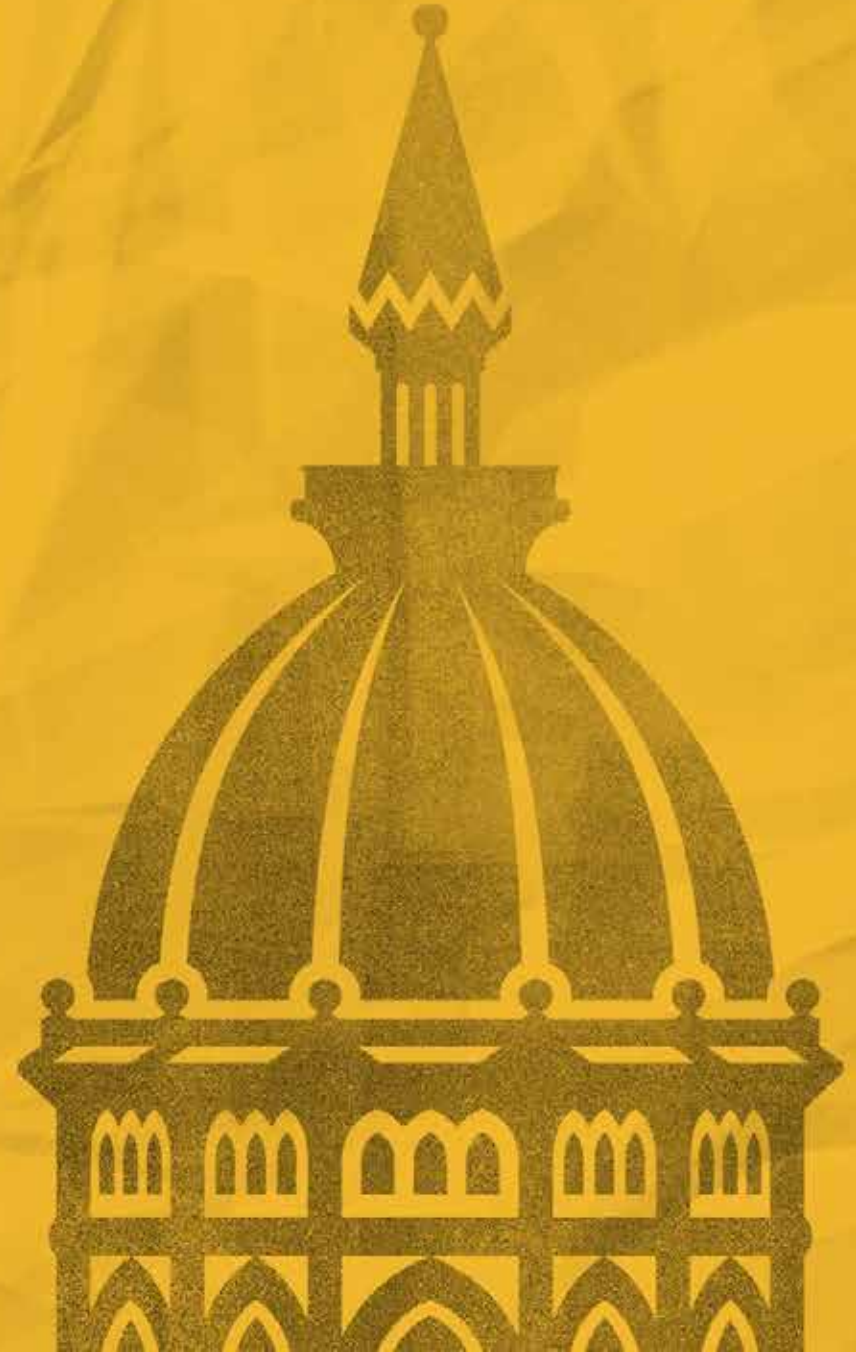
# Overview

- I. Campaign Update
- II. NextGen + Missouri Compact Scholarship Program



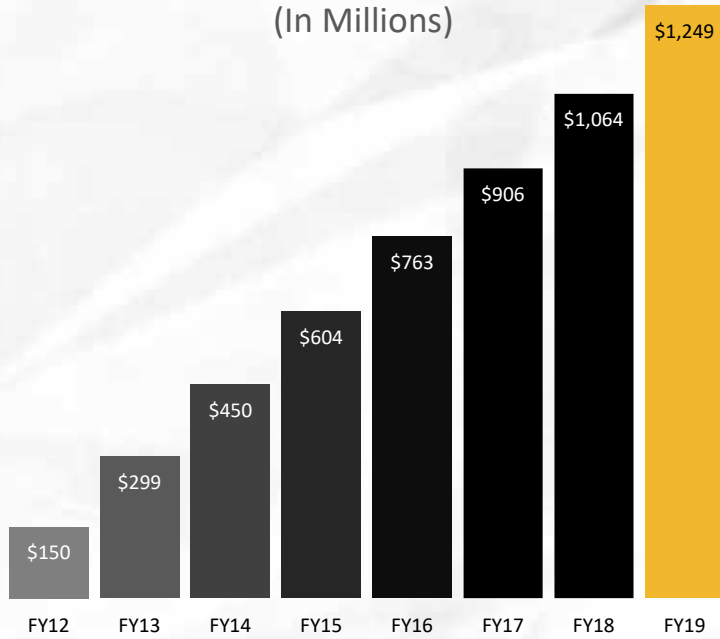
# Campaign Update

OPEN - EXT AFF M&A - INFO 2-3



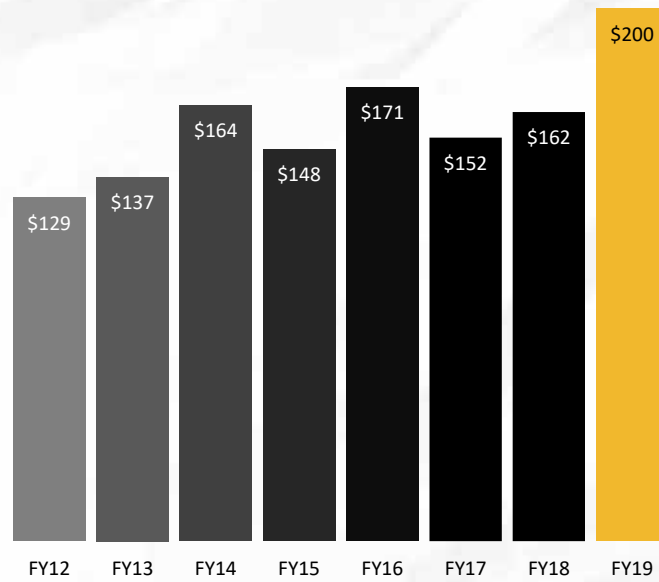
## Campaign Progress

(In Millions)

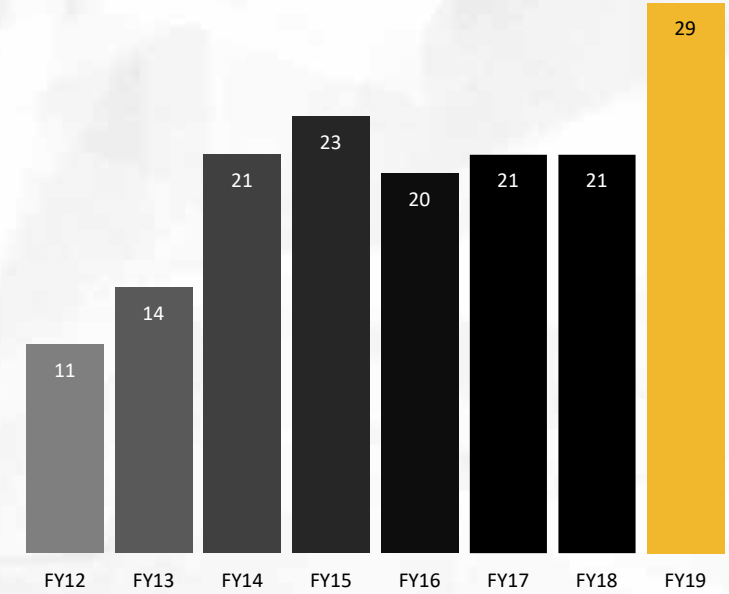


## Productivity

(In Millions)

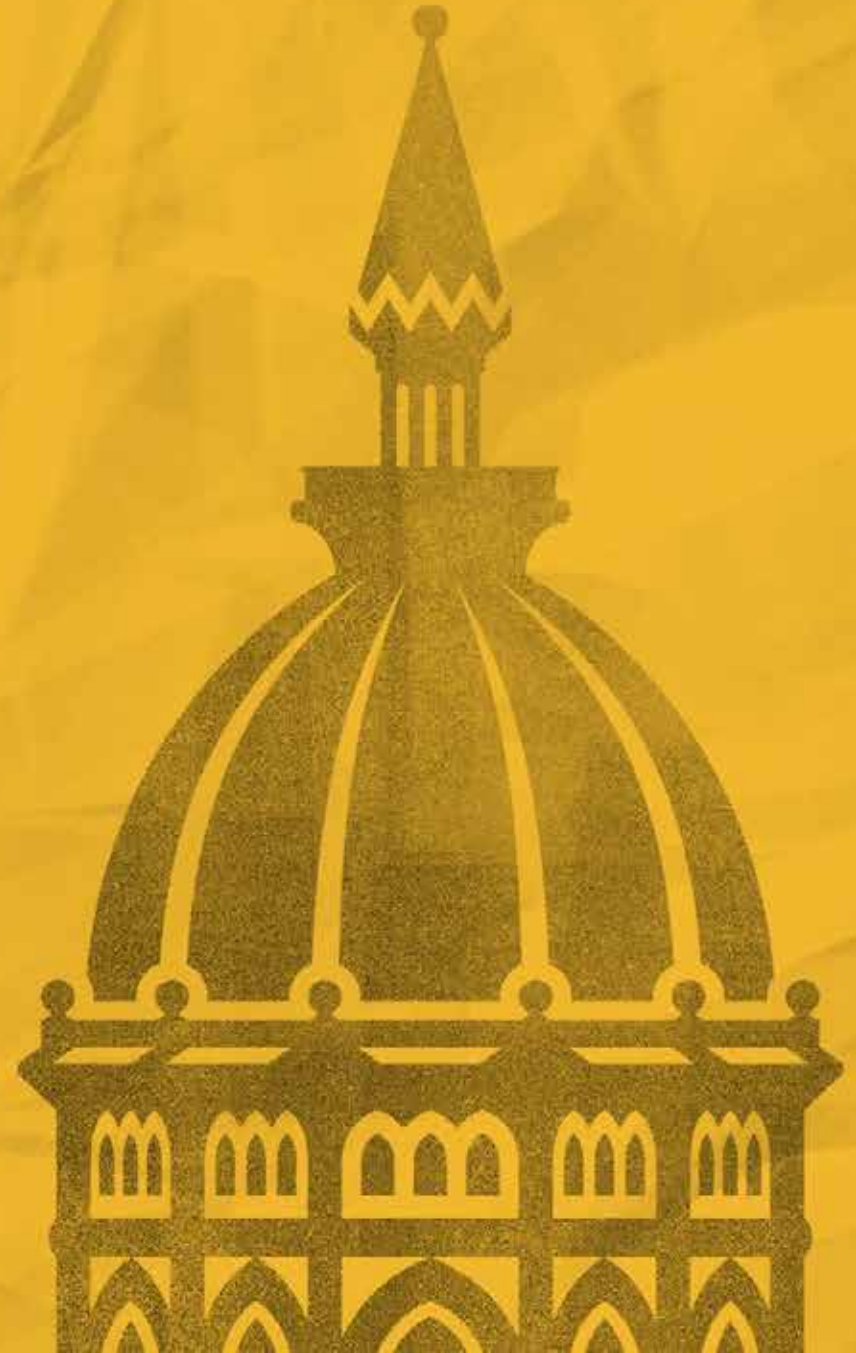


## \$1M+ Gifts



# NextGen + Missouri Compact Scholarship Program

OPEN - EXT AFF M&A - INFO 2-5



# NextGen Precision Health

## Planning Study

- Completed by GGA in October 2018
- Transforming healthcare and improving the quality of life overwhelmingly viewed as the primary objective that should be communicated – elevating MU stature and igniting public-private partnerships were distant 2nd's
- Best practice methodologies showed that a \$75 million goal for NextGen was ambitious, but not unattainable. However, raising this amount purely in support of the capital project will be challenging. GGA recommended that equipment, program support, and faculty and student support also be a part of the \$75 million goal
- Best practice would indicate that this goal would include a \$25 million lead gift – no prospect at this level was identified



# NextGen Precision Health

- **Current total prospects list: 115**
  - Corporate: 33
  - Individual: 82
  - 1M+ Prospects: 35
- **Total substantive engagement activity: 214**
  - Personal visits: 136
- **Current gift total: \$18,009,581\***
  - \*Gift total pending confirmation of new estate gift proceeds being used for NextGen cancer research activities.
- **Current proposed gifts outstanding total: \$8,500,000**
- **Soft verbal commitments: \$1,550,000**





# NextGen Precision Health

## Other Updates

- Leadership gift announcement set for October 11 (Homecoming Friday) in Jesse Hall
- Advancement is working to lead donor engagement with leadership for the President and Chancellor. Strategies are focused on \$1 million plus donors/corporations and very high net-worth aspirational prospects. The initial strategy meeting with both was on 8/26.

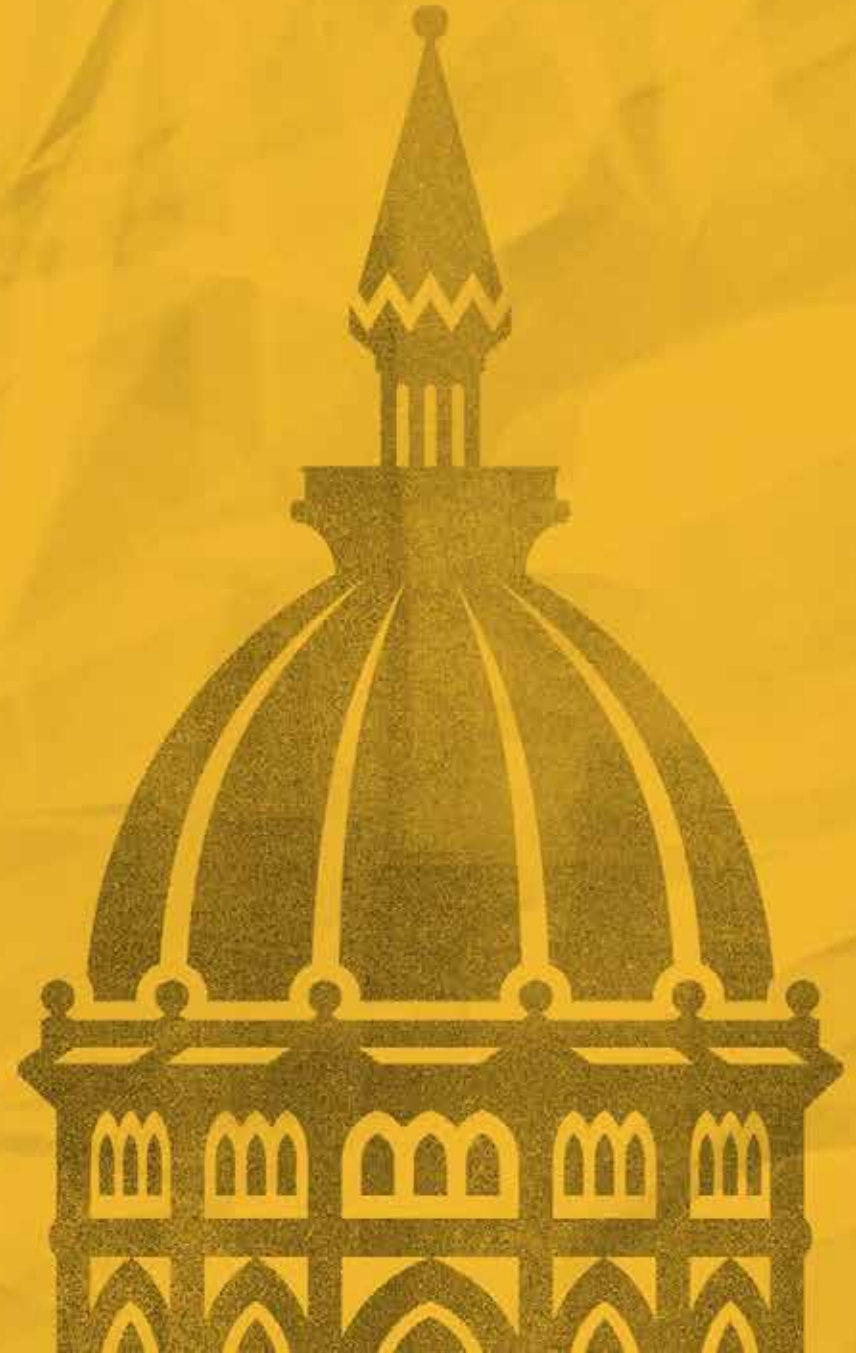


# Missouri Compact Scholarship Program

- **Compact provides matching support for Promise and Opportunity and Next Generation Merit Scholarships**
  - Promise and Opportunity are for Pell or Near-Pell eligible students
  - Next Generation Merit are for students eligible for admission to the Honors College
- **Cash & Pledges: \$23.7 million raised so far**
  - \$21M for Promise and Opportunity Scholarships (Need Based)
  - \$2.7M for Next Generation Merit Scholarships
- **Goal: \$96M**
  - \$72M for Need Based
  - \$24M for Merit Scholarships



# Questions?

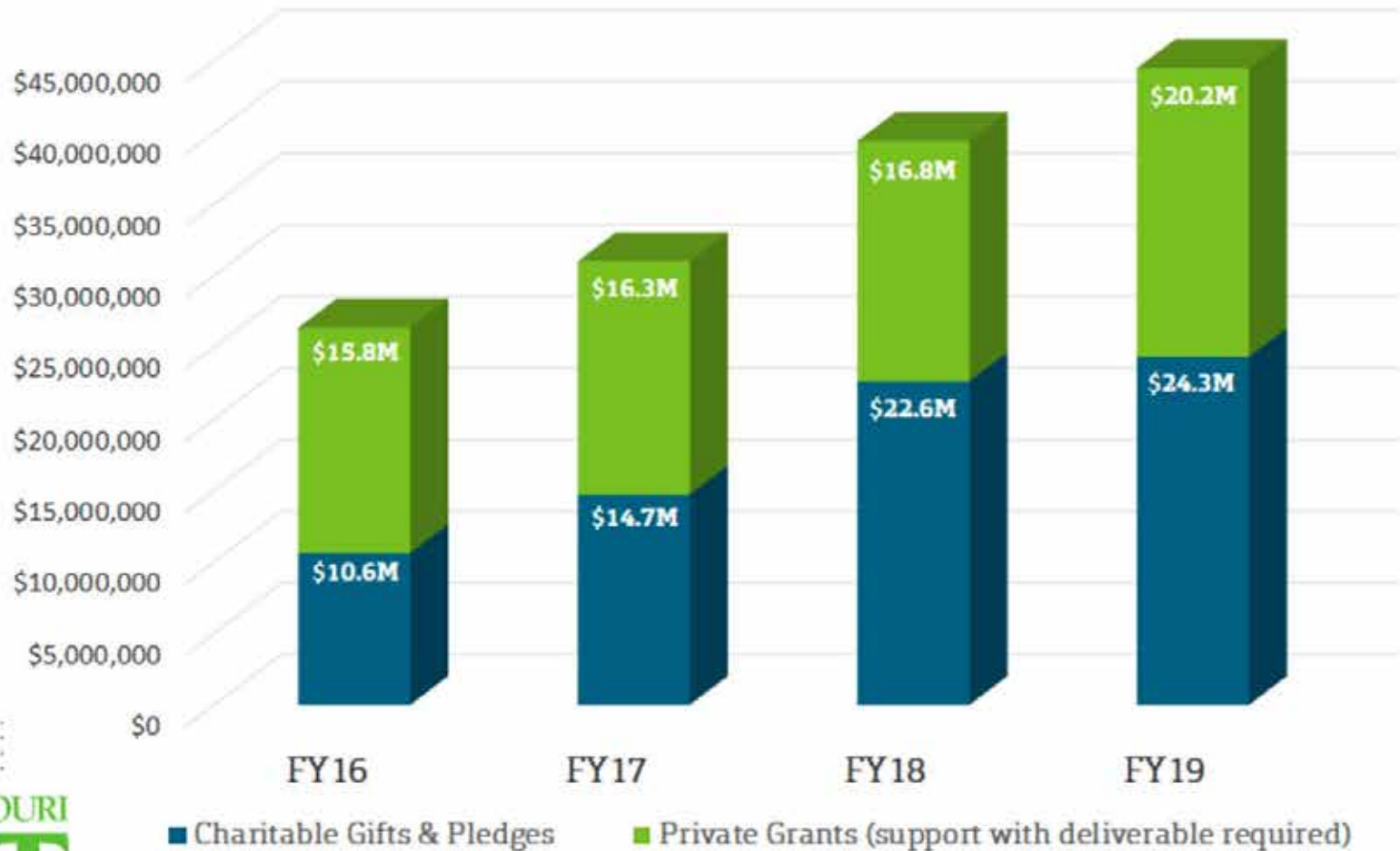


# Promise and Opportunity Scholarships & NextGen Precision Health Advancement Update

Wednesday, September 18, 2019



# TOTAL FUNDRAISING & GRANTS BY FISCAL YEAR



# PROMISE AND OPPORTUNITY SCHOLARSHIPS

## MINER MATCH

### MINER PROMISE SCHOLARSHIPS

These scholarships help meritorious students with need. Available to any Missouri resident in any degree field, the size of the award depends on academic credentials and unmet need, with preference given to Pell-eligible students. Funds are available for up to five years (10 semesters) of continuous enrollment and may be used for tuition and fees.

### FINISH LINE SCHOLARSHIPS

These scholarships are awarded to S&T students who are within two semesters of graduation but have financial need that is hindering their ability to complete their degrees. Students must be from Missouri and be Pell-eligible or near Pell-eligible to qualify. Funds may be used for tuition, housing or other expenses, and awards are available for no more than two semesters.

### FULL LOAD TO FINISH SCHOLARSHIPS

These scholarships offer Missouri students who are Pell-eligible or near Pell-eligible the opportunity to complete their degrees faster by increasing their course loads by two extra hours a semester. For example, students who are enrolled in 14 credit hours (the average at S&T), can take 16 hours for the price of 14, or students who are taking 16 credit hours may take 18 for the price of 16. Funds may be used for tuition only, and awards are available for up to five years (10 semesters) of continuous enrollment.

# MINER MATCH MARKETING

The Miner Match handout was distributed to **more than 600 donors.**

Miner Match was publicized to **65,000 alumni** in the S&T magazine.

MISSOURI  
S&T



## The Miner Match

Double your scholarship impact

Missouri S&T's greatest asset is our talented students. And their greatest need is scholarships. This life-changing support reduces the cost of tuition and fees students shoulder. And that means they can focus on learning, graduate with less debt, and realize the return on investment an S&T degree delivers.

With the Miner Match, you can increase your impact with a scholarship gift matched dollar for dollar by the University of Missouri System and Missouri S&T. By doubling every scholarship dollar you contribute, we can have an impact on student success as soon as possible.

### How can you make a difference?

The Miner Match is focused on helping students finish their degrees. Because the value of a degree is measured by how it performs after graduation, Missouri S&T starting salaries for new graduates are among the highest in the nation. Will you help talented Miner graduates and launch their careers by supporting the Miner Match?

MISSOURI  
S&T

# MINER MATCH – GIVING DAY 2019

MINER  
**GIVING DAY**

**04 24 19**

MISSOURI  
**S&T**

**24 hours** of non-stop philanthropy. All gifts supported the Finish Line Scholarships and were matched dollar for dollar by the UM System and Missouri S&T.



# GIVING DAY FUNDRAISING PROGRESS

## MINER GIVING DAY

04 24 19

Total raised: **\$356,630**

Total donors: **248**



# MINER MATCH FUNDRAISING PROGRESS

- **306** total donors ranging from \$1 to \$3.8M
- **\$6.1** million total raised

### Gifts Received



- Promise & Opportunity
- Next Generation Merit

### Donor Type



- Individuals
- Corporate Partners

# NEXTGEN PRECISION HEALTH UPDATE

## Internal activity:

- Provided extensive input on the production of the NextGen marketing materials
- Reviewing donor profiles to determine donor interest
- Collaborating with faculty to establish and/or expand possible donor connections:
  - Professor Corn's research partnership with Ozark Biomedical Initiative
  - Professor Glaser's, Ercal's, Wang's, Convertine's and Mochalin's research in the BioCURE initiative
  - Professor Brow's Glass Science and Technology Center initiative

# NEXTGEN PRECISION HEALTH UPDATE

## External activity:

- Collaborating with Mizzou on a 7-figure prospect
- Cultivating a second 7-figure prospect (international) on the project's goals and opportunities
- Engaging the Board of Trustees on the initiative
- Beginning to socialize donors on how our campus will be a part of the initiative and how we will expand our bioengineering footprint

# University of Missouri-St. Louis Advancement Update

Paul Herring, Vice Chancellor of Advancement



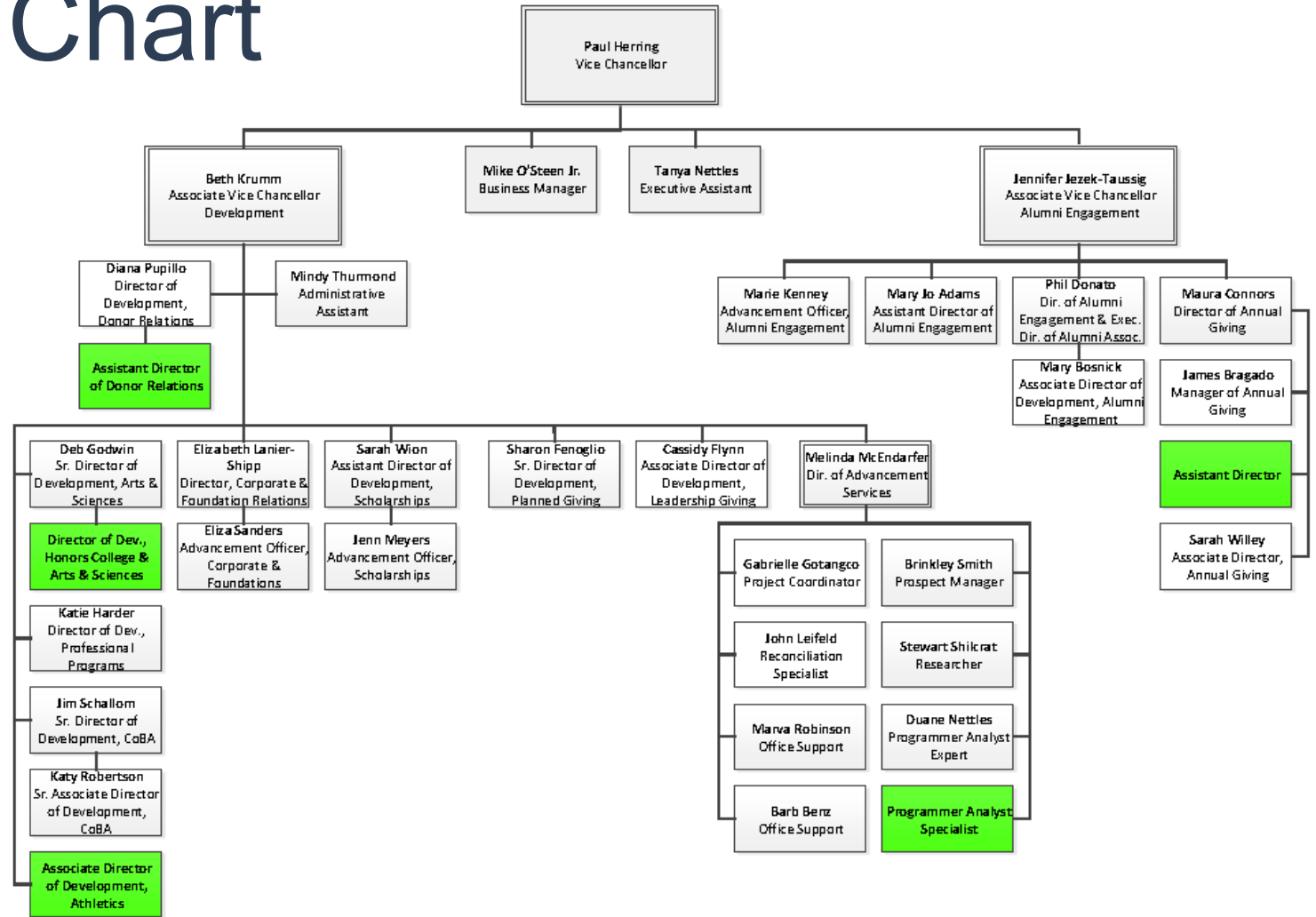
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# Organizational Chart

- University Development
- Advancement Services
- Alumni Engagement

## Not included:

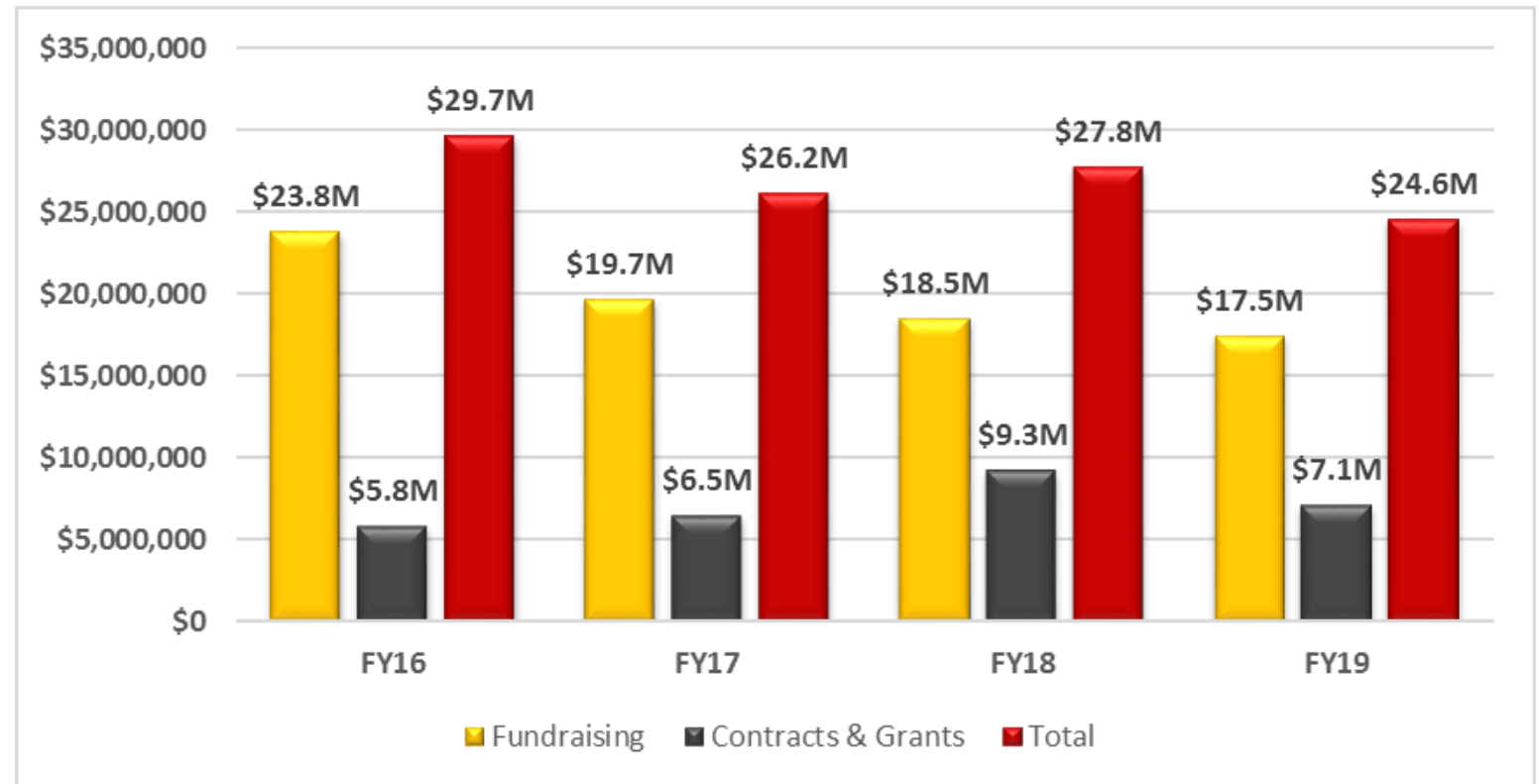
- Executive Events
- St. Louis Public Radio
- University Marketing and Communications



# Year-End Fundraising

- **FY19 Total Raised: \$24,629,878**

- Outright & Matching Gifts  
\$12,850,486
- Gifts in Kind  
\$293,480
- Pledges  
\$716,706
- Planned Gifts  
\$3,621,255
- Contracts & Grants  
\$7,147,949



# Promise and Opportunity Scholarship

- Annual Donor Giving
  - Pooled scholarships: one for Promise and Opportunity and one for Next Generation Merit (gifts of any amount will be matched)
  - College-specific allocations for: Arts and Sciences, Business Administration, Nursing, Education, Joint Engineering, Social Work and Honors College..
- Annual Scholarship Donor
  - Privately named annual scholarships: \$25,000
  - Must include either merit or need criteria
- Endowed Scholarship Donor
  - Privately named endowed scholarships: \$250,000
  - Match applied to distribution account during initiative

UNIVERSITY OF MISSOURI SYSTEM  
Missouri Compact Scholarship Initiative

**Double your support.  
Double your impact.**

**The power of an UMSL scholarship.**  
These invaluable gifts change lives. Your contribution helps break down barriers, advance dreams and allows students to focus on what matters most – the transformative educational experiences offered at UMSL.

**An unprecedented opportunity.**  
The Missouri Compact Scholarship Initiative is an unprecedented opportunity for donors to unlock matching funds totaling \$42 million.

**The choice is yours.**  
You choose whether your funds support need-based scholarships that increase access to UMSL degrees or help UMSL attract the best and brightest with merit-based scholarships. No matter your choice, now is the perfect time to maximize the impact of your generosity.

*"Because of your generous generosity, I will be able to graduate from the University of Missouri with a degree in my field. Without your contribution, many students would not be able to afford the graduate program. Your generous gifts will help me reach my dreams."*  
- Elizabeth, sociology student

**You can make a difference now!**

To take advantage of this extraordinary matching opportunity and double your impact, please contact:

**Sarah Wilson**  
Associate Director of Development, Scholarships  
wilson@missouri.edu | 314-916-5665

**UMSL**  
University of Missouri System  
1 University Boulevard / St. Louis, MO 63101-4400 / umsl.edu

ANNUAL GIVING	ENDOWED SCHOLARSHIP
Your Gift: \$25,000	Your Gift: \$250,000 and interest
UMSL Match: \$25,000	UMSL Match: \$5,000 per year
UM System Match: \$25,000	UM System Match: \$5,000 per year
<b>Total Support: \$75,000</b>	<b>Total Support: \$350,000 per year</b>

**We transform LIVES**



# Promise and Opportunity Scholarship

through July 31, 2019

- Annual/Immediately Expendable Scholarships
  - Includes pooled funds referenced in Annual Donor Giving
  - Total contributions: \$512,436.91
  - 97 donors
  - Largest gift: \$300,000
- Endowed Scholarships
  - Total contributions: \$981,728.72
  - 47 donors
  - Largest gift: \$281,000



# Annual Giving Rate / Call Center Data

- Alumni Giving Rate (92,951 active alumni contacts)
  - FY19: 6.1%
  - FY18: 5.8%
  - The median alumni participation rate for public universities in the United States is 5%

- Triton Telefund

	FY18	FY19	% INCREASE
Calling Hours	2,571	4,465	74%
Attempts	126,862	261,874	106%
Completion Rate	8%	15%	7%
Pledge Rate	19%	25%	6%
Pledges/Gifts	1,293	2,141	66%
Average Pledge	\$70.01	\$85.78	23%
Total Raised	\$91,535.64	\$187,575.15	105%
Total Fulfilled	\$39,746.89	\$70,538.15	77%
Fulfillment Rate	44%	47%	3%

# NextGen Precision Health Updates

- Publish original content that can be shared and repurposed across channels – including features and social media
- NextGen launch and Strategic Research Investments
- Identifying faculty and researchers connected to initiative.
- Collaborated on the 24-page NextGen Case Statement
- Frequent check-ins and meetings with cross-university advancement staff.



UMSL chemists to receive funding for projects as part of UM System's \$20.5M research investment



From left to right, UMSL distinguished professor of chemistry and biochemistry is being a project to establish the departmental laboratory, which will be used to conduct research on the chemical synthesis, synthesis and production of novel drugs. It is one of 10 research projects which received funding as part of the University of Missouri System's \$20.5 million investment in research and creative work.

University of Missouri-St. Louis chemistry and biochemistry professor Cynthia Dugan and Steven Demchenko are leading two of the projects receiving support from the University of Missouri System as part of a \$20.5 million investment in research and creative work.

## Precision Health Initiative UMSL Faculty Leads

### Cancer Working Group

George Gokel, Distinguished Professor of Science and Director of UMSL's Center for Nanoscience

### Vascular Working Group

Keith Stine, Professor of Chemistry, UMSL Department of Chemistry and Biochemistry

### Neurological Working Group

Robert Paul, Professor and Director of the Missouri Institute of Mental Health

Jodi Heaps-Woodruff, Assistant Research Professor, Missouri Institute of Mental Health



# UMKC Update

## Lisa Baronio

September 18, 2019

**Board of Directors**  
 UMKC Foundation

**Lisa Baronio – President/Chief Advancement Officer**  
 UMKC Foundation/UMKC

**Jeff Chapman**  
 Assistant Vice President  
**Henry W. Bloch**  
 School of Management  
*Graduate Studies*  
*Honors College*  
*Planned Giving*  
*Corporate Relations*

Alfredo Garcia  
 Henry W. Bloch School  
 of Management

Kirk Baughan  
 School of Law

Logan Cheney  
 Director of  
 Annual Giving

Call Center  
 Manager

**Jennifer Ingraham**  
 Assistant Vice President  
**University Libraries**  
*Diversity & Inclusion*  
*Student Affairs*  
*Foundation Relations*  
*& ORS Liaison*

Jason Elliott  
 College of Arts  
 and Sciences

Elizabeth Wheeler  
 School of  
 Computing and  
 Engineering

Mark Mattison  
 UMKC  
 Conservatory

Shelly Doucet  
 School of Education

Jen Kiper  
 Manager of Prospect  
 Development

Abbey Reinhardt  
 Prospect Research  
 Analyst

**Jay Wilson**  
 Assistant Vice President  
**School of Medicine**  
*School of Biological & Chemical Sciences*  
*School of Nursing & Health Studies*  
*School of Pharmacy*  
*UMKC Research Foundation*  
*Athletics*

Hilary Wheat  
 School of  
 Dentistry

Health Sciences

**Katherine Walter**  
 Director of Operations

Director of Donor  
 Relations and  
 Communications

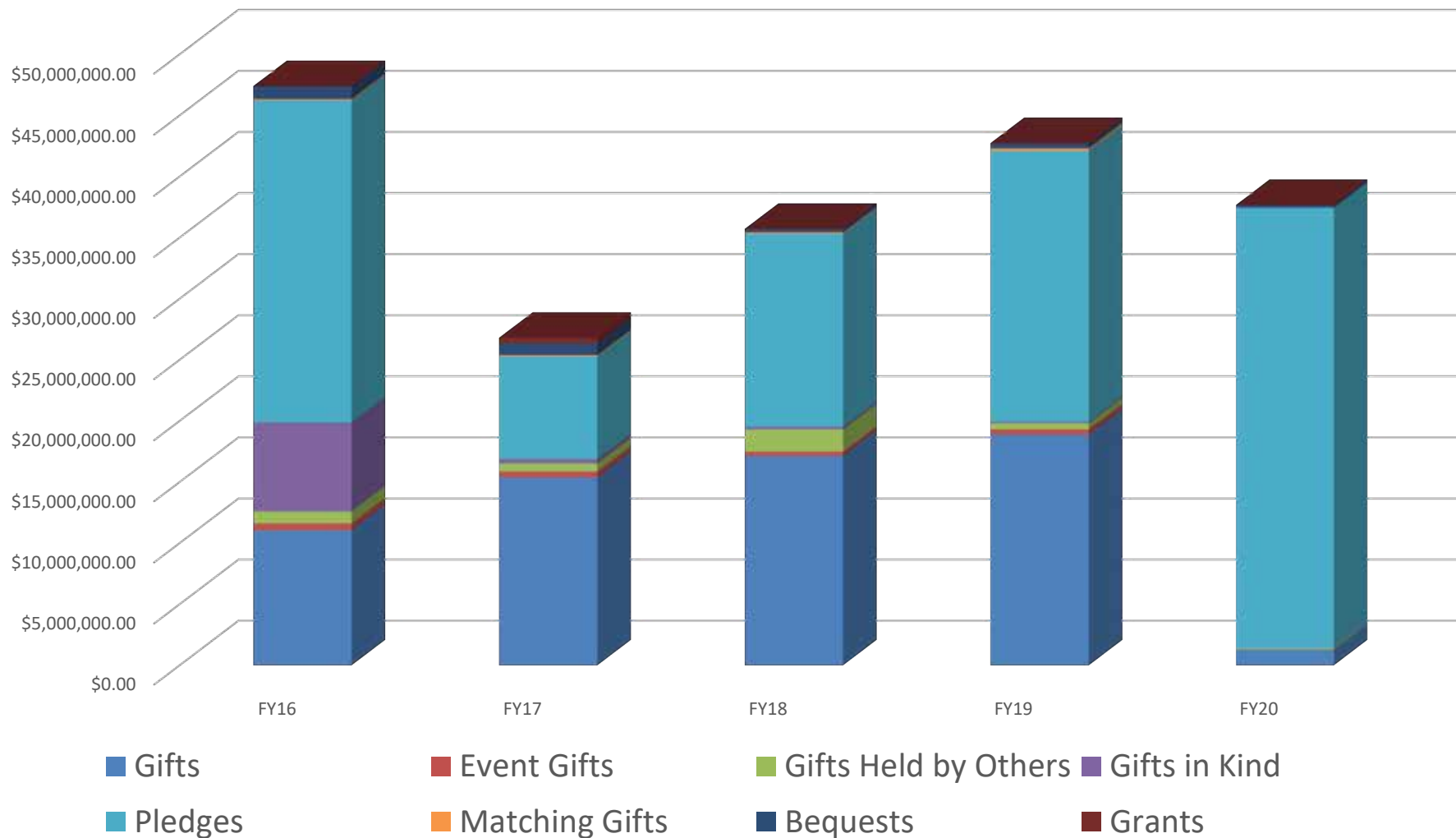
Shannan Henderson  
 Donor Relations  
 Specialist

Stephanie Hubers  
 Executive Assistant

Danny Baker &  
 David Fulk  
 KCUR

Kansas City  
 Repertory  
 Theatre

# UMKC Foundation Total Fundraising Productivity



# UMKC Foundation Fundraising

Fiscal Year	Full-Time Fundraisers	Total Amount Raised	Average per Fundraiser
FY16	12.5	\$47,031,625.01	\$3,762,530.00
FY17	12.5	\$30,230,893.88	\$2,418,471.51
FY18	10.5	\$40,959,424.20	\$3,900,897.54
FY19	10.5	\$43,577,984.87	\$4,150,284.27
FY20	11.5	\$38,025,348.48	\$3,306,552.04

*\*Total amount raised as reported out to President Choi's Office for the respective fiscal year end*

# Compact Scholars Match

- The Bloch Scholars - \$3.2 million for Promise & Opportunity scholarships, and \$2 million for Next Generation Merit scholarships
- The Marion and Henry Bloch Foundation and H&R Block Foundation also contributed \$4.8M to establish the “UMKC Bloch Launchpad/Promise and Opportunity Scholars” Fund and the “UMKC Bloch Launchpad/Next Generation Merit Scholars” Fund
- Kansas City Scholars, Inc. - \$10 million



# Promise and Opportunity

- Two additional donors
- \$100,000 support of Institute for Urban Education

# NextGen Precision Health – UMKC Update 2018

- June 18, 2018: NextGen leadership briefing teleconference (8 attendees)
- June 28, 2018: Kansas City leadership briefing (16 attendees)
- July-October 2018: Grenzebach, Glier & Associates conducts NextGen fundraising feasibility study interviewing 32 participants/prospects
- October 26, 2018: Feasibility study completed

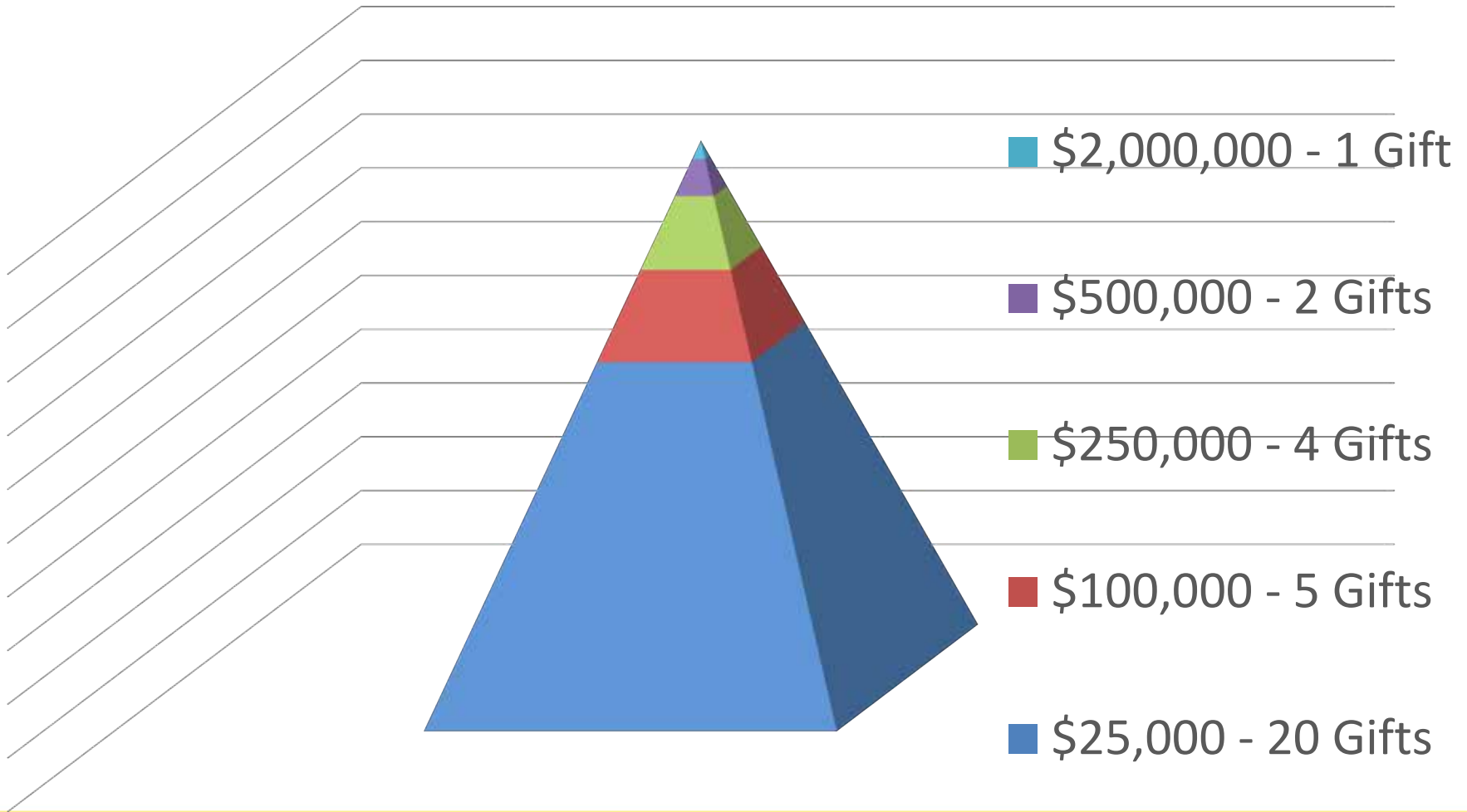
# NextGen Precision Health – UMKC Update 2019

- 1/8/19: Meeting with Donor Prospect (5 attendees)
- 5/9/19: Meeting with Donor Prospect (13 attendees)
- 8/8/19: Matching opportunity created by UMSys for NextGen Data Analytics Center – shared by UMKC and Mizzou
- 9/1/19: Donor Pyramid created
- 9/5/19: President Choi invited to speak at Foundation Dinner to share impact of NextGen Data Analytics on student academic experience (schedule changed unable to attend)

# NextGen Precision Health – UMKC Update 2019

- 9/30 – 10/2: Roundtable Discussions (2-3) and Individual Meetings with 3-4 prospects for President Choi and Chancellor Agrawal
- 9/30: NextGen Data Analytics Project defined in detail identifying shared fundraising with Mizzou
- 10/31: Needs identified for Data Analytics Project
- 10/31: Steering Committee Identified
- 11/15: Impact Statements Created
- 11/30: Steering Committee Secured
- 1/15: First Meeting of Steering Committee

# UMKC Donor Pyramid



# UMKC Foundation ROI

## Fiscal Year 2019

$$\frac{\text{Total Fundraising } \$43.5\text{M}}{\text{Investment } \$3.5\text{M}} = \$12.55$$

For every dollar invested, **\$12.55** is returned to the university.

# **HEALTH AFFAIRS**

# University of Missouri



## Board of Curators

### Health Affairs Committee Meeting

Wednesday, September 18, 2019  
1:00 P.M.

This Board Committee Meeting is being held in conjunction with the September 26, 2019 Board Meeting.

Originating from Missouri Orthopaedic Institute, Rooms 2252 & 2257, Columbia, Missouri and at remote locations via conference telephone.

### AGENDA

#### **PUBLIC SESSION – 1:00 P.M.**

Call to Order – Chair Graham

#### Action

1. Resolution for Executive Session

#### **EXECUTIVE SESSION – 1:05 P.M.**

#### **1:05 P.M. HEALTH AFFAIRS COMMITTEE MEETING – EXECUTIVE SESSION**

(time is approximate)

Location: Missouri Orthopaedic Institute, Rooms 2252 & 2257, Columbia, MO

The Health Affairs Committee will hold an executive session of the September 18, 2019 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.



**PUBLIC SESSION – 2:00 P.M.**

(time is approximate)

Information

1. MU Health Care Chief Executive Officer and School of Medicine Interim Dean Update (Jonathan Curtright and Interim Dean Zweig)
2. Update on Executive Vice Chancellor position
3. Quarterly Financial Update (Michael Blair)
4. Compliance and Corporate Integrity Agreement Report (Jennifer May)

Action

2. Resolution, Corporate Integrity Agreement for Health Affairs Committee Members
3. Minutes Approval, June 12, 2019 Health Affairs Committee Meeting

Recess

No. 1

Recommended Action – Resolution for Executive Session of the Board of Curators Health Affairs Committee Meeting, September 18, 2019

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 18, 2019 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 Snowden  
Curator Steelman

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



# Health Care

**Health Affairs Committee**

Sept. 18, 2019

# Health Affairs Committee Agenda

- **Academic Health Center Strategic Plan**
- **Making a Distinct Impact (Reputation)**
- **Growing our Ability to Serve (Reach)**
- **Aligning our Capabilities (Resources)**
- **Concluding Thoughts**

# Academic Health System Strategic Plan

## Anchored by three strategic objectives

Improve Health within the Region, State, and Nation		
Reputation	Reach	Resources
<b>Make a Distinct Impact</b>	<b>Grow Our Ability to Serve</b>	<b>Align MU's Health Capabilities</b>
<ul style="list-style-type: none"><li>• Advance health discovery and innovation</li><li>• Enhance prominence in academic medicine</li></ul>	<ul style="list-style-type: none"><li>• Serve more of Missouri's clinical needs</li><li>• Grow MU Health's research enterprise in specific areas</li><li>• Develop exceptional health professionals</li></ul>	<ul style="list-style-type: none"><li>• Develop and promote an increased shared utilization of resources</li><li>• Align resources to increase cross-campus collaboration</li></ul>



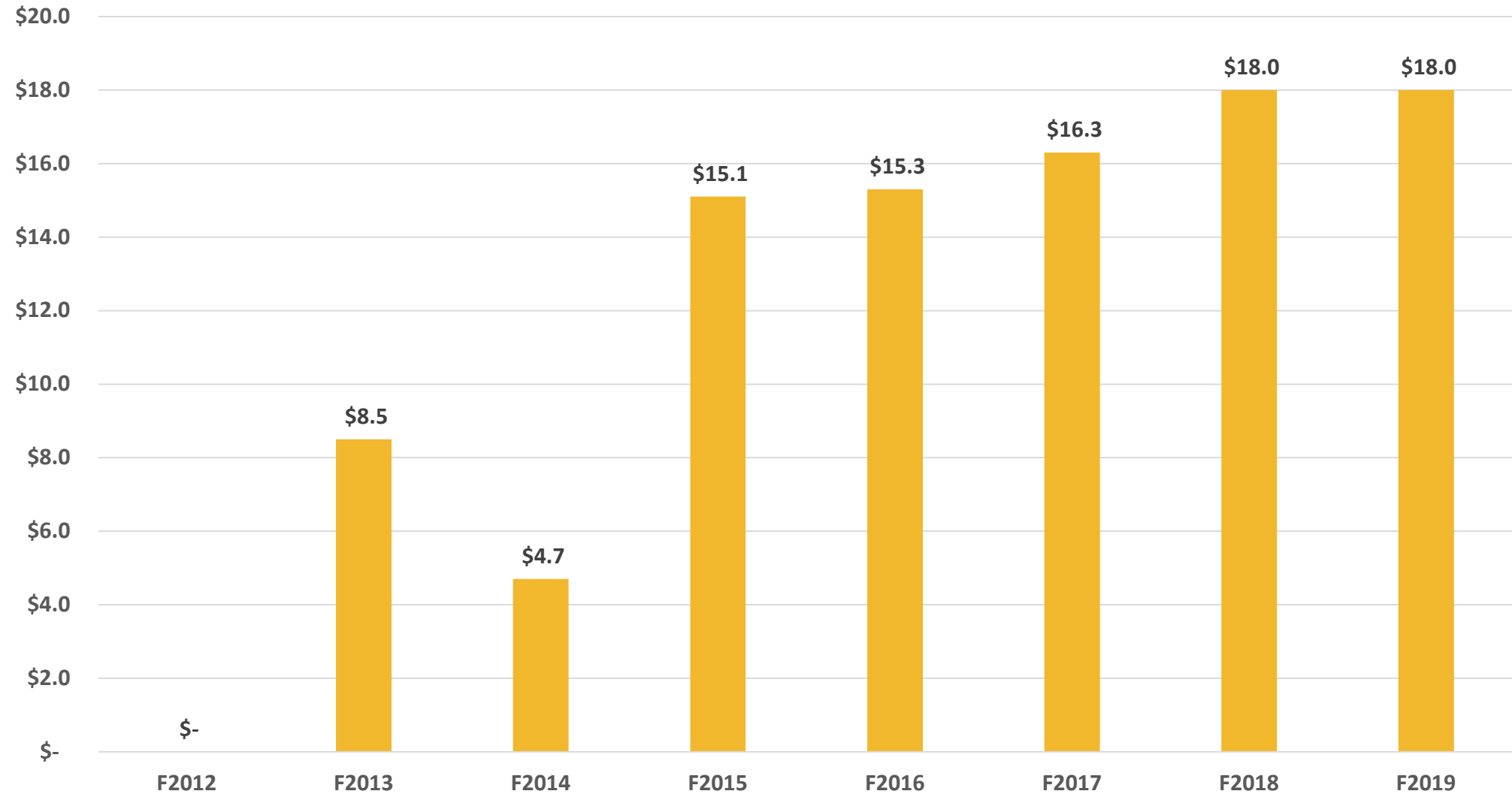
# **Making a Distinct Impact (Reputation)**

# NextGen

## PRECISION HEALTH Institute



# Supporting the School of Medicine





# Strategic partnerships



## Alliance for Precision Health

Siemens Healthineers

University of Missouri System

MU Health Care

# Sinclair School of Nursing



- **Providing additional \$3 million for new building**
- **\$6 million in total support in two years**

# Ellis Fischel Cancer Center

THE UNIVERSITY OF TEXAS

**MD Anderson**  
~~Cancer Center~~<sup>®</sup>



# Goldschmidt

**CANCER CENTER**

*Capital Region Medical Center*



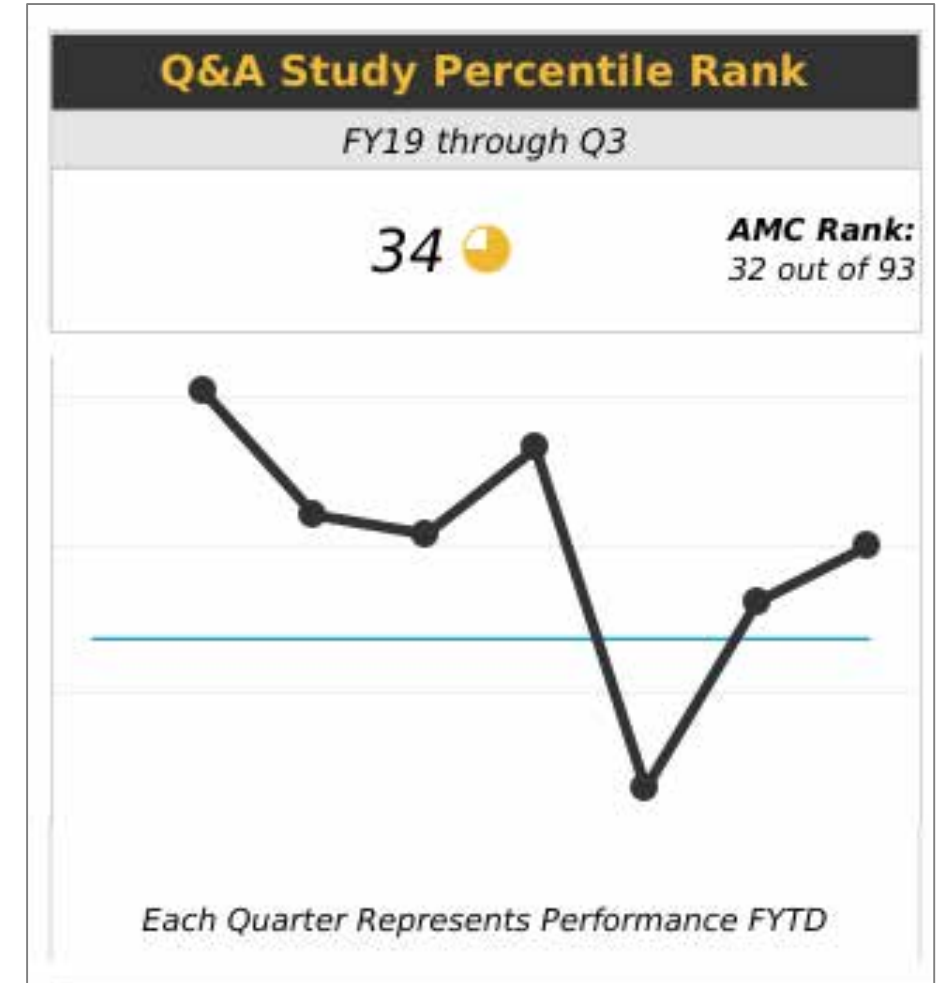
# Tiered huddles



- Tiered huddles help **improve safety, the patient experience, quality of care** and more.
  - Tier 1, at or before 9:30 a.m.: Local huddles
  - Tier 2, at or before 10 a.m.: Facility-based huddles
  - Tier 3, 10:30 a.m.: Executive huddles

# Quality and patient safety

- 12 performance improvement teams launched in February
- Three FY19 teams have **moved to monitoring** (major bowel, perioperative respiratory failure, COPD)
- New provider documentation team
- 18 of 32 conditions rank in **top half** of Vizient AMCs



# Patient experience

- Scores nearing **record high** levels in majority of our environments
- Seeing **continued improvement** across the board, building strong relationships with our patients
- Among the 400 academic hospitals across the country, we're in **top quartile** in inpatient satisfaction

		June 2019	FY19
Patient Experience	Inpatient NPS ▲	79.8 N=287	Goal: 77.5 Var.: 2.2 (2.9%) 74.3 N=3,236
	Emergency Department NPS ▲	56.4 N=289	Goal: 50.9 Var.: 5.5 (10.8%) 50.2 N=2,687
	Outpatient NPS ▲	83.1 1,187	Goal: 0.0 Var.: 83.1 ( ) Prior YTD: Δ: ( )
	Outpatient Clinics Percentile Rank ▲	39.0	Goal: 37.0 Var.: 2.0 (5.4%) 33.0



# **Growing our Ability to Serve (Reach)**

# Positioning ourselves for the future

- Identified **\$20M** in cost efficiencies
- **Not a one-time initiative** – this is how we will operate
- Targeting consistent operating income of **\$100M**
- Investing in ourselves for **future growth**
- We **achieved** this target in FY19





# Facilities enhancements



## Bottom Line

- 29 hospital beds coming online
- 12 Emergency Department rooms
- 12 exam rooms for Urgent Care
- 6 operating rooms
- 34 pre-/post-rooms
- CT scanner at MOI

## Outcomes

- **\$45M-\$50M** of capital investments
- Allows **3% growth** in discharges



# **Aligning our Capabilities (Resources)**

# Leadership updates



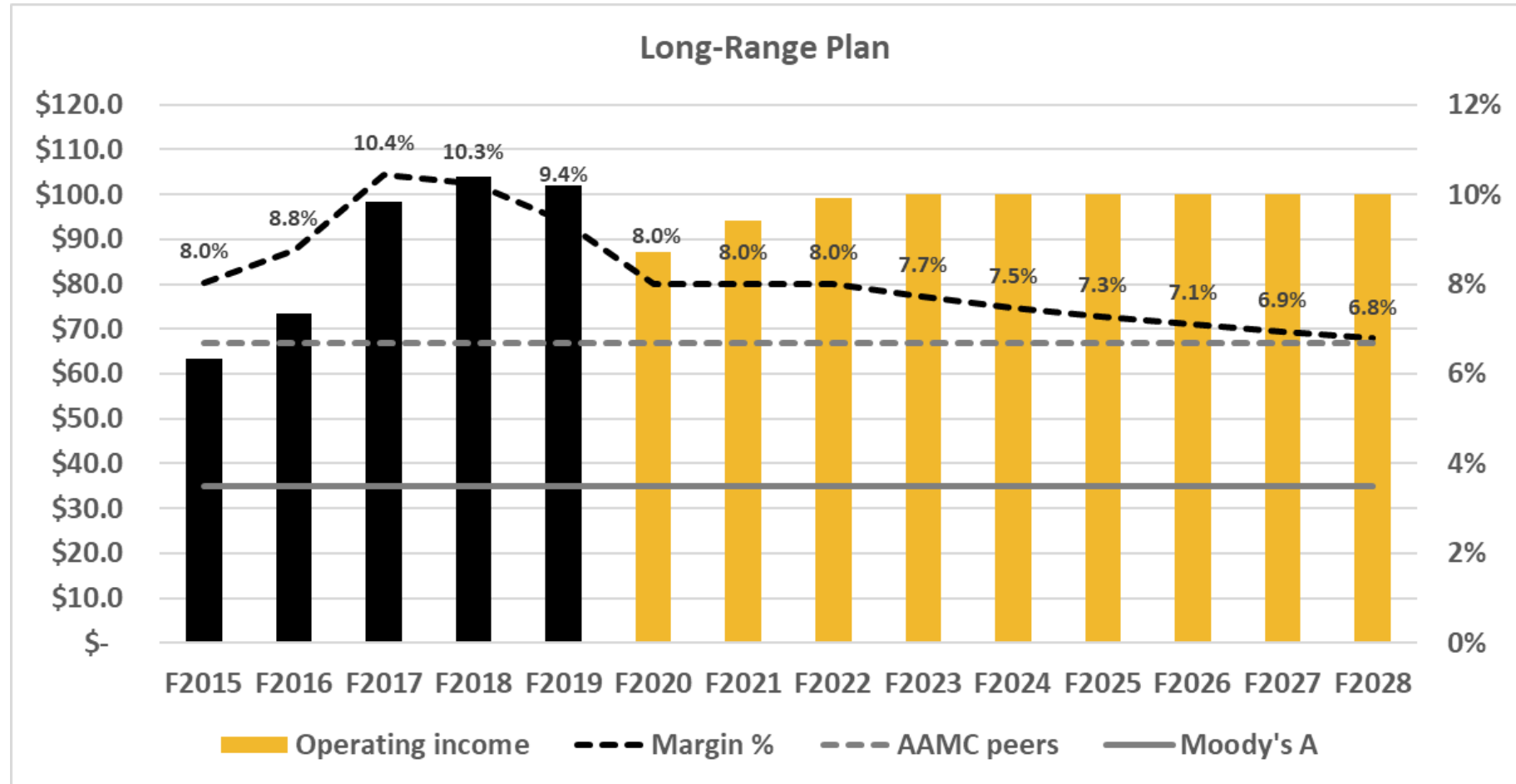
**Interim chief  
financial officer**

**Kay Davis, RN,  
MA, EdD**

- Executive director of revenue cycle and care management
- 31 years of service with the university
- Replacing Mike Blair, who is returning to Minnesota to serve as CFO of CentraCare

# Long-range financial targets

- Targeted a long-term annual operating income of **\$100M**
- Operating margins expected to exceed Moody's A rated medians, normalize to AAMC peer medians over planning horizon



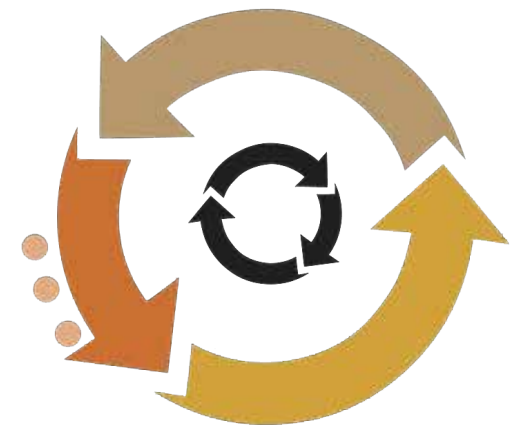
Operating margins stated before financing costs, financing costs represent approximately 1% of total operating revenue; Moody's A rated medians after financing costs are 2.3%

# Tiger Institute

# TIGER INSTITUTE

FOR HEALTH INNOVATION

*University of Missouri*



REVENUE CYCLE  
CONVERSION

OPEN - HEALTH AFF - INFO 1-19

OUR MISSION  
TO SAVE AND IMPROVE LIVES.

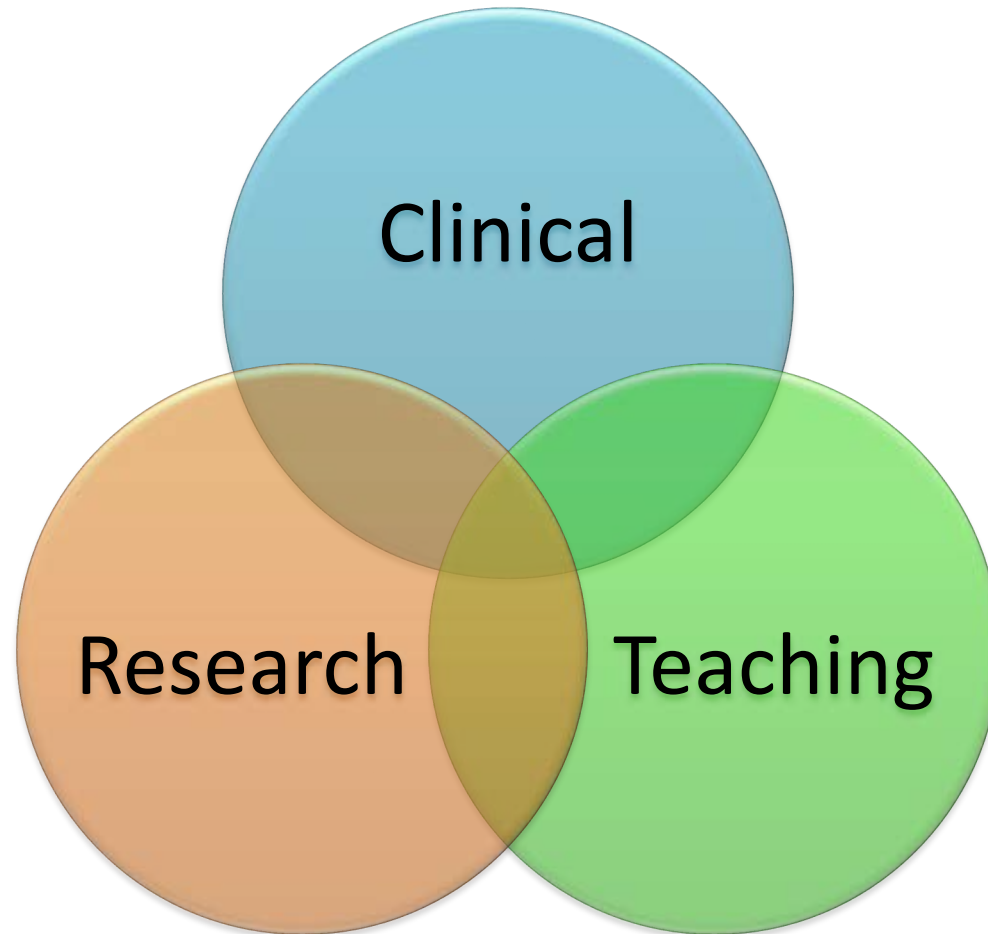
 Health Care



# School of Medicine

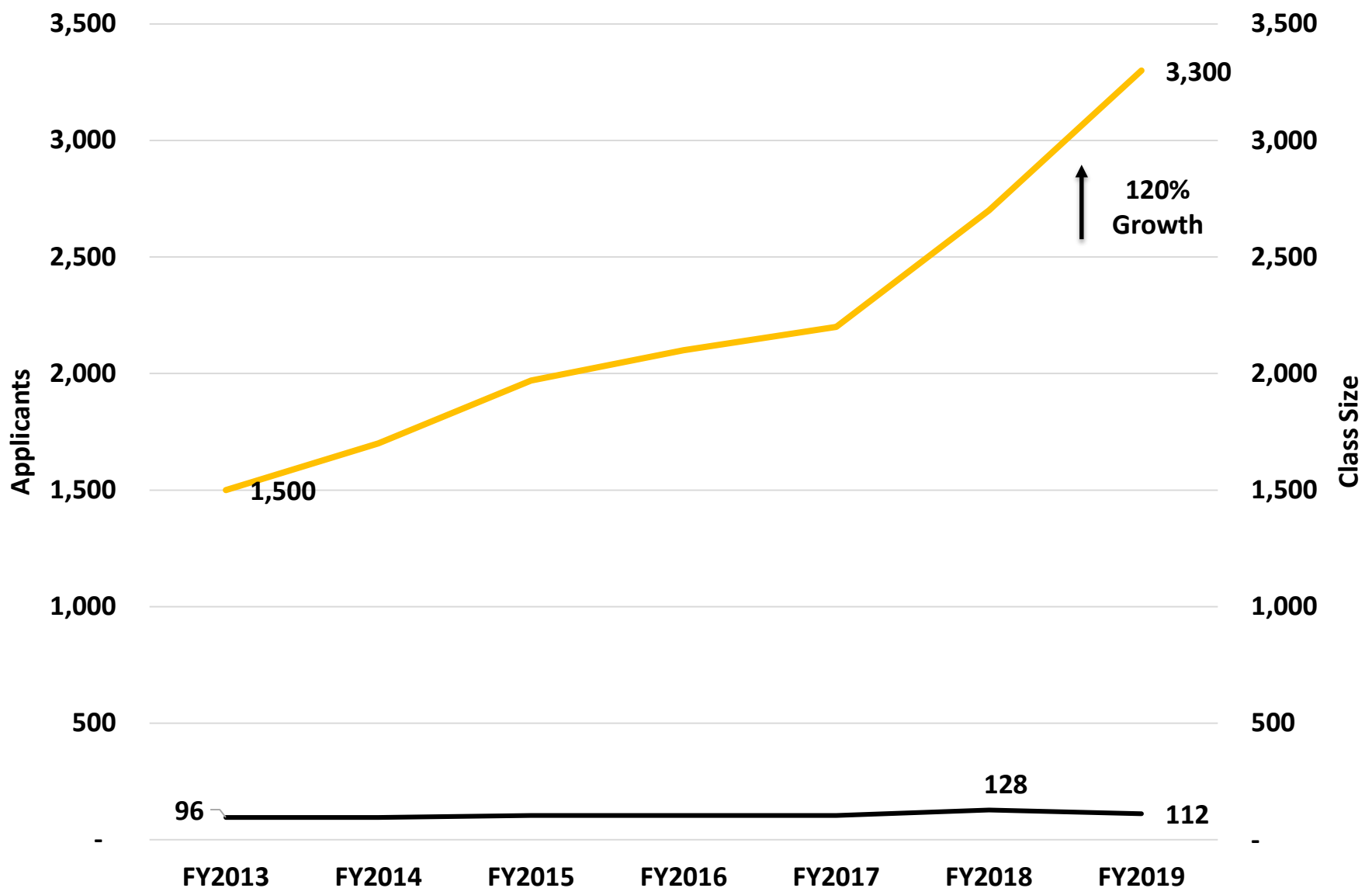
*University of Missouri Health*

**Board of Curators Health Affairs Committee  
September 2019**





# Medical Degrees' Supply & Demand





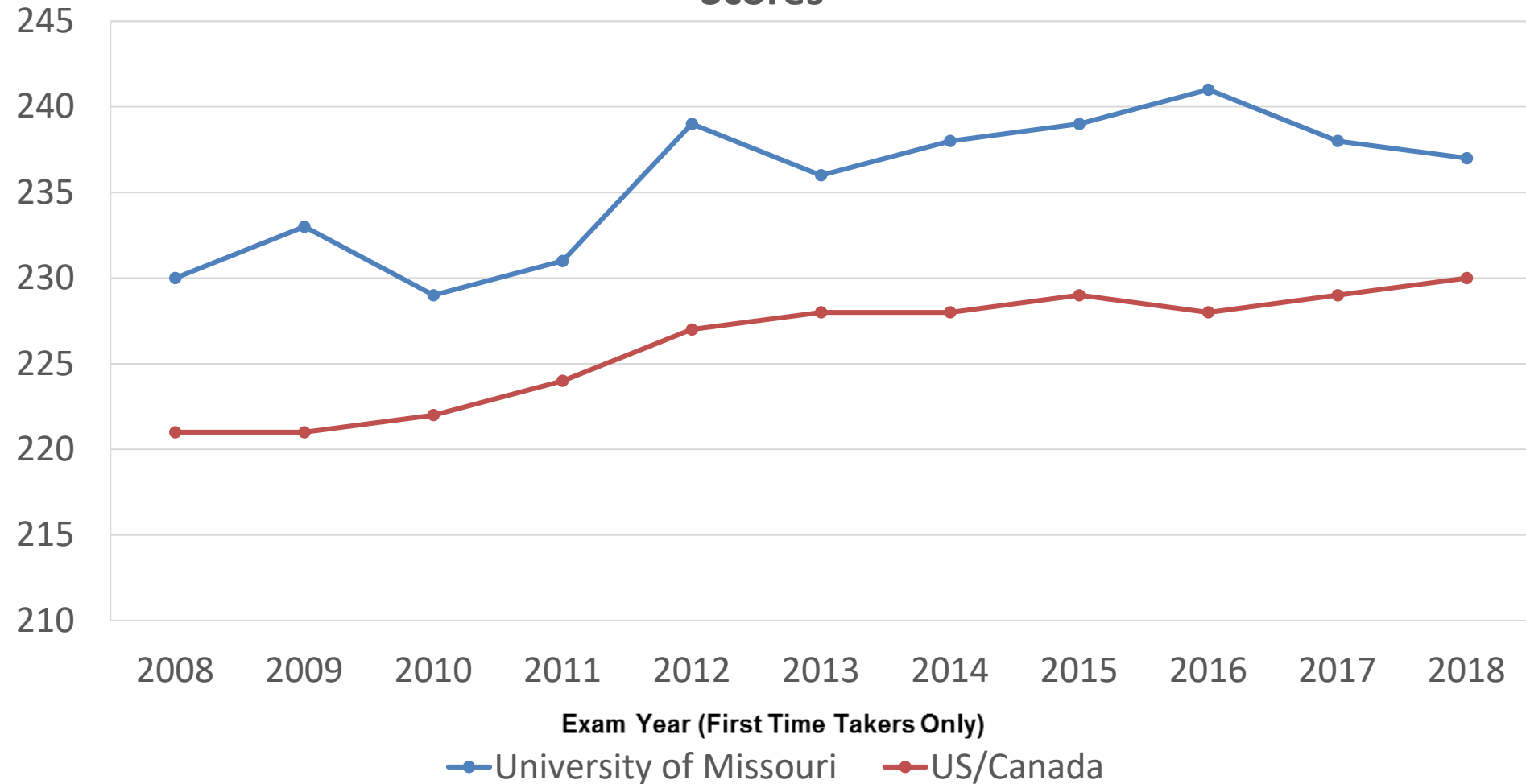
- About 3,400 applications for 112 positions. Expand to 128 for 2020
- Admit about 15 percent out-of-state students
- National application process that includes a personal statement, letters of recommendation, GPA, MCAT
- Screened and invitation to interview
- More than GPA and MCAT scores, we look for commitment to service, balanced life experiences and diversity
- Selection by the Faculty Admissions Committee



- 112 students
- 59 women and 53 men
- Average science GPA 3.7
- Total GPA 3.75
- Average MCAT 509
- 22% from socioeconomically disadvantaged backgrounds
- 34% self-identify as ethnic minorities
- 17% self-identify as underrepresented minorities

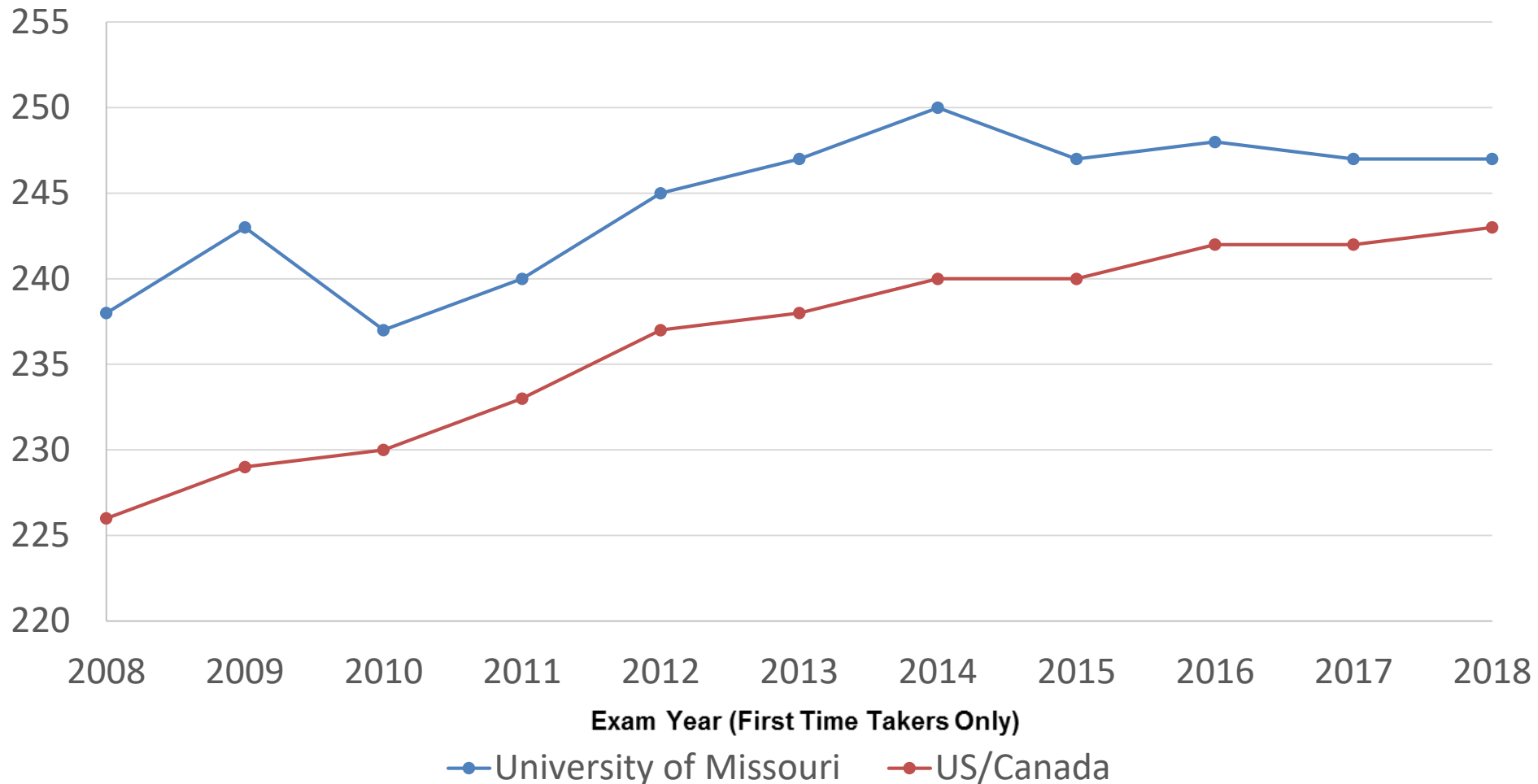


## US/Canada and the University of Missouri USMLE Step 1 Scores





## US/Canada and the University of Missouri USMLE Step 2 (Clinical knowledge) Scores





## Conclusions

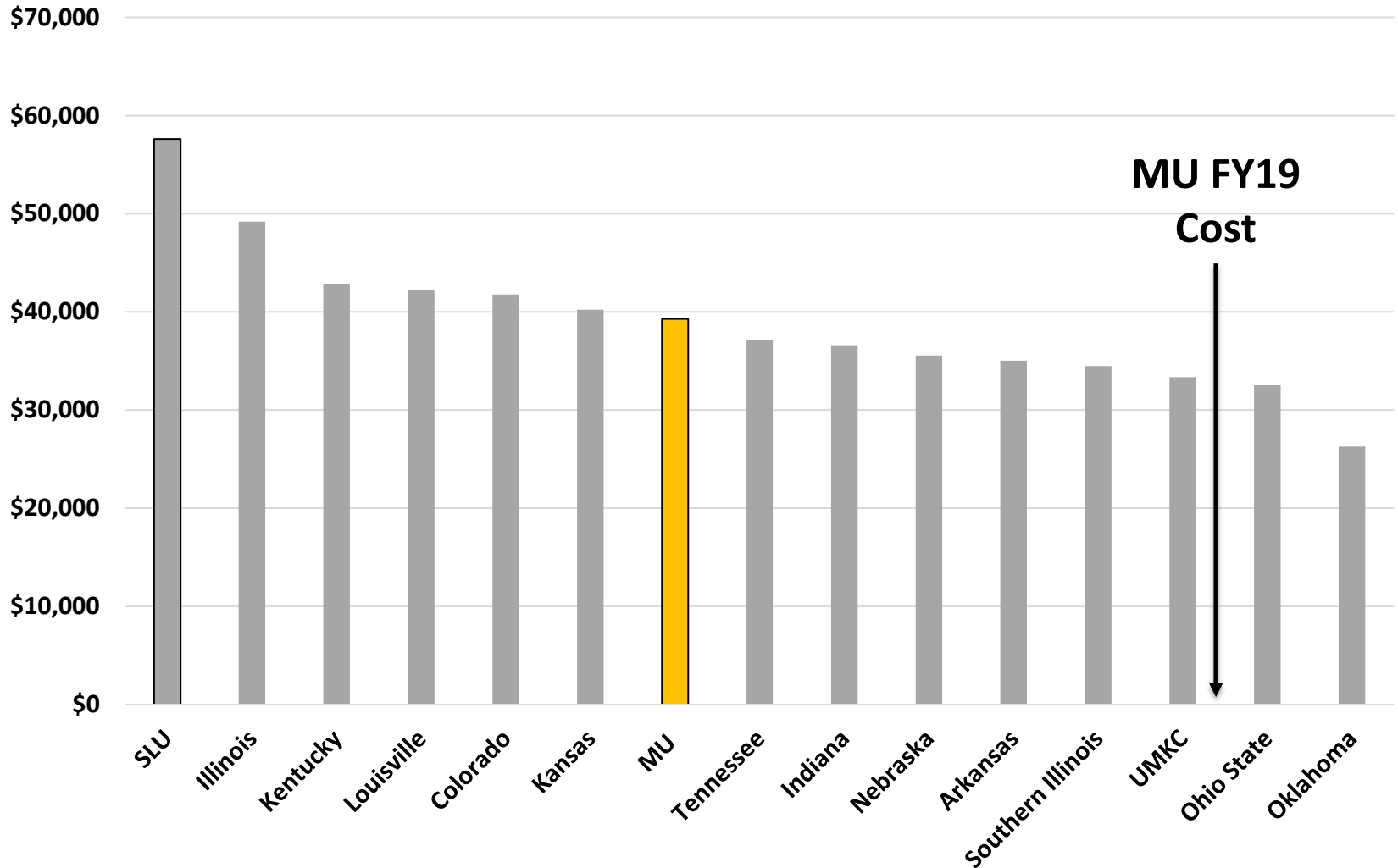
[In a study of predictors of success]...one outlier institution, the University of Missouri Columbia, was found to significantly outperform in both Step 1 and 2; such performance may be explained by curriculum and administrative differences. Having identified institutions that outperform expectations, the next sequence of investigations should aim to pinpoint the nuances within the “patient-based learning” curriculum that helped enhance medical education at the University of Missouri-Columbia. **If these variables can be determined and disseminated, institutions globally will be able to produce physicians with greater clinical knowledge and skills, thereby improving patient care.**

Ghaffari-Rafi A, Lee, RA, Fang R and Miles JD. Multivariable analysis of factors associated with USMLE scores across U.S. medical schools. *MC Medical Education*. 2019 19:154

# FY2022 Resident Tuition Rates @ 8%



School of Medicine  
University of Missouri Health



Assumes other institutions increase tuition by inflation: ~2% annually



- Graduates of medical schools must complete post-medical school training to be licensed as independent medical practitioners.
- Residency training ranges from 3 to 6 years in length, with additional training (fellowships) available after completion for certain specialties (another 1 to 3 years usually).
- Training is offered for all the core fields in medicine (surgery, ob-gyn, internal medicine, family medicine, pediatrics, anesthesia, radiology, ophthalmology, neurology, physical medicine, psychiatry).
- The programs (and the sponsoring institutions) must be accredited by the Accreditation Council of Graduate Medical Education (ACGME).
- Residents and fellows are salaried through federal and hospital programs.
- Care for patients is under the supervision of faculty physicians.



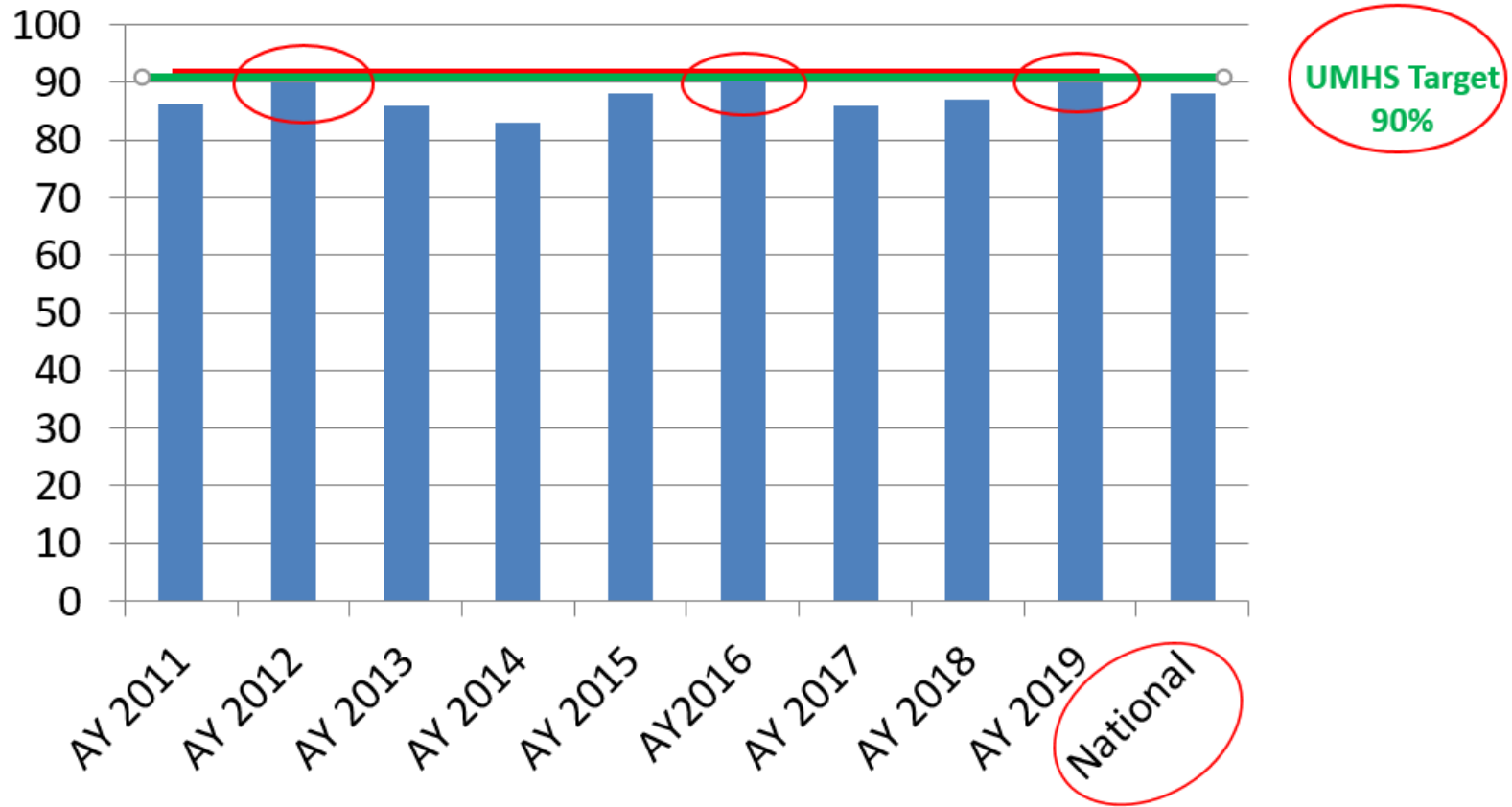


• Number	152 (143 in 2018)
• Stayed in Missouri	37 (57 in 2018)
• Rural practice in Missouri	3 (9 in 2018)
• Rural practice elsewhere	1 (3 in 2018)
• MU faculty	16 (15 in 2018)
• Additional training	32 (52 in 2018)
• Private practice/other	99 (69 in 2018)



## Residents'/Fellows' Satisfaction with their Education

% answering "positive" or "very positive" to the question:  
*How would you summarize your opinion of your program?*





*Innovative model to increase primary care physicians for rural and underserved Missouri – Quinn*

*Creating a family medicine rural training track residency in mid-Missouri – Ringdahl*

- **Developing and implementing educational and training curricula to teach the broad skill set required for primary care and rural practice**
- **Creating new and/or expanded interprofessional team-based program curricula**
- **Increasing the capacity of faculty who train medical students in the core topic areas**
- **In collaboration with Bothwell Hospital in Sedalia, building a new rural family medicine residency program (first year in Columbia, last two years in Sedalia)**

# SoM June Financial Statement

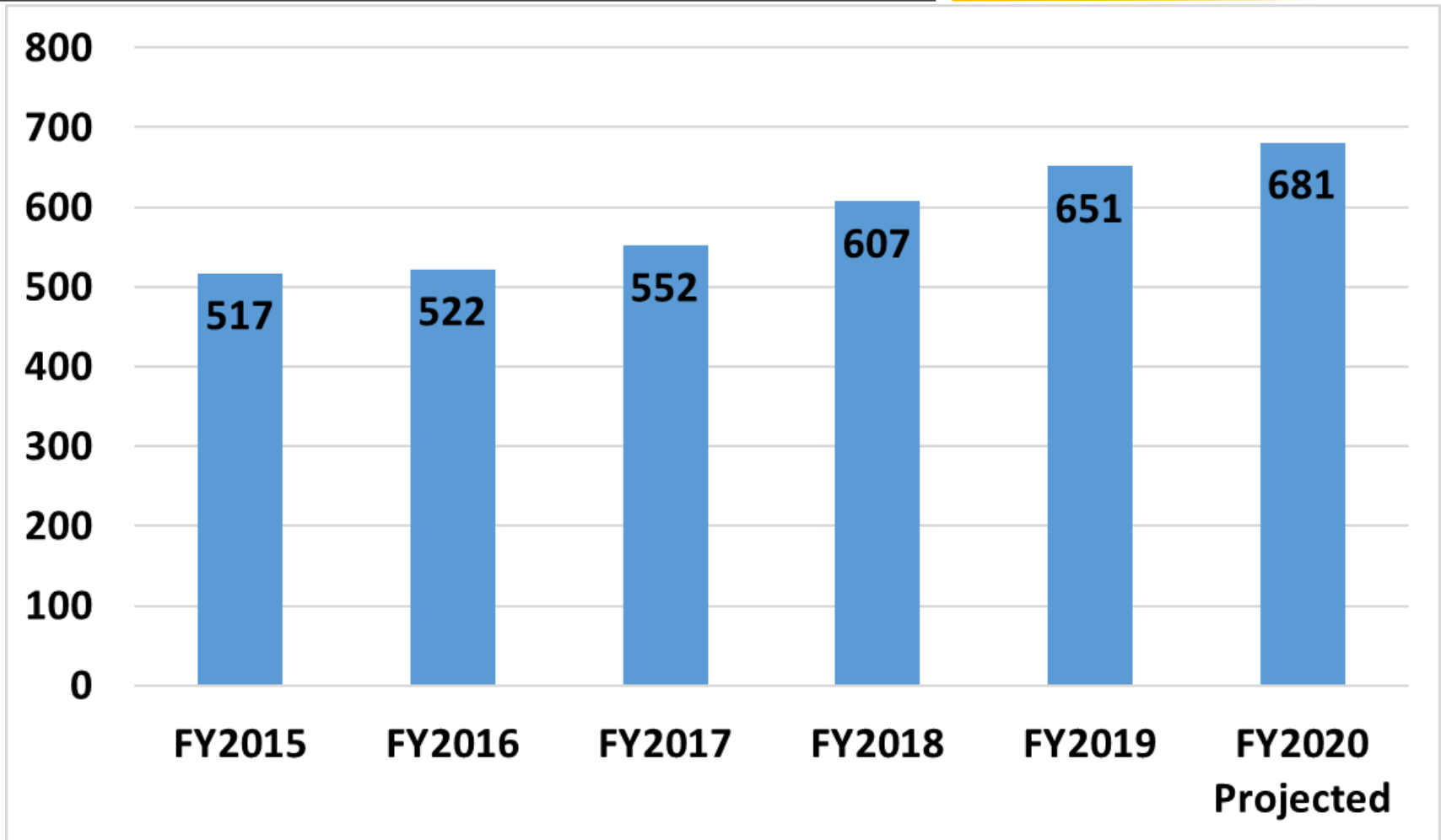


Statement of Revenues, Expenses and Change in Net Assets  
Total School of Medicine  
June 30, 2019

	June 30, 2019				Fiscal Year 2019				
	Current Actuals	Current Budget	Variance	Prior Year Actuals	Year-to-Date Actuals	Year-to-Date Budget	Variance	Prior Year Actuals	Fiscal Year Budget
<b>Operating Revenues</b>									
Tuition/Fees	\$ 99,264	\$ 84,687	\$ 14,577	\$ 99,037	\$ 1,266,818	\$ 1,250,619	\$ 16,199	\$ 1,242,286	\$ 1,250,619
Less: Scholarships	(71,709)	(207,198)	135,489	(30,555)	(2,556,073)	(2,668,214)	112,141	(2,039,657)	(2,668,214)
<b>Total Tuition &amp; Fees</b>	<b>27,555</b>	<b>(122,511)</b>	<b>150,066</b>	<b>68,482</b>	<b>(1,289,255)</b>	<b>(1,417,595)</b>	<b>128,340</b>	<b>(797,371)</b>	<b>(1,417,595)</b>
Net Patient Service Revenue	18,927,714	16,885,830	2,041,885	17,423,117	221,182,734	208,058,941	13,123,793	201,605,618	208,058,941
General Revenue & State Appropriations	2,944,386	2,944,383	4	3,380,573	35,332,592	35,332,592	0	40,566,807	35,332,592
Other Revenue	803,574	830,755	(27,182)	584,392	12,609,523	12,451,644	157,880	8,303,953	12,451,644
Internal Sales & Services (Incl. Salary Guarantees)	7,306,331	10,131,506	(2,825,174)	11,185,933	63,901,363	60,413,470	3,487,893	59,688,380	60,413,470
Federal Grants	2,149,205	1,301,362	847,843	2,344,756	19,934,966	15,640,306	4,294,660	18,488,183	15,640,306
Other Grants	2,357,942	1,208,762	1,149,180	1,498,440	18,111,433	15,131,510	2,979,923	15,159,748	15,131,510
F&A Recovery	(1,112,801)	(631,548)	(481,253)	(878,620)	(9,074,744)	(7,735,199)	(1,339,546)	(7,958,582)	(7,735,199)
<b>Total Operating Revenues</b>	<b>33,403,907</b>	<b>32,548,538</b>	<b>855,369</b>	<b>35,607,073</b>	<b>360,708,612</b>	<b>337,875,660</b>	<b>22,832,943</b>	<b>335,056,736</b>	<b>337,875,660</b>
<b>Operating Expenses</b>									
Salaries - Faculty & Staff	20,247,732	18,028,827	(2,218,905)	18,900,170	232,992,207	227,079,781	(5,912,426)	217,269,397	227,079,781
Clinical Incentives(MPP)	4,361,371	1,702,282	(2,659,089)	3,104,460	24,133,206	20,427,379	(3,705,827)	22,169,757	20,427,379
Benefits	4,981,779	4,663,748	(318,031)	4,490,212	59,429,525	59,716,254	286,728	53,787,157	59,716,254
Other Operating Expenses	7,510,678	3,898,626	(3,612,051)	6,134,671	58,546,776	46,744,465	(11,802,312)	53,999,229	46,744,465
<b>Total Operating Expenditures</b>	<b>37,101,559</b>	<b>28,293,483</b>	<b>(8,808,076)</b>	<b>32,629,513</b>	<b>375,101,715</b>	<b>353,967,879</b>	<b>(21,133,836)</b>	<b>347,225,539</b>	<b>353,967,879</b>
<b>Operating Income(Loss)</b>	<b>(3,697,652)</b>	<b>4,255,054</b>	<b>(7,952,707)</b>	<b>2,977,561</b>	<b>(14,393,104)</b>	<b>(16,092,210)</b>	<b>1,699,106</b>	<b>(12,168,803)</b>	<b>(16,092,210)</b>
<b>Non Operating Revenues</b>									
Gift Received	948,163	21,620	926,543	45,766	2,290,860	612,990	1,677,870	1,393,073	612,990
Endowment/Investment Income	434,114	385,348	48,766	415,710	5,423,052	4,867,369	555,682	5,039,025	4,867,369
Net Transfers	(3,329,621)	2,019,158	(5,348,780)	10,865,846	(3,024,599)	1,155,061	(4,179,660)	15,003,176	1,155,061
<b>Total Non Operating Revenues</b>	<b>(1,947,344)</b>	<b>2,426,126</b>	<b>(4,373,471)</b>	<b>11,327,322</b>	<b>4,689,312</b>	<b>6,635,420</b>	<b>(1,946,108)</b>	<b>21,435,274</b>	<b>6,635,420</b>
<b>Increase (Decrease) in Net Assets</b>	<b>\$ (5,644,997)</b>	<b>\$ 6,681,181</b>	<b>\$ (12,326,178)</b>	<b>\$ 14,304,883</b>	<b>(9,703,791)</b>	<b>(9,456,790)</b>	<b>(247,001)</b>	<b>9,266,471</b>	<b>(9,456,790)</b>
<b>Net Assets Beginning Balance</b>					<b>130,305,028</b>	<b>112,934,089</b>	<b>17,370,938</b>	<b>121,038,557</b>	<b>112,934,089</b>
<b>Net Assets Ending Balance</b>					<b>\$ 120,601,236</b>	<b>\$ 103,477,299</b>	<b>\$ 17,123,937</b>	<b>\$ 130,305,028</b>	<b>\$ 103,477,299</b>

Transfers: \$12.4M Transferred to Plant Fund & \$3.8M moved to Endowment Corporuses

# 32% Faculty Growth: Basic Science and Clinical



### FY2019 FTE Breakdown

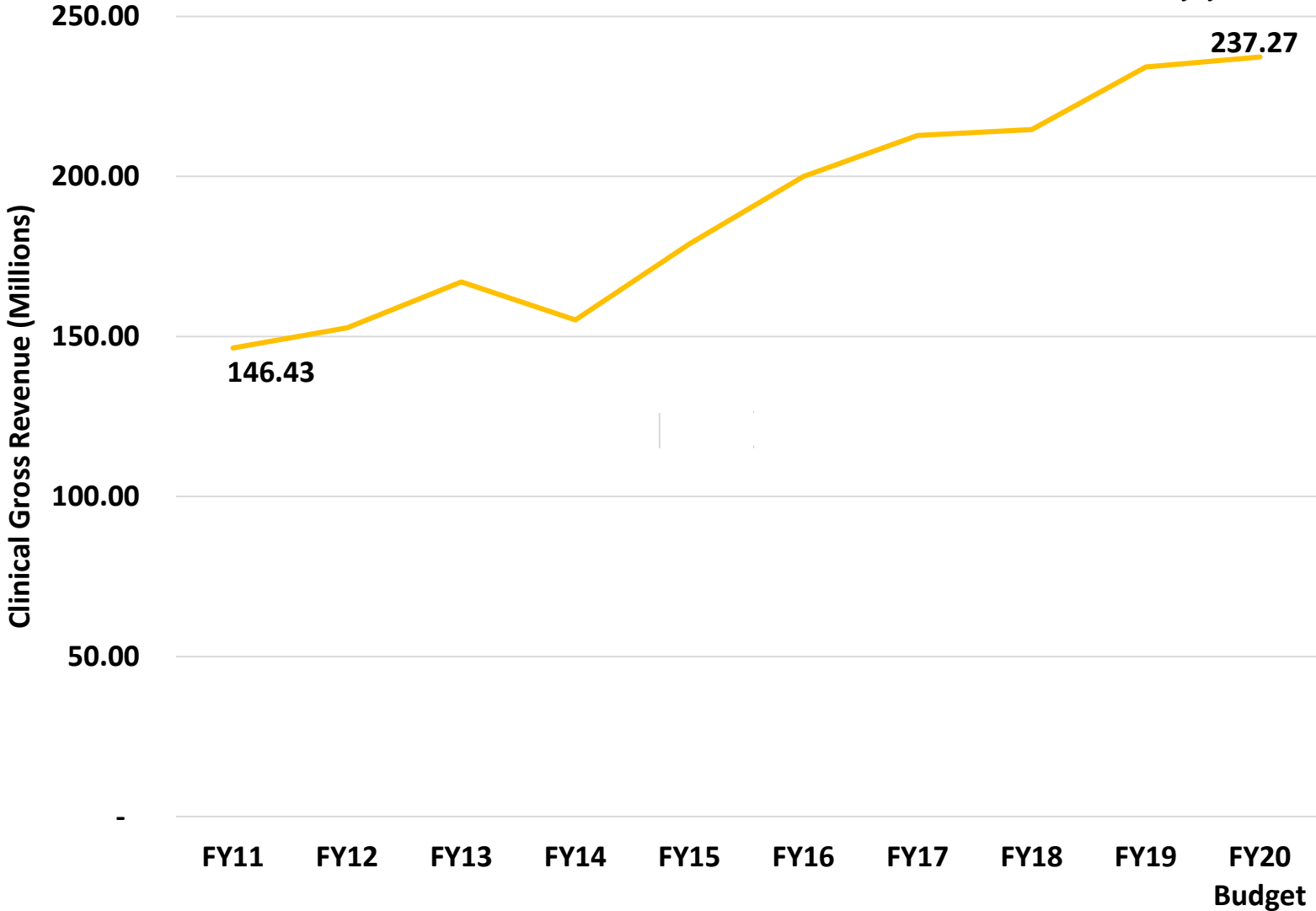
Clinical FTE:	363
Research FTE:	165
Teaching FTE:	123

# SoM Gross Clinical Revenue Trends



School of Medicine

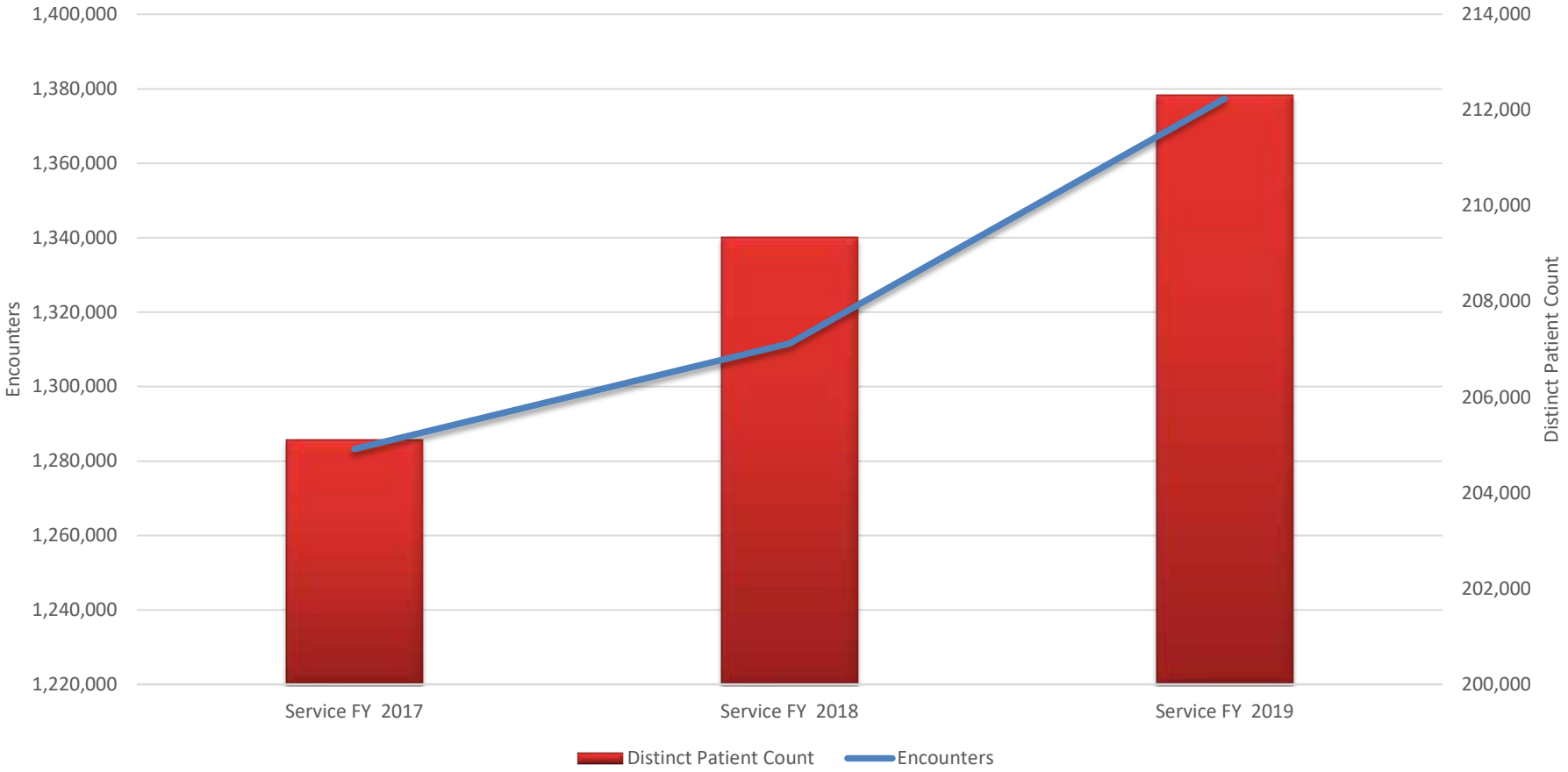
University of Missouri Health



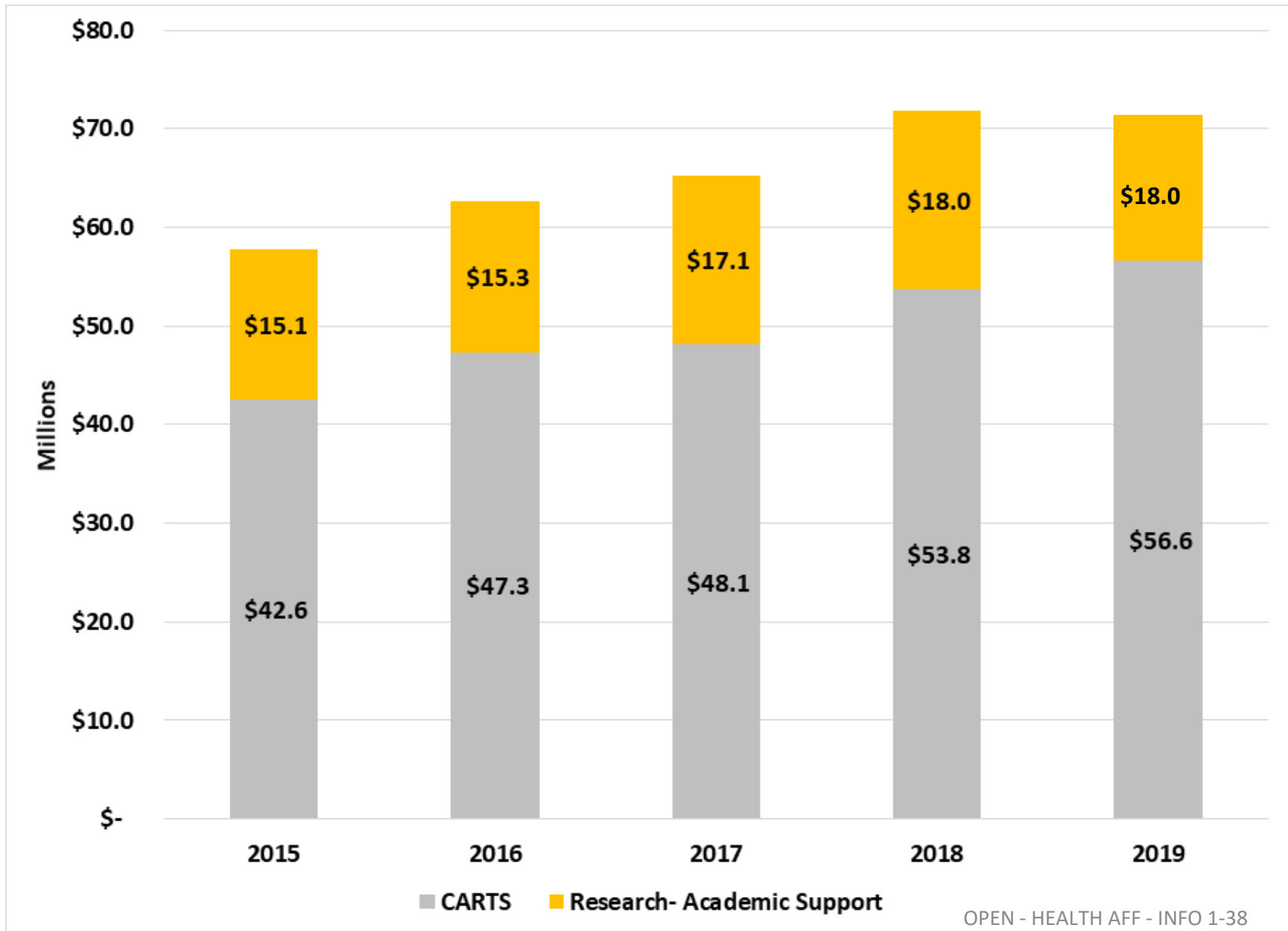
# Distinct Patients and Encounters



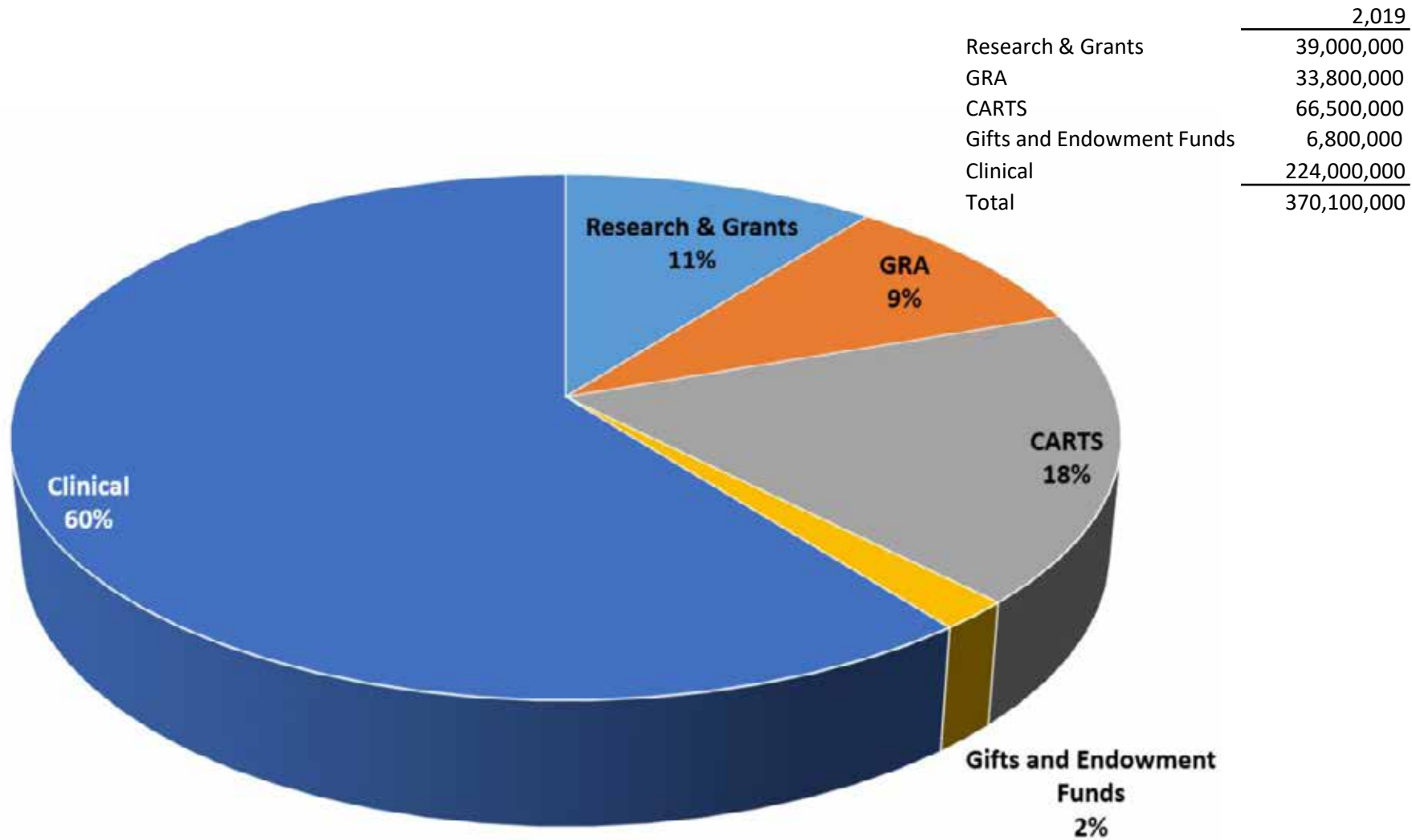
### Distinct Patients and Encounters by Service Year



# MUHC Funds Flow Model Trend



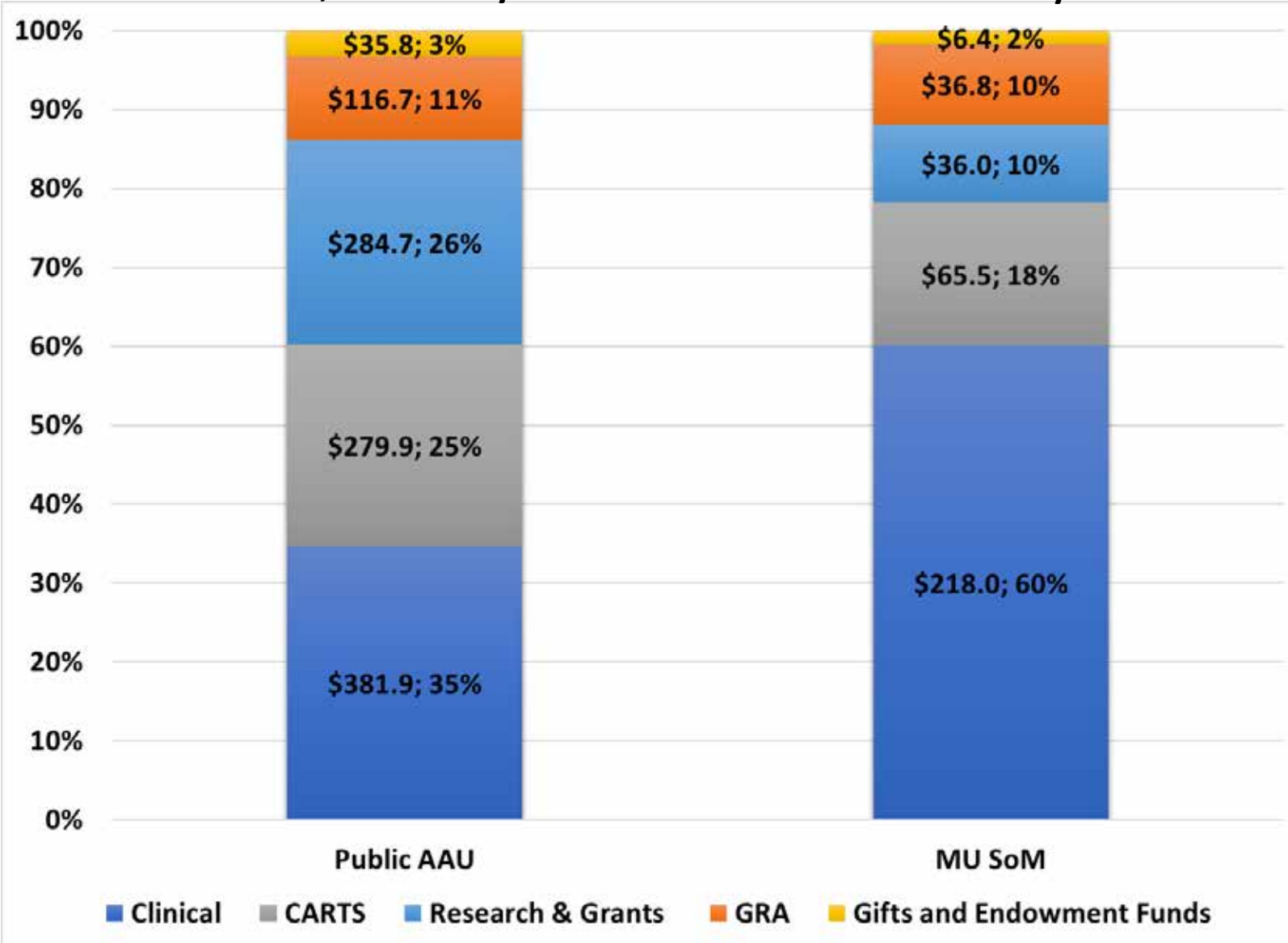




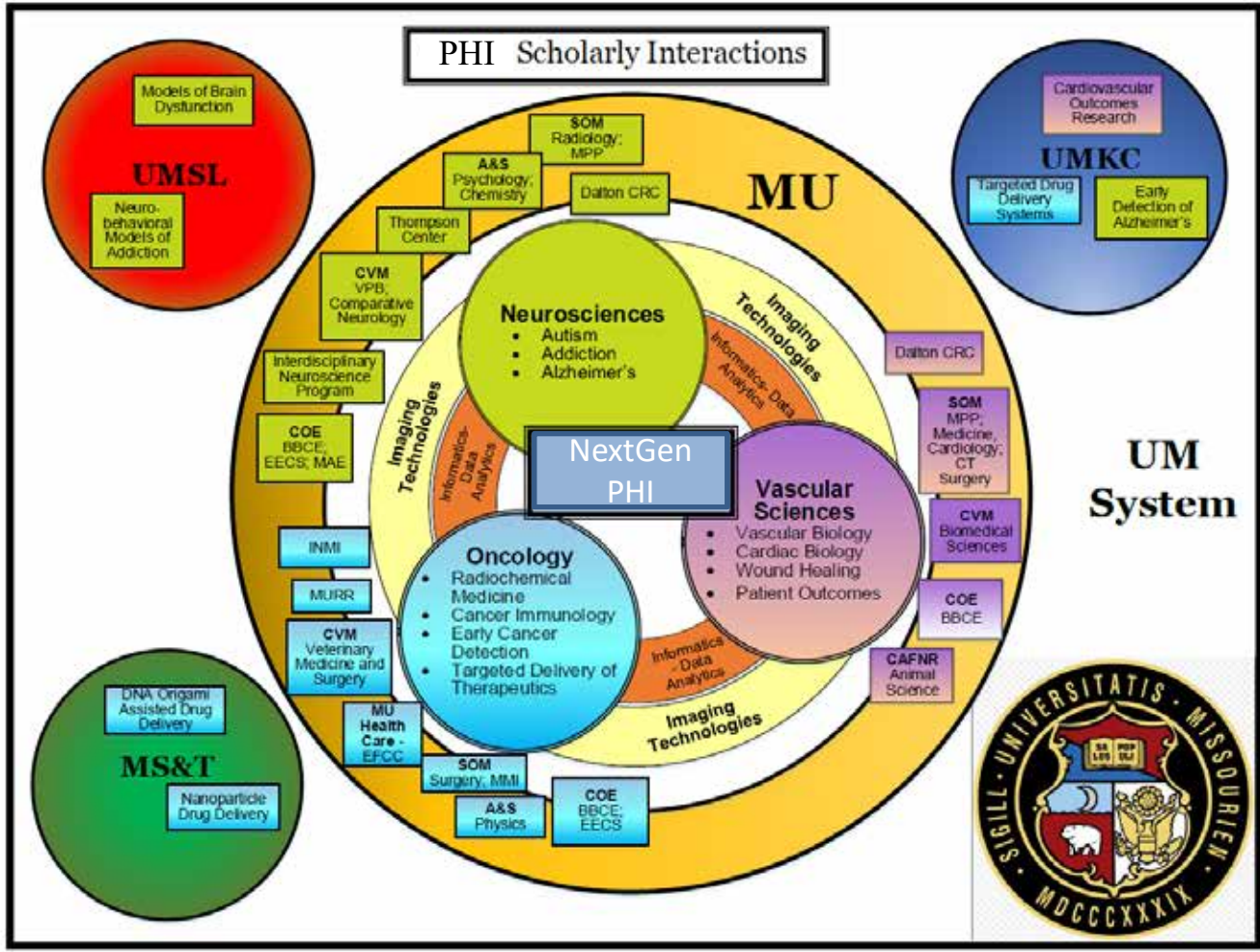
# FY19 Revenue Projection vs. Public AAU Avg.

**1,491 Faculty**

**651 Faculty**









- 19 projects funded from 4 system campuses
  - 12 projects involve SOM!

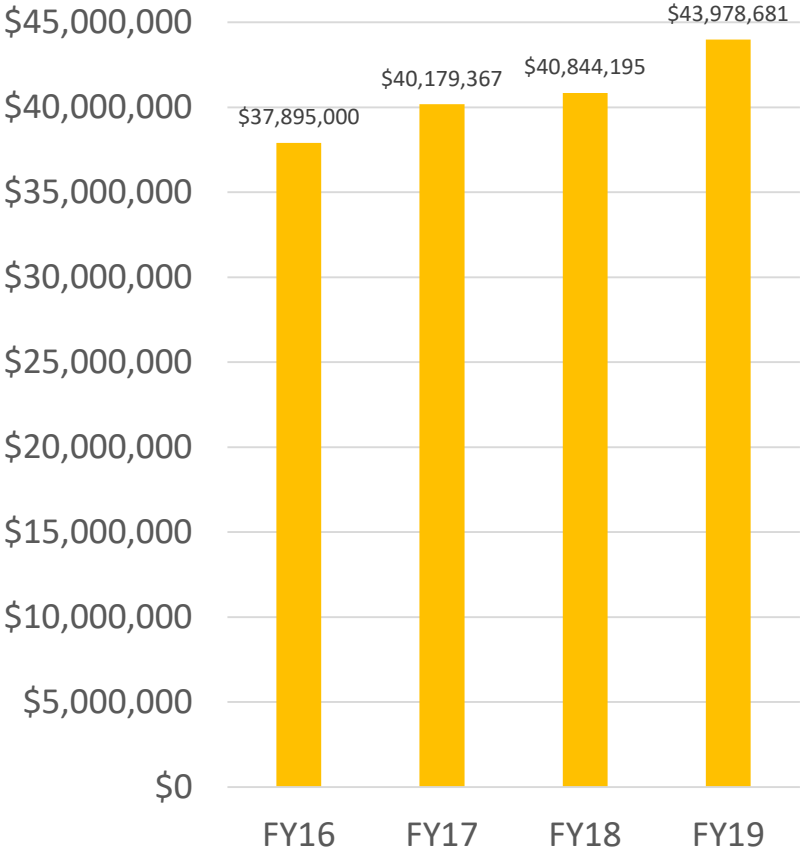
	Tier 1 (infrastructure)	Tier 2 (research team)
SOM PI	1 (Chapman)	3 (Burke, Gozal, McDonald)
Non-SOM PI	4	4

- Total funding to teams with SOM PIs: \$5.9M
- Total investment from SOM dean's office in all projects: \$750K

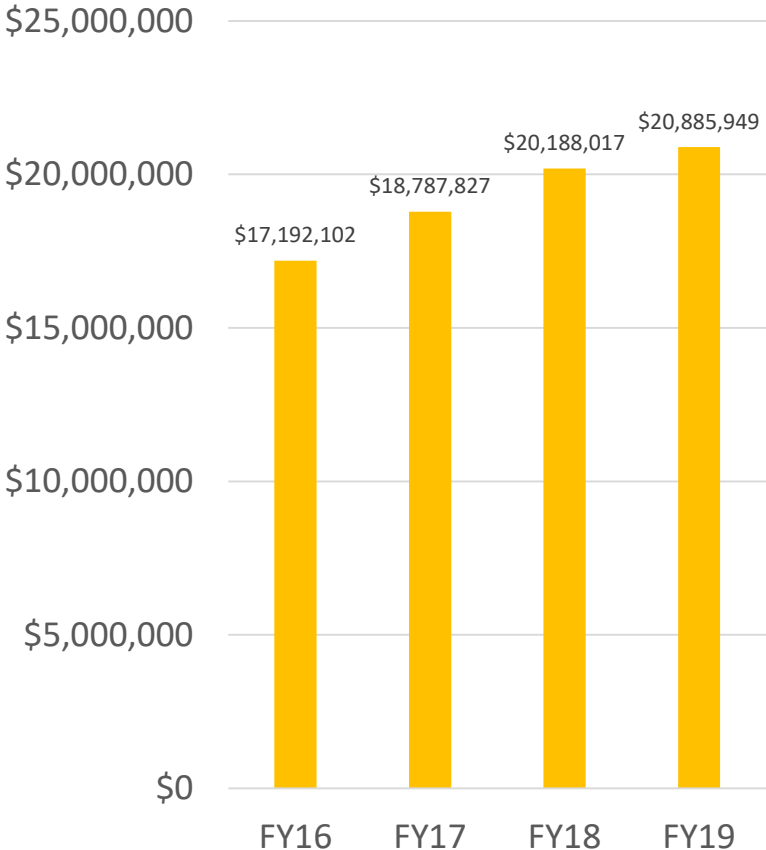


## Total by Fiscal Year

### SOM All Sponsored Activities



### SOM All NIH Expenditures



# Clinical Research is a Priority!







UPDATE –  
EXECUTIVE VICE CHANCELLOR POSITION

There are no materials for this information item.

# University of Missouri Health Care

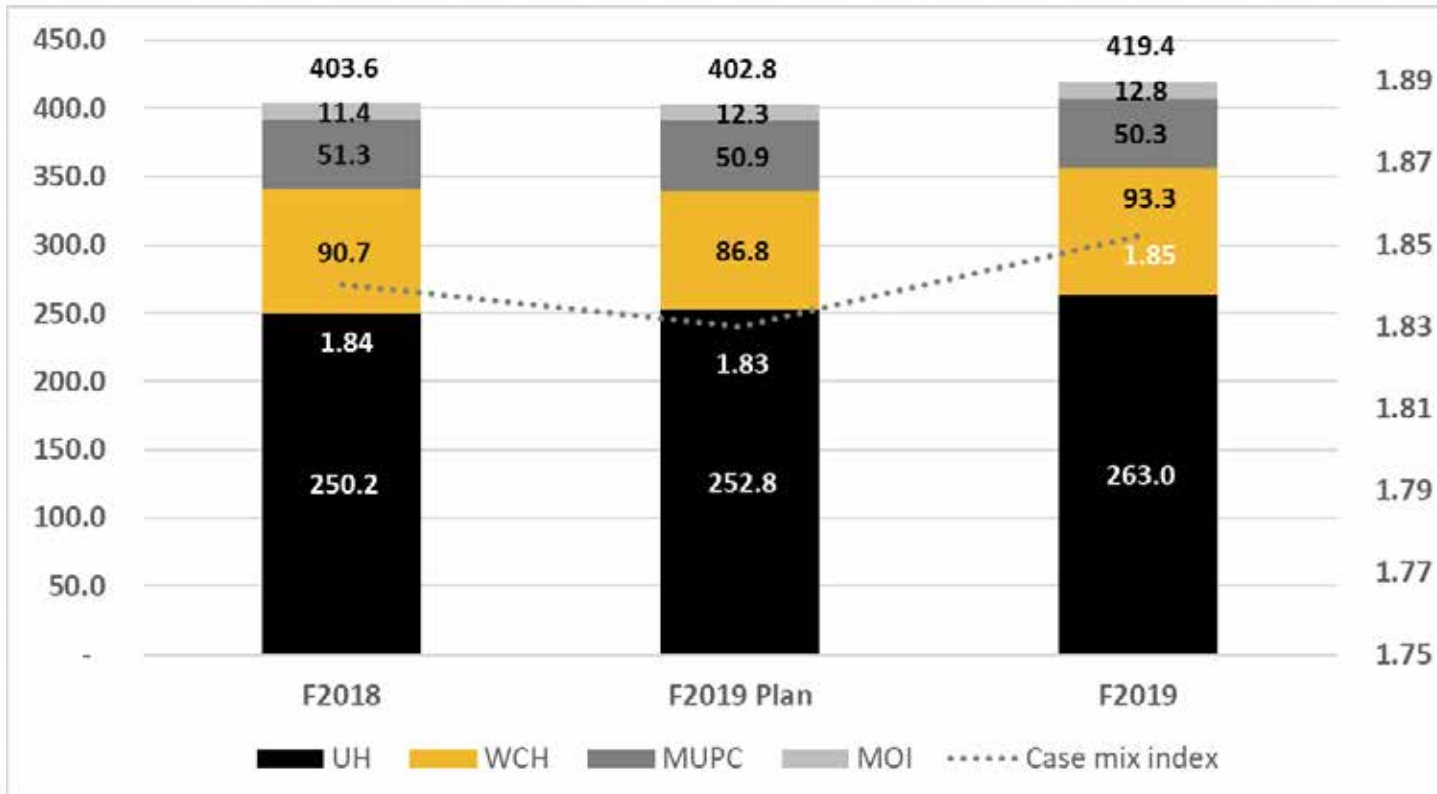
## Financial Performance

(Preliminary)

June 30, 2019

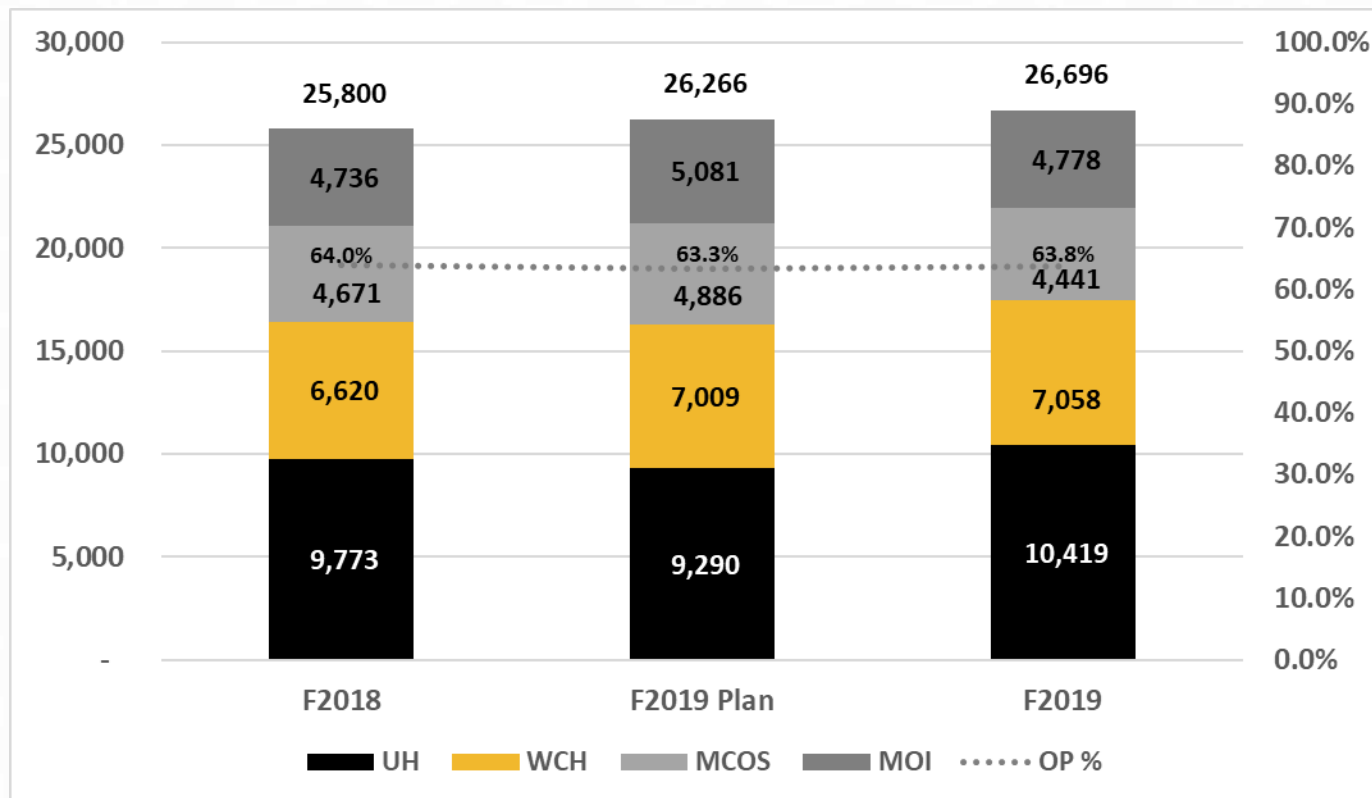
# Patient utilization – average daily census

- Average Daily Census was 4.1% higher than plan and 3.9% higher than prior year
- The increase in census as compared to prior year was primarily due to an increase in adult Medicine admissions and a higher average length of stay due to an increase in acuity
- The increase in patient acuity was driven by cardiovascular, neuroscience and orthopedics



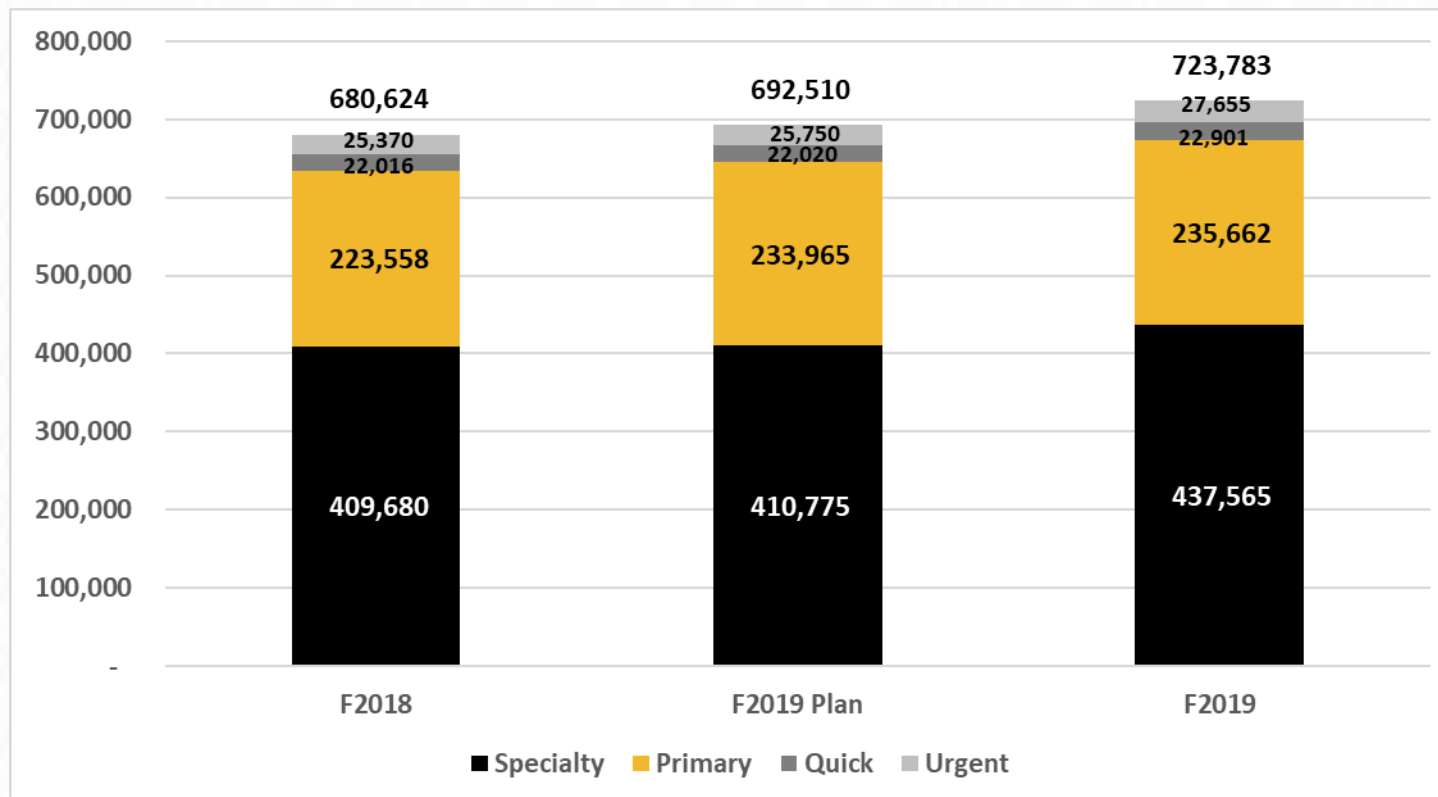
# Patient utilization – surgeries

- Total surgeries were 1.6% higher than plan and 3.5% higher than prior year
- The increase was primarily driven by new surgeons in the areas of bariatric, ENT, neurosciences and general surgery



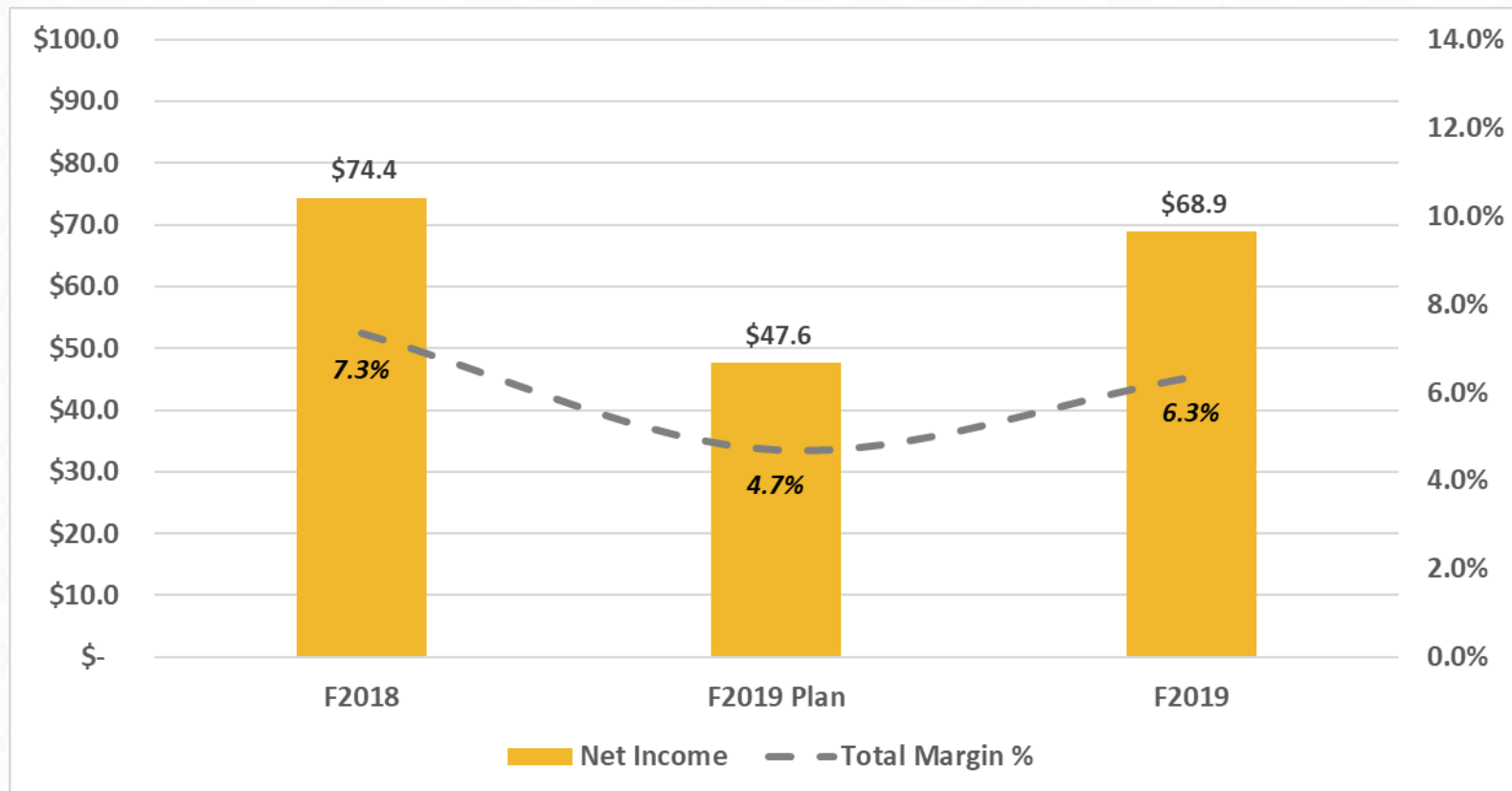
# Patient utilization – clinic visits

- Clinic visits were 4.5% higher than plan and 6.3% higher than prior year
- The growth in clinic visits as compared to prior year reflects initiatives to increase access to primary care, quick/urgent care and certain specialties, such as orthopedics and oncology



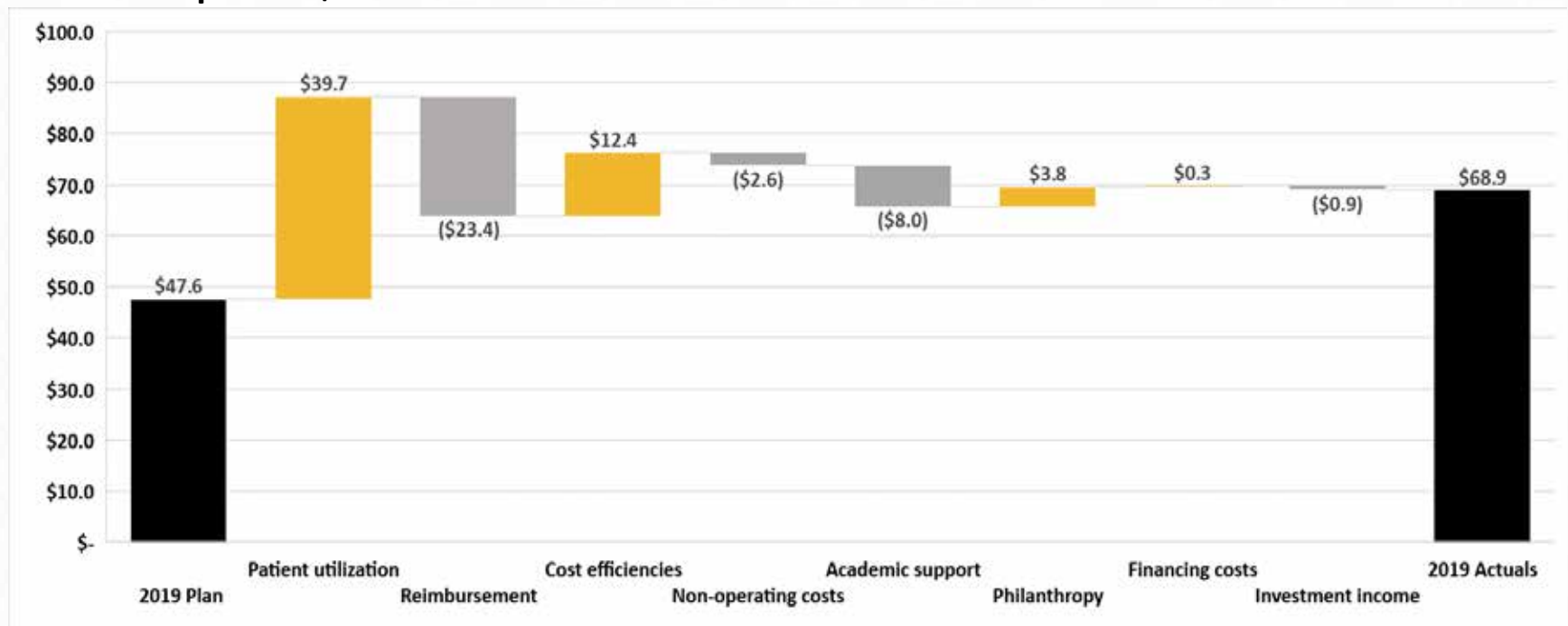
# Financial results – June year-to-date

- Total operating revenue of \$1,086.0M was 7.2% higher than plan and 7.0% higher than prior year of \$1,014.6M
- Net income of \$68.9M was \$21.3M favorable to plan and (\$5.5M) lower than prior year



# Financial results – variances to plan

- Incremental margin from higher patient utilization was partially offset by lower payer reimbursements
- Operating expenses were favorable due to the cost transformation initiatives and enhanced staffing management
- Strong financial performance increased Academic Mission Support to \$18.0M from the financial plan of \$10.0M



# Financial results – ratios and benchmarks

- Ratios and benchmarks continue to track inline with Moody's A rated medians

Actual	Plan	Consolidated Financial Results	Prior Year	Moody's A Rated
<i>(\$000'S)</i>				
\$1,085,972	\$1,012,786	Net Revenues	\$1,014,613	
(983,865)	(939,421)	Operating Expenses	(910,654)	
102,106	73,365	Operating Income	103,958	
(33,179)	(25,731)	Non-operating Revenues, Net	(29,564)	
\$68,927	\$47,635	Change in Net Assets	\$74,394	
<b>FINANCIAL RATIOS AND BENCHMARKS</b>				
9.4%	7.2%	Operating Margin Percent	10.2%	2.3%
5.4%	3.9%	Annualized Return on Total Assets	6.2%	4.0%
190.6%	190.5%	Cash to Total Debt	167.5%	132.8%
24.9%	25.4%	Debt to Capitalization	27.6%	32.9%
5.3	4.1	Maximum Annual Debt Service Coverage	5.1	4.7
208.5	218.6	Days Cash on Hand	211.1	226.5
51.8	50.0	Net Days Revenue in AR	51.3	48.4



# MU Health Care Compliance Report

Jennifer May, MU Health Chief Compliance Officer



# Corporate Integrity Agreement

## Reporting Period 3 Annual Report

# CIA Reporting Period 3

- July 1, 2018 – June 30, 2019
- CIA Compliance Obligations
  - Outlined in Activities Summary and Completion Tracking Document (see handout)
  - Outline of materials reviewed during Board and/or Health Affairs Committee meetings (see handout)
  - All items completed on or before 30 June
  - Claims Review completed as of 28 August

# CIA Reporting Period 3

- Compliance Program Oversight
  - Board of Curators Health Affairs Committee
    - 4 presentations (*quarterly*)
  - Executive Compliance Committee (ECC)
    - 11 meetings (*all months, except November*)
    - Established regular reports from compliance units
      - Corporate Integrity Agreement Updates
      - Compliance Reports
      - Risk Assessment and Work Plans

# CIA Reporting Period 3

- Policy Review
  - COI
    - updated in collaboration with the MU Office of Research (program owners)
    - included process flow, job titles, committee names, portal links and gift values
    - training provided to leadership during live presentations by the Office of Research COI staff
  - Coding Compliance Plan
    - updated in collaboration with UP and departmental coding staff
    - included implementation of quality reviews and metrics; criteria for measuring coder performance; reporting schedule; and regular reports to OCC.
    - training conducted via live group sessions and as requested
  - Other
    - Updated name for Integrity & Accountability Hotline
    - Eliminated “Clinical Trials or Research Involving an Investigational Device Exemption (IDE)” and reassigned pieces to appropriate departments
    - Code of Conduct – minor editorial changes

# CIA Reporting Period 3

- Training and Education
  - No substantive changes to the training plan for RP3
  - 100% of Covered Persons completed training modules by 30 June, or were appropriately documented with exceptions\*
    - *\*tracking for completion upon return*
  - Continued live training session to educate leaders (managers and above) on the Code of Conduct
  - Ad hoc and focused training performed as identified per compliance reviews
    - Specifics contained in each report issued

# CIA Reporting Period 3

- Claims Review
  - Completed 28 August
  - Results Summary
    - Incorrect Coding Errors: 33/500; 6.6%
    - Documentation Errors: 7/500; 1.4%
    - Medically Necessary Errors: 0/500; 0%
    - Error Rate (overpayments/total paid claims): **3.58%**
      - Repayments being processed, but no extrapolation necessary
  - IRO Certification of Independence received

# CIA Reporting Period 3

- **Risk Assessment and Audit/Work Plan Results**
  - No changes to risk assessment process for RP3
    - Collaboration with UM System Internal Audit Services
    - Interviewed stakeholders from hospital and academic units
  - **Compliance Work Plan**
    - Topics included 340B; Primary Care Exception; Fellows Internal Moonlighting; Extended Women's Health Services; Student-Athlete Chaperones for Medical Care; Software Edits; JW Modifier; IRO/External Auditor Claims Reviews; Telehealth; Transcranial Magnetic Stimulation; Allied Health Professionals
  - **Internal Audit Work Plan**
    - Topics included Dep't. of Surgery Financial Processes; Vendor Master File Management; Controlled Substances Diversion Prevention; OCC Leadership Transition; Management of BAAs; Medical Staff Credentialing and Privileging



# CIA Reporting Period 3

- Reporting Outlets
  - Integrity and Accountability Hotline
    - FY19: 58 assigned to OCC
      - Transition to single hotline occurred Aug 2018
  - Direct Reporting to OCC
    - FY19: 170
  - Patient Safety Network (PSN)
    - FY19: 17 assigned to OCC

# CIA Reporting Period 3

- Exclusion Screening
  - Monthly checks conducted
    - Vendor software; Internal staff investigate potential matches
  - All issues cleared with no findings
- No on-going investigations or legal proceedings to report as part of the RP3 Annual Report

# CIA Reporting Period 3

- Aggregate Overpayments
  - Identified and addressed by fiscal teams during the year
    - Professional Services: \$267,641.84
    - Facility Services: \$1,698.04
- Reportable Events under CIA
  - FY15 Cost Report audit indicated overpayment
    - \$627,962.00
  - Reporting Period 2 Claims Review results; extrapolated overpayment
    - \$429,873.00

# CIA Reporting Period 3

- Certifications
  - All received
    - Executive Vice Chancellor for Health Affairs
    - Chief Compliance Officer
    - Management Personnel
      - Certifications of compliance must be made by management level personnel as identified in the CIA

# CIA Reporting Period 3: 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 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.”*

## Memo

**To:** Board of Curators – Health Affairs Committee  
University of Missouri System

**From:** Jennifer P. May, J.D.  
MU Health Chief Compliance Officer

**Date:** September 18, 2019

**Re:** Summary of Materials Reviewed in Oversight of MU Health Compliance Program during Fiscal Year 2019 / CIA Reporting Period 3

---

In addition to discussions which occurred during both open and closed sessions of the Board meetings, below is a description of the documents, topic updates, and other materials reviewed by the Board of Curators and/or the Health Affairs Committee during the second Reporting Period under the Corporate Integrity Agreement and in support of its oversight of the MU Health Compliance Program.

September 10, 2018

- CIA Reporting Period 2 Completion
- CIA Reporting Period 3 Update
- OIG Compliance Resource Portal
- Compliance Program Update and Staffing Review
- Practical Guide for Health Care Boards distribution
- Compliance Policy Abstracts
- Compliance Training Plan

November 5, 2018

- CIA Reporting Period 3 Update
- Compliance Program Update
- Information Security Briefing and Program Update
- Privacy Program Staffing Update

January 29, 2019

- CIA Reporting Period 2 – OIG Response Reviewed
- CIA Reporting Period 3 Update
- Compliance Program Update
- Information Security Program Update
- Privacy Program Update

June 12, 2019

- CIA Reporting Period 3 Expectations
- CIA Reporting Period 3 Status Update on all Annual Report areas
- Reviewed CIA Resolution Language

# Memo

**To:** Board of Curators – Health Affairs Committee  
University of Missouri System

**From:** Jennifer May  
MU Health Chief Compliance Officer

**Date:** September 18, 2019

**Re:** Corporate Integrity Agreement Annual Report Summary

---

- I. Compliance Program Oversight
  - A. Board of Curators Health Affairs Committee
    - i. 4 presentations (quarterly)
  - B. Executive Compliance Committee (ECC)
    - i. 11 meetings (all months, except November)
    - ii. Established regular reports from compliance units
      - 1. Corporate Integrity Agreement Updates
      - 2. Compliance Reports
      - 3. Risk Assessment and Work Plans
- II. Policy Updates completed; substantial modifications to two
  - A. Conflict of Interest: Updates were made in coordination the MU Office of Research (program owners), and included process flow, job titles, committee names, links to reporting portal and gift values. Training was provided to leadership during live presentations by the Office of Research COI staff.
  - B. Coding Compliance Plan: Updates were made in collaboration with University Physicians and departmental coding staff. Updates included implementation of quality reviews and metrics at the supervisor level within all coding departments; addition of specific criteria for measuring satisfactory performance for new and established coders; creation of a reporting schedule for monitoring of coding quality; and a requirement for regular reports to the Office of Corporate Compliance. Training was conducted via live group sessions and additional training was provided directly with departments, as requested
  - C. Other
    - i. Updated name for Integrity & Accountability Hotline

- ii. Eliminated “Clinical Trials or Research Involving an Investigational Device Exemption (IDE)” and reassigned pieces to appropriate departments
- iii. Code of Conduct – minor editorial changes

### III. Training and Education

- A. No substantive changes to the training plan for RP3
- B. 100% of Covered Persons completed training modules by 30 June, or were appropriately documented with exceptions (tracking for completion upon return)
- C. Orientation for all new employees on the Code of Conduct (bi-weekly)
- D. Continued live training session to educate leaders (managers and above) on the Code of Conduct; two sessions conducted during FY19 (Oct, Feb)
- E. Ad hoc and focused training performed as identified per compliance reviews (specifics contained in each report issued)

### IV. Claims Review

- A. Completed 28 August
- B. Results Summary
  - i. Incorrect Coding Errors: 33/500; 6.6%
  - ii. Documentation Errors: 7/500; 1.4%
  - iii. Medically Necessary Errors: 0/500; 0%
  - iv. Error Rate (overpayments/total paid claims): 3.58%
- C. Certification of Independence received from IRO

### V. Risk Assessment and Compliance Plan Results

- A. No changes to risk assessment process for RP3
  - i. Completed risk assessment in collaboration with UM System Internal Audit Services
  - ii. Interviewed stakeholders from hospital and academic units
- B. FY19 Compliance Plan:
  - i. Topics included 340B; Primary Care Exception; Fellows Internal Moonlighting; Extended Women’s Health Services; Student-Athlete Chaperones for Medical Care; Software Edits; JW Modifier; IRO/External Auditor Claims Reviews; Telehealth; Transcranial Magnetic Stimulation; Allied Health Professionals
- C. FY19 Internal Audit Plan
  - i. Topics included Dep’t. of Surgery Financial Processes; Vendor Master File Management; Controlled Substances Diversion Prevention; OCC



Leadership Transition; Management of BAAs; Medical Staff  
Credentialing and Privileging

- VI. Reporting Outlets
  - A. Integrity and Accountability Hotline; FY19: 58 assigned to OCC
    - i. Transition to single hotline occurred Aug 2018
  - B. Direct Reporting to OCC; FY19: 170
  - C. Patient Safety Network (PSN); FY19: 17 assigned to OCC
  
- VII. Exclusion Screening
  - A. Monthly checks conducted by a vendor; internal staff investigate potential matches
  - B. All issues cleared with no findings
  
- VIII. No investigations or legal proceedings to report as part of the RP3 Annual Report
  
- IX. Aggregate Overpayments
  - A. Identified and addressed by fiscal teams during the year
    - i. Professional Services: \$267,641.84
    - ii. Facility Services: \$1,698.04
  - B. Reportable Events under CIA
    - i. FY15 Cost Report audit indicated overpayment; \$627,962.00
    - ii. Reporting Period 2 Claims Review results; extrapolated overpayment; \$429,873.00
  
- X. Certifications
  - A. All received
    - i. Executive Vice Chancellor for Health Affairs
    - ii. Chief Compliance Officer
    - iii. Management Personnel
      - 1. Certifications of compliance must be made by management level personnel as identified in the CIA

September 18, 2019

## **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 and second annual reporting periods.

### Reasons for the Recommendation

The third annual reporting period for the CIA ended June 30, 2019. As part of its third 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, 2019.

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 Committee<sup>1</sup> 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.

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<sup>1</sup> The current roster of members of the Executive Compliance Committee is attached hereto.

September 26, 2019

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
--	-----	----

Mr. Ashworth		
Curator Graham		
Mr. Phillips		
Curator Snowden		
Curator Steelman		

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

## Executive Compliance Committee Roster

*Last Name      First Name    Title*

### Members

Arnold	Victor	Associate Dean for Finance and Practice Plan Management, School of Medicine
Blair	Michael	Chief Financial Officer, MU Health Care
Choi	Mun	President, UM System
Choma	Theodore	Chair, University Physicians
Curtright	Jonathan	Chief Executive Officer, MU Health Care
Haberberger	Patricia	Vice Chancellor, MU Human Resources Services
Hagglund	Kristofer	Dean, School of Health Professions
Hahn-Cover	Kristin	Chief Quality Officer, MU Health Care
Kennett	Michele	Associate Vice Chancellor, Office of Research
Knollmeyer	Edward	Assistant Vice President for Management Services, UM System
Koehler	Mike	Chief Human Resources Officer, MU Health Care
May	Jennifer	Chief Compliance Officer, MU Health
Nichols	Kirt	Chief of Staff Office representative
Piranio	Michelle	Chief Audit and Compliance Officer, UM System
Rapp	Ryan	Vice President of Finance and CFO, UM System
Thompson	Sarah	Dean, Sinclair School of Nursing
Whitt	Stevan	Chief Clinical Officer, MU Health Care
Zitsch III	Robert	Chair, Professional Liability and Compliance Committee
Zweig	Steve	Interim Dean, School of Medicine

### Ex Officio

Hess	Robert	Counsel, UM System
Settles	Julia	Risk Manager, MU Health Care

**Resolution of the Health Affairs Committee of the Board of Curators**

On September 18, 2019, 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 18, 2019, 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 eighteenth day of September, 2019.

\_\_\_\_\_  
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

\_\_\_\_\_  
Curator Snowden

\_\_\_\_\_  
Curator Steelman

No. 3

Recommended Action - Minutes, June 12, 2019, 2019 Health Affairs  
Committee Meeting

It was moved by \_\_\_\_\_ and seconded by \_\_\_\_\_, that the  
minutes of the June 12, 2019 Health Affairs Committee meeting be approved as  
presented.

Roll call vote of Committee: YES NO

Mr. Ashworth

Curator Graham

Mr. Phillips

Curator Snowden

Curator Steelman

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

September 26, 2019

# **AUDIT COMMITTEE**

# University of Missouri



## Board of Curators

### Audit Committee Meeting

**Tuesday, September 17, 2019  
9:00 A.M.**

This Board Committee Meeting is being held in conjunction with the September 26, 2019 Board Meeting.

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

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

**Participant Code: 177492#**

## AGENDA

### **PUBLIC SESSION – 9:00 A.M.**

Call to Order – Chairman Layman

Roll Call of the Committee

#### Information

1. UM Internal Audit and Consulting Quarterly Report

Recess

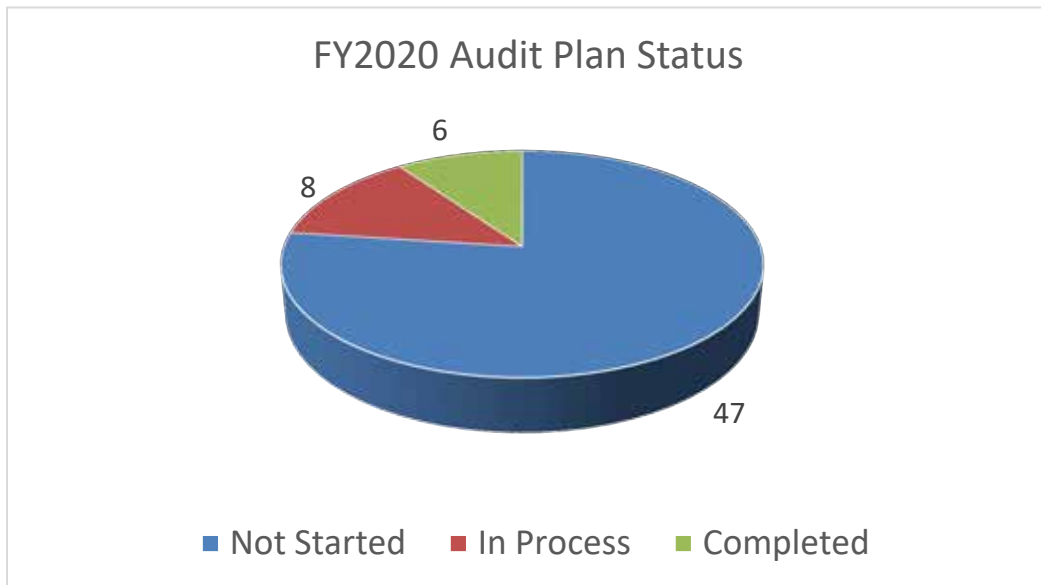


UM Internal Audit Quarterly Report  
University of Missouri  
September 2019

**Status of the FY2020 Annual Audit Plan**

- Six audits completed
- Eight audits in process
- Forty-seven audits not started

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



**Audit Performance**

Internal Audit completed and issued six assurance report since the June 2019 meeting of the Board of Curators.

Internal Audit Assurance Reports	Report Risk Rating
Credentialing & Privileging , MU Health, June 2019	<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">1</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ffff00;">2</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ffff00;">3</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ffcc99;">4</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ff9999;">5</span>
Social Media Reviews, System, MU, UMKC, Missouri S&T, UMSL August 2019	<span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #99ff99;">1</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #99ff99;">2</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ffff00;">3</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ffcc99;">4</span> <span style="border: 1px solid black; border-radius: 50%; padding: 2px; background-color: #ff9999;">5</span>

There is a time-lag between when field work is completed and when a report is issued in order to provide appropriate time for agreed upon action plans to be written.

September 26, 2019

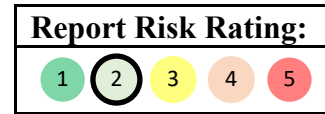
The assurance report includes an executive summary with our assessed level of risk, as well as a summary of issues and management's action plan. An executive summary of this assurance audit is included for your information. The full audit reports are available upon request from the Office of Internal Audit and Consulting Services.

### Criteria Used for Assessment of Risk:

- 5 **Extreme** – Very significant impact to the Institution, campus, or unit. Significantly material in terms of financial impact, external compliance violation, adverse publicity, significant or pervasive weakness in control environment, significant inefficiencies, etc. Typically requires campus and UM System administration along with Board attention to resolve.
- 4 **High** – Major impact to the Institution, campus, or unit. Material in terms of financial impact, external compliance violation, adverse publicity, significant or pervasive weakness in control environment, significant inefficiencies, etc. Typically requires campus and/or UM System administration to resolve.
- 3 **Medium** – Moderate in terms of impact to the Institution, campus, or unit. Individual instance or an aggregate of low risk items considered moderate in terms of financial impact, compliance violation, adverse publicity, weakness in control environment, efficiency, etc. Typically requires leadership attention for the selected audit area to resolve with some input from campus and/or UM System administration.
- 2 **Low** – Minor in terms of impact to the Institution, campus, or unit. Relatively immaterial in terms of financial impact, no external compliance violation, little adverse publicity, minor inefficiencies, etc. Typically limited to leadership of the selected audit area to resolve.
- 1 **Negligible** – Incidental or no impact to the Institution, campus, or unit. Immaterial or no financial impact, no external compliance violation, no adverse publicity, minor inefficiencies, etc. Typically requires little or no action to resolve.

September 26, 2019

**Internal Audit Summary Report  
MUHC, Credentialing & Privileging  
June 2019**



**Audit Background**

Credentialing is the process of collecting, verifying and assessing information regarding the current licensure, education and relevant training, experience, ability and current competence of a medical staff applicants/re-applicants. Privileging is the act of granting qualified practitioners authorization to provide care, treatment, and services on behalf of the organization. Patient safety is the primary reason that credentialing is done; the overall purpose of credentialing and privileging is to ensure that only qualified physicians are admitted to and remain on the hospital’s medical staff, and that they practice within their scope of experience and competence. Medical staff credentialing is one of the most important tasks undertaken to ensure quality of care in healthcare organizations.

Credentialing requirements and processes at MU Health Care (MUHC) are defined in Medical Staff Bylaws, the Credentialing and Privileging Policy and Procedure, and the Credentials Procedure Manual.

The process is centralized to the Medical Staff Office, with the support and assistance of “credentialing coordinators” in each academic department, who serve as the departmental resource for the hospital credentialing process, requirements, timeframes and deadlines, and act as the liaison between applicants, departmental personnel, and the MSO.

**Issues Summary**

Credentialing and privileging requirements and objectives are generally being met, but the process could be more efficient and timelier with some specific improvements.

**Management Action Plan Summary**

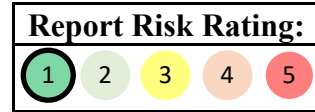
No action plan is necessary. Opportunities and recommendations for improvement shared with leadership are being considered in the context of overall strategic objectives and initiatives.

**Risk Rating Rationale**

The Credentialing and Privileging function within the MSO is meeting expected objectives and requirements, but is operating at the upper limits of its capacity. As the organization continues to grow, additional resources must be provided and/or efficiencies realized for the function to continue to perform at the same high level

September 26, 2019

**Internal Audit Summary Report  
System, MU, UMKC, Missouri S&T, UMSL,  
Social Media Reviews  
August 2019**



**Audit Background**

Social media has become a major outlet for mass communications. An internet-based communications medium, it is used by millions of people and includes text, video, and photos that can be transmitted around the globe in real time over channels like Facebook and Twitter. Very little regulation or strong guidance exists to guide entities on how to administer social media, so most entities make their own policies and procedures to meet their needs.

Each University within the University of Missouri System has a department responsible for the administration of social media content on their central social media accounts. One or more individuals in each of these departments monitor social media channels for inaccurate or inappropriate content, escalate potential issues to leadership when appropriate and follow some sort of policies, procedures or guidelines to manage their University's social media message.

**Issues Summary**

Based on the audit procedures, each of these departments has been able to detect and mitigate content that could potentially cause reputational harm. All of the posts reviewed also reflected the social media goals and objectives of the particular University. It should be further noted that the success of each department's social media processes are due in large part to the dedication of the staff willing to take on the constant responsibility social media entails. As social media usage grows, further automation of social media duties would assist these staff in performing their roles more effectively and efficiently. Opportunities for minor enhancements were discussed with each department's leadership but no issues were noted that required a management action plan.

**Management Action Plan Summary**

No action plan required.

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In addition, the Office of Internal Audit and Consulting Services completed two investigations, one project to save the expense of engaging an outside audit firm and continues to monitor risks associated with the revenue cycle implementation initiative at MU Health.

### Audits Currently in Process

<b>Audit Area</b>	<b>Overall Objective</b>	<b>Status</b>	<b>Risk Area(s)</b>
MU Health – Cardiology Picture Archiving & Communications System (CPACS)	The objective of this audit was to determine if the McKesson CPACS meets the requirements of the Information Security Program	Reporting	Compliance
MU-Grant Effort Reporting	Provide assurance that internal controls related to grant effort verification are adequate to comply with federal Uniform Guidance requirements.	Reporting	Compliance
UM System - One Card Approval Process	Evaluation of the One Card Process from issuing cards, through approvals and monitoring to provide assurance of controls and any opportunities for improvement.	Reporting	Finance, Operations
MU Health – Physician contracts	Review of processes to ensure compliance with regulations and operational efficiencies.	Fieldwork	Compliance, Operations
MU- Lab Safety	Assessment of hazardous chemical use and compliance with regulations.	Fieldwork	Environmental Health & Safety
MU Health - Retail Pharmacies	Review of select financial and operational activities for the retail pharmacies.	Planning	Finance, Operations

September 26, 2019

## **Management Action Plan Status as of July 15, 2019**

Follow-up procedures are performed twice a year to verify the status of management actions for previously issued audit reports. For this time period, 14 action items were due for completion by July 15, 2019.

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, 2019 – July 15, 2019. Six (6) of the 14 action plans have been completed, six (6) have revised due dates and two (2) action plans will not be implemented.

### **Revised Due Date and Will Not Be Implemented:**

Two action plans each, for School of Medicine (SOM) Clinical Trials/Research Infrastructure and for SOM HR Processes were revised and extended, and one each for SOM Department of Surgery Financial Processes and System Vendor Master File Management, were extended. These actions are reported in the “Revised Due Date” column of the table on the following page. Two additional items in the SOM HR Processes audit will not be implemented since completion of the revised action plans will address the concerns raised in the audit.

### ***School of Medicine HR Processes – High Risk***

The SOM HR Processes original action plans focused on the creation of a structure to promote consistency of processes, talent management, operational excellence, and resource optimization. Three of the six original action items have been “on hold” since August 2018 to allow for organizational analysis and strategic planning related to the results of the Administrative Review; two have been completed; and one action item was due this follow up period.

In May 2019, the SOM experienced leadership transitions including the Senior Human Resources Consultant at SOM leaving the organization. MU, MUHC and UMS HR leadership agreed that the replacement for the Senior HR Consultant would report to the Chief Human Resource Officer (CHRO) at MUHC, to accelerate the alignment of talent strategies across the Academic Health System. With this realignment of HR responsibilities, the MUHC CHRO is responsible for high-level talent strategies for the SOM, and the MU Vice Chancellor of Human Resources (VCHRO) oversees HR policy compliance and alignment with HR practices. As a result of the HR leadership restructuring and rethinking the work necessary to align with UM System efforts underway for establishing a shared-services delivery model, two action plans were revised and assigned future due dates and two action plans are no longer necessary and therefore, will not be implemented. Upon completion of these action plans, the SOM HR function will be prepared to integrate with the shared-services delivery model under development for the UM System.

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***School of Medicine Clinical Trials/Research Infrastructure – Medium Risk***

The SOM Clinical Trials/Research Infrastructure action plan focused on centralizing and streamlining processes and administrative support for both pre- and post-award activities. During this follow up period, the Interim Senior Associate Dean for Research and Clinical Trials was replaced with a new, permanent leader and a new position, Director of Research Operations and Planning was created and filled. An Interim Dean of the SOM was also appointed in May 2019. A clinical trials management system was purchased in September 2018 and is in the beginning stages of implementation, with full implementation dependent upon completion of the revenue cycle replacement project at MUHC. These changes have resulted in a shift in the overall management and approach to research processes and structures at SOM. As these changes are recent and a departure from the previous course, it was necessary to revise two action plan items and due dates to allow new processes and structures the opportunity to mature and prove success.

***School of Medicine Department of Surgery Financial Processes – Medium Risk***

The SOM Department of Surgery Financial Processes action plan focused on streamlining work processes and calculations, related to contracts and incentive compensation, to reduce the potential for errors. Higher-level changes are underway at the SOM Finance function to standardize and manage incentive contract agreements with providers across all SOM Departments; these processes will be implemented across all departments simultaneously, and are not yet ready to roll out. The due date for this item is being extended to be in alignment with the implementation timeline associated with the changes planned by SOM Finance.

***System Vendor Master File Management – Medium Risk***

The UM System Vendor Master File Management action plan focused on developing processes and guidelines for obtaining and recording standard vendor information, and for regular monitoring of vendor data for duplicate or stale vendors. The action plan associated with stale vendor management required the formation of a working group across several functions (APSS; Hospital Accounting; and Supply Chain), which has taken some time to organize and schedule. The due date was extended to allow this group to complete its work, with the expectation that new guidelines and processes for managing stale vendors will be implemented by the end of CY2019.

September 26, 2019

## Management Action Plan Summary as of July 15, 2019

Entity	Report Name	Risk Rating	Total # of Action Plans in Report	Complete	Not Due	Past Due	Revised Due Date	Will not be Implemented
MU	College of Veterinary Medicine	Medium	9	9				
MUH	HIPAA Privacy - Business Associate Agreements	High	12	12				
	<b>School of Medicine Clinical Trials/Research Infrastructure</b>	Medium	3	1			2	
	<b>School of Medicine HR Processes</b>	High	6	2			2	2
	Controlled Substances Diversion Prevention	High	19		19			
	<b>School of Medicine Dept. of Surgery - Financial Processes</b>	Medium	4	3			1	
UMKC	Institute for Human Development	High	11		11			
UMS	External Student Funded Accounts	Medium	1		1			
	University Bank Accounts	Low	2	2				
	Cash Handling	Medium	3		3			
	<b>Vendor Master File Management</b>	Medium	3		2		1	
<b>Totals</b>			<b>73</b>	<b>29</b>	<b>36</b>	<b>0</b>	<b>6</b>	<b>2</b>

**KEY:** Audits with action plans due between March 1, 2019 and July 15, 2019 are highlighted in GOLD. Audits in **BOLD** font have revised due dates; **RED** are past due.



# University of Missouri System Board of Curators

September 17, 2019

Audit Committee

Internal Audit and Consulting Report  
UM

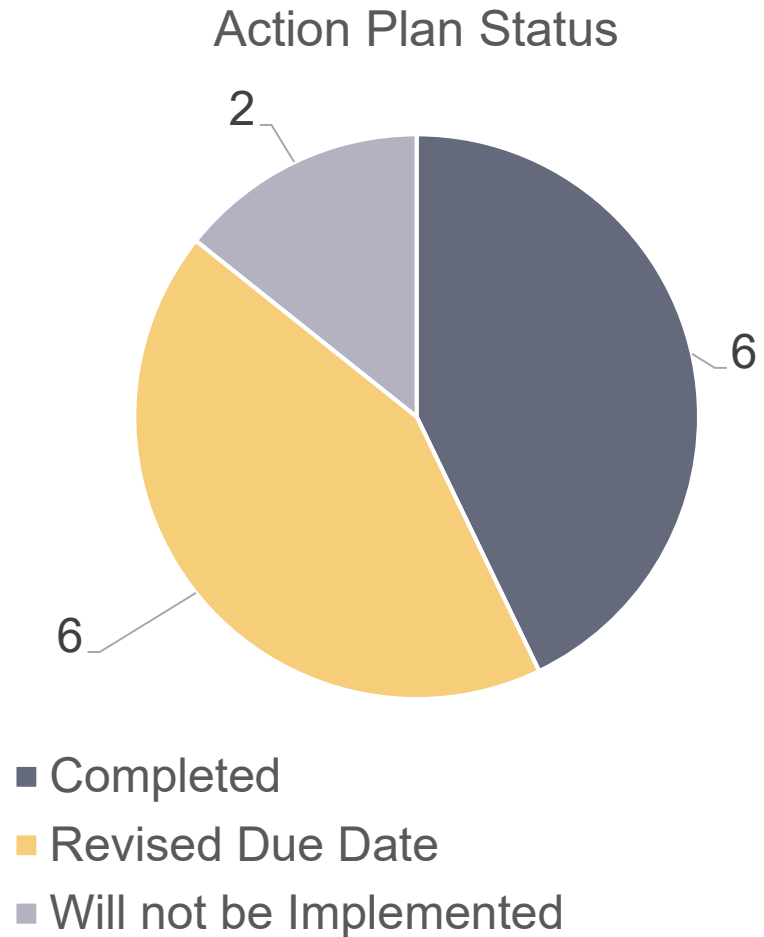


# Summary of Internal Audit Activity

## Since June 2019 Report to the Audit Committee

- Completed six internal audits, two investigations, one audit in lieu of engaging an external company and continue to monitor risks associated with the revenue cycle implementation initiative at MU Health
- Finalizing three internal audit reports
- Three internal audits in process

# Status of Management Action Plans As of July 15, 2019



- Fourteen action items in seven audits were reviewed for completion as of July 15, 2019
- Six of fourteen, or 43 percent were completed
- Six action plans were revised and/or extended (SOM Clinical Trials, SOM HR, Dept. of Surgery and Vendor Master File)
- Two action plans from SOM HR are no longer relevant and will not be implemented

# Ethics, Compliance and Audit Services

## Top Priorities

- Recruit an Executive Director for Compliance and for Internal Audit
- Development of the Code of Conduct & Standards
- Compliance gap analysis and risk assessment
- Policy review and management

# Questions?

# **COMPENSATION AND HUMAN RESOURCES**

# University of Missouri



## Board of Curators

### Compensation and Human Resources Committee Meeting

Wednesday, September 18, 2019

10:30 A.M.

This Board Committee Meeting is being held in conjunction with the September 26, 2019 Board Meeting.

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

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

**Participant Code: 177492#**

### AGENDA

#### **PUBLIC SESSION – 10:30 A.M.**

Call to Order – Chairman Snowden

Roll Call of the Committee

#### Action

1. Amendments to Collected Rules and Regulations Listed Below to Update Terminology and References in Conjunction with the Implementation of the Defined Contribution Plan effective October 1, 2019:
  - a. 230.070, Educational Assistance Program for University Employees
  - b. 320.050, Employee Status
  - c. 320.150, Discontinuance of Programs or Departments of Instruction
  - d. 340.090, Development Leave
  - e. 440.040, University Physicians Medical Practice Plan
  - f. 520.010, Benefit Programs
2. Amendments to the Collected Rules and Regulations 530.010 Retirement, Disability & Death Benefit Plan and Additional Retirement Plans to Provide Additional Points of Clarification as Identified During Implementation of the Defined Contribution Retirement Plan

3. Amendment, Collected Rules and Regulations 340.050, Vacation to Update Terminology in Alignment with CRR 340.030, Sick Leave approved in June 2018
4. Resolution for Executive Session of the Compensation and Human Resources Committee

Recess



Collected Rules and Regulations 230.070, 320.050, 320.150,  
340.090, 440.040, 510.010 Amendments

Executive Summary

In preparation for the implementation of the defined contribution plan effective 10/01/2019, references to the retirement plan in the Collected Rules and Regulations are being changed to include the defined contribution plan. A change is also being made to the rule regarding benefits programs to update the title to Associate Vice President for Human Resources and Chief Human Resources Officer. Board materials include a redlined copy of the proposed language adjustments.

- 230.070 Educational Assistance Program for University Employees, Other than Graduate Teaching and Research Assistants
- 320.050 Employee Status
- 320.150 Discontinuance of Programs or Departments of Instruction
- 340.090 Development Leave
- 440.040 University Physicians Medical Practice Plan
- 520.010 Benefit Programs

No. 1

Recommended Action – Collected Rules and Regulations 230.070, 320.050, 320.150, 340.090, 440.040, 510.010 Amendments

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

that the following Collected Rules and Regulations be amended as indicated in the attached document containing proposed language changes:

- 230.070 Educational Assistance Program for University Employees, Other than Graduate Teaching and Research Assistants
- 320.050 Employee Status
- 320.150 Discontinuance of Programs or Departments of Instruction
- 340.090 Development Leave
- 440.040 University Physicians Medical Practice Plan
- 520.010 Benefit Programs

Roll call vote of the Committee:                      YES                      NO

Curator Snowden  
Curator Brncic  
Curator Chatman  
Curator Layman

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

Roll call vote of the Board:                      YES                      NO

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

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

Action 1

- a. **CRR 230.070 Educational Assistance Program for University Employees**

## Collected Rules and Regulations

**REDLINE**

### 230.070 Educational Assistance Program for University Employees, Other than Graduate Teaching and Research Assistants

#### Chapter 230: Student Fees

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

- A. All employees classified at least 75 percent FTE** with an indicated appointment duration of at least nine months may enroll for not more than six credit hours per semester (a maximum of three during the summer session or intersession) in college level, credit courses. Those appointed on a full-time, nine-month basis, however, may enroll for not more than the maximum number of hours allowable by that campus during the summer session, provided they do not hold an appointment for the summer session. Those employees not eligible to participate in the program include employees on unpaid leave of absence, students and employees in positions considered to be student employment (including but not limited to Graduate Teaching Assistants, Graduate Research Assistants, Graduate Instructors and Student Assistants).
1. These employees:
    - a. Shall be permitted to receive credit for courses taken within the regulations of the University of Missouri;
    - b. Will pay 25 percent of the normal Tuition and Supplemental Fees when enrolling with the intention of receiving academic credit for the course(s). The employee will pay the normal amount on all other fees. No Tuition nor Supplemental Fee is required if the employee audits courses on employee's own or at the request of the department head.
    - c. Prior to the end of the semester/session in which Educational Assistance is being requested, an employee must submit to the campus Human Resource Services Office a request (Form #UM84-1), approved by employee's department head, the dean or director or by the Provost or designee on campuses with no schools or colleges, indicating the course(s) to be taken, its (their) purpose, and how the time is to be adjusted.
    - d. Employees must file an application to enroll with the Registrar and meet the student admission requirements.
- B. Administrative, Service and Support Staff (non-academic)** enrolling in college classes are subject to the following conditions:
1. Immediately prior to registration, the employee must have completed a six-month period of continuous employment. If the course work is part of the required job training procedure for the work to be done by the employee, the six-month employment requirement may be waived.

2. The course(s):
  - a. Must be taken outside scheduled working hours, or
  - b. An equivalent adjustment must be made in the employee's work schedule to make up the time away from work, or
  - c. An equivalent adjustment must be made in the employee's pay, or
  - d. The time away from work must be deducted from an employee's vacation.
3. When an employee is requested by the department head to enroll in a course(s) which is (are) directly related to employee's assigned University responsibilities, the time away from work to attend classes shall be considered as part of employee's regular work schedule.
4. Class attendance shall not take priority over the work to be performed except as outlined above.
5. An employee who has retired under ~~at the University of Missouri retirement plan-Retirement, Disability and Death Benefit Plan~~ will be permitted to register and receive credit for courses without payment of tuition, providing there is space available. Such retired employee must meet the student admission requirements. The retired employee shall also present to the Registrar the Retirement Identification Card at time of registration.

**C. Tuition Reduction for Spouses and Dependents**

1. Definitions
  - a. Employee: Employees must be currently employed in a Fully Benefit Eligible Academic Appointment or as a Regular administrative, service and support employee and have one year of continuous, full-time service with the University at some point, prior to the deadline for registration. The employee must remain a University of Missouri employee through the beginning of the course in which the spouse/dependent is enrolled. If the employee separates from the University, the spouse/dependent may complete the semester in which enrolled.
  - b. Eligible Spouse: The legal spouse of an Employee, excluding a divorced spouse or a spouse separated by contract or decree from the Employee. Employees eligible for the Educational Assistance Program are excluded from the definition of Eligible Spouse.
  - c. Eligible Dependent includes:
    - Eligible Dependent Child or Children must meet the criteria required under the definitions of "Child or Children" and "Dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan with the exception that foster children shall not be eligible under this program. Employees eligible for the Educational Assistance Program are excluded from the definition of Eligible Dependent.
    - An eligible Sponsored Adult Dependent who meets the criteria required under the definitions of "Sponsored Adult OPEN – C&HR – 1-5

September 26, 2019

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Dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan. Employees eligible for the Educational Assistance Program are excluded from this program.

- d. Course: University of Missouri college credit course is defined as any undergraduate, graduate, or professional credit course offered by the institution up to a total of 140 credit hours per eligible spouse or dependent. University programs of study, which blend undergraduate and graduate courses, are included and may be accessed up to the 140 credit hour limit.
  - e. Fees: Tuition only. Supplemental course fees, activity, facility, and health fees, books and other expenses are the responsibility of the participant. Application for this tuition reduction must be made prior to the end of the semester/session in which Tuition Reimbursement is being requested. No tuition reduction will be granted for courses previously completed. The regular refund policy of the University applies in cases of withdrawal from a course.
2. Benefit: The University will provide a benefit equal to a 50% reduction of tuition for an Eligible Spouse or an Eligible Dependent of Eligible Employees for up to 140 credit hours of University of Missouri college credit courses per Eligible Spouse or Eligible Dependent. Under no circumstances will the benefits under this policy exceed 50%, even if both parents of the dependent are University employees. Notwithstanding any other provision, if an Eligible Spouse or an Eligible Dependent has received a tuition reduction benefit during a course of study prior to the sponsoring Employee's death, the University will continue to provide a benefit equal to a 50% reduction of tuition in that course of study for up to a total of 140 credit hours of University of Missouri college credit courses, but in no event for a period longer than five years after the Employee's death. Notwithstanding any other provision, if an Eligible Spouse or an Eligible Dependent has received a tuition reduction benefit in a course of study during the semester of or immediately prior to the sponsoring Employee's retirement under ~~the University of Missouri Retirement plan, Disability and Death Benefit Plan,~~ the University will continue to provide a benefit equal to a 50% reduction of tuition in that course of study for up to a total of 140 credit hours of University of Missouri college credit courses, but in no event for a period longer than five years after the Employee's retirement. For all courses (undergraduate, graduate, or professional), the rate of such tuition reduction shall be based upon the tuition charged to a resident student for undergraduate courses.

## Collected Rules and Regulations

### 230.070 Educational Assistance Program for University Employees, Other than Graduate Teaching and Research Assistants

#### Chapter 230: Student Fees

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

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    - c. Prior to the end of the semester/session in which Educational Assistance is being requested, an employee must submit to the campus Human Resource Services Office a request (Form #UM84-1), approved by employee's department head, the dean or director or by the Provost or designee on campuses with no schools or colleges, indicating the course(s) to be taken, its (their) purpose, and how the time is to be adjusted.
    - d. Employees must file an application to enroll with the Registrar and meet the student admission requirements.
- B. Administrative, Service and Support Staff (non-academic)** enrolling in college classes are subject to the following conditions:
1. Immediately prior to registration, the employee must have completed a six-month period of continuous employment. If the course work is part of the required job training procedure for the work to be done by the employee, the six-month employment requirement may be waived.

2. The course(s):
  - a. Must be taken outside scheduled working hours, or
  - b. An equivalent adjustment must be made in the employee's work schedule to make up the time away from work, or
  - c. An equivalent adjustment must be made in the employee's pay, or
  - d. The time away from work must be deducted from an employee's vacation.
3. When an employee is requested by the department head to enroll in a course(s) which is (are) directly related to employee's assigned University responsibilities, the time away from work to attend classes shall be considered as part of employee's regular work schedule.
4. Class attendance shall not take priority over the work to be performed except as outlined above.
5. An employee who has retired under a University of Missouri retirement plan will be permitted to register and receive credit for courses without payment of tuition, providing there is space available. Such retired employee must meet the student admission requirements. The retired employee shall also present to the Registrar the Retirement Identification Card at time of registration.

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  - b. Eligible Spouse: The legal spouse of an Employee, excluding a divorced spouse or a spouse separated by contract or decree from the Employee. Employees eligible for the Educational Assistance Program are excluded from the definition of Eligible Spouse.
  - c. Eligible Dependent includes:
    - Eligible Dependent Child or Children must meet the criteria required under the definitions of "Child or Children" and "Dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan with the exception that foster children shall not be eligible under this program. Employees eligible for the Educational Assistance Program are excluded from the definition of Eligible Dependent.
    - An eligible Sponsored Adult Dependent who meets the criteria required under the definitions of "Sponsored Adult



Dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan. Employees eligible for the Educational Assistance Program are excluded from this program.

- d. Course: University of Missouri college credit course is defined as any undergraduate, graduate, or professional credit course offered by the institution up to a total of 140 credit hours per eligible spouse or dependent. University programs of study, which blend undergraduate and graduate courses, are included and may be accessed up to the 140 credit hour limit.
  - e. Fees: Tuition only. Supplemental course fees, activity, facility, and health fees, books and other expenses are the responsibility of the participant. Application for this tuition reduction must be made prior to the end of the semester/session in which Tuition Reimbursement is being requested. No tuition reduction will be granted for courses previously completed. The regular refund policy of the University applies in cases of withdrawal from a course.
2. Benefit: The University will provide a benefit equal to a 50% reduction of tuition for an Eligible Spouse or an Eligible Dependent of Eligible Employees for up to 140 credit hours of University of Missouri college credit courses per Eligible Spouse or Eligible Dependent. Under no circumstances will the benefits under this policy exceed 50%, even if both parents of the dependent are University employees. Notwithstanding any other provision, if an Eligible Spouse or an Eligible Dependent has received a tuition reduction benefit during a course of study prior to the sponsoring Employee's death, the University will continue to provide a benefit equal to a 50% reduction of tuition in that course of study for up to a total of 140 credit hours of University of Missouri college credit courses, but in no event for a period longer than five years after the Employee's death. Notwithstanding any other provision, if an Eligible Spouse or an Eligible Dependent has received a tuition reduction benefit in a course of study during the semester of or immediately prior to the sponsoring Employee's retirement under a University of Missouri retirement plan, the University will continue to provide a benefit equal to a 50% reduction of tuition in that course of study for up to a total of 140 credit hours of University of Missouri college credit courses, but in no event for a period longer than five years after the Employee's retirement. For all courses (undergraduate, graduate, or professional), the rate of such tuition reduction shall be based upon the tuition charged to a resident student for undergraduate courses.

Action 1

**b. CRR 320.050 Employee Status**

# 320.050 Employee Status

**REDLINE**

## Chapter 320: Employment and Termination

Bd. Min. 2-27-76; Amended 9-26-97; Amended Bd. Min. 10-17-03; Amended 4-03-09; Amended 6-14-13; Amended 12-11-14.

- I. **Academic Staff Appointment:** There are two categories of Academic Staff appointments, Regular and Nonregular, as defined by Section 310.020 of the Collected Rules and Regulations (CRR). For the purposes of Section 320.050 of the CRR, the status of Academic Staff appointments is based on the terms of the employment relationship with the University, and both Regular and Nonregular academic staff employees may be either a Fully Benefit Eligible Employee or a Variable Hour Employee as determined by the definitions below:

A. **Fully Benefit Eligible Academic Appointment:** A University employee with an Academic Staff appointment that is at least 75 percent full time equivalent (FTE) and with indicated appointment duration of at least nine months. Individuals who are simultaneously employed by the University and the Harry S. Truman Veterans Administration Hospital, pursuant to an agreement between said organizations, where the total combined appointments are greater than 75 percent FTE, but the University portion of the appointment is less than 75 percent FTE, are considered Fully Benefit Eligible except for the purpose of participation in ~~the University's of Missouri Retirement Disability and Death Plan and the Employee Retirement Investment Plan.~~

B. **Variable Hour Employee:** A University employee with an Academic Staff appointment that does not meet the definition of Fully Benefit Eligible above or the definition of Regular Employee (Administrative, Service and Support Staff) below, or the definition of Student Employee below.

- II. **Administrative, Service and Support Staff:** The following provisions defining Regular Employee, Variable Hour Employee, Nonregular Employee and Per Diem Employee are in effect for all Administrative, Service and Support Staff employees, unless specifically exempted by policy.

A. **Regular Employee:** A University employee with an Administrative, Service and Support Staff appointment that is at least 75 percent FTE with an appointment duration of at least nine months.

B. **Variable Hour Employee:** An employee that does not have an Academic Staff Appointment that meets the definition of Fully Benefit Eligible Academic Appointment above or the definition of Regular Employee (Administrative, Service and Support Staff) above, or the definition of Student Employee below. A Variable Hour Employee in an Administrative, Service and Support Staff appointment may be either a Nonregular Employee or a Per Diem Employee as defined below.

1. **Nonregular Employee:** An employee that has an Administrative, Service and Support Staff appointment that does not qualify for Regular Employee status as defined above.

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2. **Per Diem Employee:** An employee that has an Administrative, Service and Support Staff appointment that is not a part of an operating unit's regular work schedule and is scheduled to work only on an "as needed" basis. Work may be scheduled prospectively but should be considered as "elected" by the employee. Per Diem employees are provided an hourly rate of pay following approved rate schedule(s).

III. **Subsidiary Employee:** The following provisions defining Regular Employee, Variable Hour Employee, Nonregular Employee and Per Diem Employee are in effect for all Subsidiary Employees, unless specifically exempted by policy. A "Subsidiary Employee" means an employee of a "subsidiary entity" (which is defined to mean any organization (whether or not incorporated) which is required to be aggregated with the University pursuant to sections 414(b), (c), and (m) of the Internal Revenue Code and the regulations thereunder).

A. **Regular Employee:** A Subsidiary Employee with an appointment that is at least 75 percent FTE with an appointment duration of at least nine months.

B. **Variable Hour Employee:** A Subsidiary Employee that does not meet the definition of Regular Employee (Subsidiary Employee) above. A Variable Hour Employee in a Subsidiary Employee appointment may be either a Nonregular Employee or a Per Diem Employee as defined below.

1. **Nonregular Employee:** An employee that has a Subsidiary Employee appointment that does not qualify for Regular Employee status as defined above.
2. **Per Diem Employee:** An employee that has a Subsidiary Employee appointment that is not a part of an operating unit's regular work schedule and is scheduled to work only on an "as needed" basis. Work may be scheduled prospectively but should be considered as "elected" by the employee. Per Diem employees are provided an hourly rate of pay following approved rate schedule(s).

IV. **Student Employees:** A University employee that is enrolled as a student at the University of Missouri and whose primary association with the University is related to the pursuit of an academic program. Because academic pursuit is the primary purpose of the student role, Student Employees should not be scheduled to work more than an average of 28 hours per week across all concurrent University jobs during the measurement period [1] and should be in a student title as described in HR-204 Student Position Titles.

V. The President is hereby authorized, subject to approval of the language by the General Counsel, to modify the language of benefit plan documents, as necessary to make them consistent with the above revisions of Section 320.050.

[1] Measurement and Stability Periods are designated by the University in accordance with Section 4980H of the Internal Revenue Code and the regulations thereunder.

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# 320.050 Employee Status

## Chapter 320: Employment and Termination

Bd. Min. 2-27-76; Amended 9-26-97; Amended Bd. Min. 10-17-03; Amended 4-03-09; Amended 6-14-13; Amended 12-11-14.

- I. **Academic Staff Appointment:** There are two categories of Academic Staff appointments, Regular and Nonregular, as defined by Section 310.020 of the Collected Rules and Regulations (CRR). For the purposes of Section 320.050 of the CRR, the status of Academic Staff appointments is based on the terms of the employment relationship with the University, and both Regular and Nonregular academic staff employees may be either a Fully Benefit Eligible Employee or a Variable Hour Employee as determined by the definitions below:

- A. **Fully Benefit Eligible Academic Appointment:** A University employee with an Academic Staff appointment that is at least 75 percent full time equivalent (FTE) and with indicated appointment duration of at least nine months. Individuals who are simultaneously employed by the University and the Harry S. Truman Veterans Administration Hospital, pursuant to an agreement between said organizations, where the total combined appointments are greater than 75 percent FTE, but the University portion of the appointment is less than 75 percent FTE, are considered Fully Benefit Eligible except for the purpose of participation in a University of Missouri retirement plan.

- B. **Variable Hour Employee:** A University employee with an Academic Staff appointment that does not meet the definition of Fully Benefit Eligible above or the definition of Regular Employee (Administrative, Service and Support Staff) below, or the definition of Student Employee below.

- II. **Administrative, Service and Support Staff:** The following provisions defining Regular Employee, Variable Hour Employee, Nonregular Employee and Per Diem Employee are in effect for all Administrative, Service and Support Staff employees, unless specifically exempted by policy.

- A. **Regular Employee:** A University employee with an Administrative, Service and Support Staff appointment that is at least 75 percent FTE with an appointment duration of at least nine months.

- B. **Variable Hour Employee:** An employee that does not have an Academic Staff Appointment that meets the definition of Fully Benefit Eligible Academic Appointment above or the definition of Regular Employee (Administrative, Service and Support Staff) above, or the definition of Student Employee below. A Variable Hour Employee in an Administrative, Service and Support Staff appointment may be either a Nonregular Employee or a Per Diem Employee as defined below.

1. **Nonregular Employee:** An employee that has an Administrative, Service and Support Staff appointment that does not qualify for Regular Employee status as defined above.

2. **Per Diem Employee:** An employee that has an Administrative, Service and Support Staff appointment that is not a part of an operating unit's regular work schedule and is scheduled to work only on an "as needed" basis. Work may be scheduled prospectively but should be considered as "elected" by the employee. Per Diem employees are provided an hourly rate of pay following approved rate schedule(s).

III. **Subsidiary Employee:** The following provisions defining Regular Employee, Variable Hour Employee, Nonregular Employee and Per Diem Employee are in effect for all Subsidiary Employees, unless specifically exempted by policy. A "Subsidiary Employee" means an employee of a "subsidiary entity" (which is defined to mean any organization (whether or not incorporated) which is required to be aggregated with the University pursuant to sections 414(b), (c), and (m) of the Internal Revenue Code and the regulations thereunder).

- A. **Regular Employee:** A Subsidiary Employee with an appointment that is at least 75 percent FTE with an appointment duration of at least nine months.
- B. **Variable Hour Employee:** A Subsidiary Employee that does not meet the definition of Regular Employee (Subsidiary Employee) above. A Variable Hour Employee in a Subsidiary Employee appointment may be either a Nonregular Employee or a Per Diem Employee as defined below.
  1. **Nonregular Employee:** An employee that has a Subsidiary Employee appointment that does not qualify for Regular Employee status as defined above.
  2. **Per Diem Employee:** An employee that has a Subsidiary Employee appointment that is not a part of an operating unit's regular work schedule and is scheduled to work only on an "as needed" basis. Work may be scheduled prospectively but should be considered as "elected" by the employee. Per Diem employees are provided an hourly rate of pay following approved rate schedule(s).

IV. **Student Employees:** A University employee that is enrolled as a student at the University of Missouri and whose primary association with the University is related to the pursuit of an academic program. Because academic pursuit is the primary purpose of the student role, Student Employees should not be scheduled to work more than an average of 28 hours per week across all concurrent University jobs during the measurement period [1] and should be in a student title as described in HR-204 Student Position Titles.

V. The President is hereby authorized, subject to approval of the language by the General Counsel, to modify the language of benefit plan documents, as necessary to make them consistent with the above revisions of Section 320.050.

[1] Measurement and Stability Periods are designated by the University in accordance with Section 4980H of the Internal Revenue Code and the regulations thereunder.

Action 1

**c. CRR 320.150 Discontinuance of Programs or Departments of Instructions**

# Collected Rules and Regulations

## Personnel

**REDLINE**

### Chapter 320: Employment and Termination

#### 320.150 Discontinuance of Programs or Departments of Instruction

Bd. Min. 2-12-82; Bd. Min. 7-27-84; Bd. Min. 10-13-89; Revised 1-29-92; 7-30-92.

A. **Authority** -- The discontinuance of a program or a department which would result in the termination of continuous appointments or term appointments before their expiration may be done in either of the following manners:

1. The Board of Curators in the exercise of the power vested in it by Article IX, Section 9(a) of the Constitution of the State of Missouri may discontinue a program or department which would result in the termination of continuous appointments or term appointments before their expiration without following the procedures set out in this Section 320.150.B to 320.150.B.4, inclusive, but the Board of Curators in making its decision shall consider the criteria set out in Section 320.150.B.2. Before a final decision is made to terminate a program or a department under Section 320.150.A.1, the Board of Curators shall consult with the President and the Chancellor of the affected campus, who will consult with appropriate faculty representatives and the affected academic unit. Within a reasonable time to be set by the Board, the affected academic unit shall be given the opportunity to submit to the Board of Curators, through the Chancellor and the President, its response to a proposed program or department termination and any alternate suggestions and recommendations.



2. The procedures in the Section 320.150.B to Section 320.150.B.5 may be used to discontinue a program or department which would result in the termination of continuous appointments or term appointments before their expiration.

If either alternative is used to discontinue a program or department which would result in the termination of continuous appointments or term appointments before their expiration, the provisions of the Section 320.150.B.5 to Section 320.150.D.2.e(2), inclusive are applicable.

**B. Procedures** -- The procedures set out in Section 320.150.B to Section 320.B.5 apply when the discontinuance of a program or a department could result in the termination of continuous appointments or term appointments before their expiration and the process is initiated pursuant to Section 320.150.A.2. The procedures do not apply when the process is initiated pursuant to Section 320.150.A.1. The procedures also do not apply to transfer of programs from one campus to another or to elimination of program which do not involve the termination of continuous appointments or term appointments before their expiration.

1. **Program Defined** -- The term "program" is used in many ways. Here, however, the specific intention is to identify the designation "program" with the typical academic department; the program consists of the productive effort of that administrative and budgetary unit most often designated as a "department," which usually corresponds to widely recognized disciplinary designations. There are limited exceptions to this definition of programs, such as when a school or college is not organized into departments, or when specializations within the department or school are so unique in content that faculty members normally cannot cross from one area to another.

2. **Considerations** -- The discontinuance of a program or department which could result in the termination of continuous appointments or term appointments before their expiration shall be based on the following criteria:
  - a. Contribution of the program to campus and University missions;
  - b. Need for the program;
  - c. Financial considerations;
  - d. Quality of the program;
  - e. Welfare of the student, including the opportunity which student currently enrolled in the course will have to complete it;
  - f. Extent to which the program is available at other institutions in the State and region; and
  - g. Extent to which the University has unique advantages in offering the program.
3. **Role of Chancellor** -- After consulting with the President, if the Chancellor reaches a tentative decision that a program should be discontinued, the Chancellor shall present the decision, together with reasons, to an appropriate standing committee, the majority of whose members are faculty, or shall appoint a committee, the majority of whose members shall be faculty. The Chancellor shall simultaneously present the decision, together with reasons, to the affected administrative unit or units. The Committee shall present to the Chancellor any response or alternative recommendation within a reasonable time. The affected unit may also submit to the committee and the Chancellor their views and recommendations.
4. **Role of Chancellor, President and Board of Curators** -  
- Having considered these responses, if the Chancellor still concludes that the program should be discontinued, and if

this action requires the termination of continuous appointments or term appointments before their expiration, the Chancellor shall forward a recommendation to the President. If the President concurs with the recommendation of the Chancellor to discontinue the program, the President shall make that recommendation to the Board of Curators. The Board of Curators shall then make the final decision as to whether to discontinue the program.

5. **Notice Shall be Given By Chancellor** -- After the Board of Curators' decision to discontinue a program, the Chancellor shall provide timely notice to those individuals whose appointments are to be terminated. In the case of tenured faculty or non-tenured faculty in the third or subsequent year of service, notice of termination must be given at least thirteen months prior to the date of termination. When the appointment of a non-tenured faculty member in the first or second year of service is terminated under these procedures, the notice shall be given at least six months prior to the date of termination. Since commitments to students enrolled in a program at the time of a decision by the Board of Curators to terminate a program must be met, termination notices to faculty may be issued at various times following the decision of the Board.
  - a. Notice shall be given in person or by certified mail addressed to the last address currently on record with the employing administrative unit.
  - b. Failure of any appointee to have a current correct address on record with the employing administrative unit shall not be construed to invalidate such notice.
6. **Appeal** -- An individual receiving such notice shall be given fifteen (15) days to request a hearing before the

Campus Faculty Tenure Committee as designated in the University Academic Tenure Regulations.

- a. The appeal may be based only on the grounds that procedures specified in this document have not been followed, or that the decision to recommend termination was based significantly on considerations violative either of academic freedom or of governing policies on equal employment opportunity.
- b. The tenure committee shall follow the procedures governing conduct of the hearing under the Academic Grievance Procedures and shall report to the Chancellor, as provided in Step 3 of the Academic Grievance Procedures.
- c. Following any such appeal, the recommendation of the Chancellor, together with any responses from the faculty committee or the affected units, and the findings and recommendations of the Campus Faculty Tenure Committee on any appeals shall be transmitted to the President.
- d. The President shall formulate a recommendation and present it, together with the campus materials, to the General Officers for review and advice.
- e. Following that review, the President shall make a recommendation to the Board of Curators.

**7. Placement Within the University System** -- Before the date of termination of an appointment because of the discontinuance of a program or department of instruction, the University, with faculty participation, will attempt to place the faculty member concerned in another suitable position in the University system.

- a. If the appointment of a faculty member is terminated, and if there develops within three years a faculty position on any campus for which the faculty member is qualified, it shall be the

responsibility of the President's Office to communicate with the hiring campus about the availability of the faculty member.

- b. The hiring unit shall carefully review the qualifications of the faculty member in question and determine whether such individual meets the announced criteria established for the position.
  - c. If so, the faculty member in question shall be considered for the position.
8. In all cases of termination of appointment because of discontinuance of a program or department of instruction, the University may not reinstitute that program or a substantially similar program on that campus within a period of three years, unless the faculty members whose appointments were terminated have been offered reinstatement with the same rank and tenure status and a reasonable time in which to accept or decline.

### **C. Transition Benefits for Tenured Faculty with a Minimum of Five Years Creditable Service**

1. **Eligibility for Faculty** -- Tenured faculty with a minimum of five years creditable service in the University retirement plan applicable to the faculty member; Retirement, Disability and Death Benefit Plan; employed in an area of the University which has been mandated for program discontinuance by the Board of Curators.
2. All of the following benefits are available to Faculty meeting the eligibility requirements:
  - a. A thirteen month written notice of intent to terminate employment.
  - b. The right to a leave of absence of up to one year at full payment during the 13 months following notice of intent to terminate. However, this benefit will be

terminated if the faculty member is employed full-time outside of the University.

- c. The right to an unpaid leave of absence for up to two years following the end of the 13-month period of notice of intent to terminate (see 2.a. above). Benefits available during the leave of absence with continued University contributions to include:
  - Medical Benefits
  - Dental Benefits
  - Life Insurance
  - Accidental Death and Dismemberment Insurance
  - Educational Assistance
  - However, participation in University benefit programs will not be continued if the faculty member becomes eligible for other benefit programs as a result of their employment outside of the University.
- d. The right to a major medical conversion policy upon termination of employment.
- e. The right to a life insurance conversion policy upon termination of employment.
- f. The right to have the one year paid leave of absence count toward retirement by waiving the requirement that the employee return to employment for one year upon expiration of the leave.
- g. Out-placement counseling.
- h. A lump-sum "cash-out" of vested retirement benefits. The lump-sum to be calculated on the basis of the actuarial equivalent of the benefits accrued in the University Retirement, Disability and Death Benefit Plan at termination of employment which

would have been paid in the form of a monthly annuity beginning at age 65. The lump-sum to be distributed upon termination as follows:

- (1) Taxable cash income, or
- (2) A before tax individual retirement account "rollover".

#### **D. Transition Benefits for Other University Employees**

##### **1. Eligibility for Administrative, Service, Support and other Academic Staff (those not covered by section C)**

-- Staff with a minimum of five years creditable service in the [University retirement plan applicable to the employee Retirement, Disability and Death Benefit Plan](#); employed in an area of the University which has been mandated for program discontinuance by the Board of Curators.

##### **2. Benefits Available to Staff Meeting the Eligibility Requirements**

- a. The right to a one year unpaid leave of absence prior to termination. Benefits available during the leave of absence with continued University contributions to include:
  - Medical Benefits
  - Dental Benefits
  - Life Insurance
  - Accidental Death and Dismemberment Insurance
  - Educational Assistance
  - Participation in University benefit programs will not be continued if the staff member becomes eligible for other benefit programs as a result of their employment outside the University.

- b. The right to a major medical conversion policy upon termination of employment.
- c. The right to a life insurance conversion policy upon termination of employment.
- d. Out-placement counseling.
- e. A lump-sum "cash-out" of vested retirement benefits. The lump-sum is to be calculated on the basis of the actuarial equivalent of the benefits accrued in the University Retirement, Disability and Death Benefit Plan at termination of employment which would have been paid in the form of a monthly annuity beginning at age 65. The lump-sum to be distributed upon termination as follows:
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# Collected Rules and Regulations

## Personnel

### Chapter 320: Employment and Termination

#### 320.150 Discontinuance of Programs or Departments of Instruction

Bd. Min. 2-12-82; Bd. Min. 7-27-84; Bd. Min. 10-13-89; Revised 1-29-92; 7-30-92.

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2. The procedures in the Section 320.150.B to Section 320.150.B.5 may be used to discontinue a program or department which would result in the termination of continuous appointments or term appointments before their expiration.

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  - a. Contribution of the program to campus and University missions;
  - b. Need for the program;
  - c. Financial considerations;
  - d. Quality of the program;
  - e. Welfare of the student, including the opportunity which student currently enrolled in the course will have to complete it;
  - f. Extent to which the program is available at other institutions in the State and region; and
  - g. Extent to which the University has unique advantages in offering the program.
3. **Role of Chancellor** -- After consulting with the President, if the Chancellor reaches a tentative decision that a program should be discontinued, the Chancellor shall present the decision, together with reasons, to an appropriate standing committee, the majority of whose members are faculty, or shall appoint a committee, the majority of whose members shall be faculty. The Chancellor shall simultaneously present the decision, together with reasons, to the affected administrative unit or units. The Committee shall present to the Chancellor any response or alternative recommendation within a reasonable time. The affected unit may also submit to the committee and the Chancellor their views and recommendations.
4. **Role of Chancellor, President and Board of Curators** -
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  - b. Failure of any appointee to have a current correct address on record with the employing administrative unit shall not be construed to invalidate such notice.
6. **Appeal** -- An individual receiving such notice shall be given fifteen (15) days to request a hearing before the

Campus Faculty Tenure Committee as designated in the University Academic Tenure Regulations.

- a. The appeal may be based only on the grounds that procedures specified in this document have not been followed, or that the decision to recommend termination was based significantly on considerations violative either of academic freedom or of governing policies on equal employment opportunity.
- b. The tenure committee shall follow the procedures governing conduct of the hearing under the Academic Grievance Procedures and shall report to the Chancellor, as provided in Step 3 of the Academic Grievance Procedures.
- c. Following any such appeal, the recommendation of the Chancellor, together with any responses from the faculty committee or the affected units, and the findings and recommendations of the Campus Faculty Tenure Committee on any appeals shall be transmitted to the President.
- d. The President shall formulate a recommendation and present it, together with the campus materials, to the General Officers for review and advice.
- e. Following that review, the President shall make a recommendation to the Board of Curators.

**7. Placement Within the University System** -- Before the date of termination of an appointment because of the discontinuance of a program or department of instruction, the University, with faculty participation, will attempt to place the faculty member concerned in another suitable position in the University system.

- a. If the appointment of a faculty member is terminated, and if there develops within three years a faculty position on any campus for which the faculty member is qualified, it shall be the

responsibility of the President's Office to communicate with the hiring campus about the availability of the faculty member.

- b. The hiring unit shall carefully review the qualifications of the faculty member in question and determine whether such individual meets the announced criteria established for the position.
- c. If so, the faculty member in question shall be considered for the position.

8. In all cases of termination of appointment because of discontinuance of a program or department of instruction, the University may not reinstitute that program or a substantially similar program on that campus within a period of three years, unless the faculty members whose appointments were terminated have been offered reinstatement with the same rank and tenure status and a reasonable time in which to accept or decline.

### **C. Transition Benefits for Tenured Faculty with a Minimum of Five Years Creditable Service**

- 1. **Eligibility for Faculty** -- Tenured faculty with a minimum of five years creditable service in the University retirement plan applicable to the faculty member; employed in an area of the University which has been mandated for program discontinuance by the Board of Curators.
- 2. All of the following benefits are available to Faculty meeting the eligibility requirements:
  - a. A thirteen month written notice of intent to terminate employment.
  - b. The right to a leave of absence of up to one year at full payment during the 13 months following notice of intent to terminate. However, this benefit will be

terminated if the faculty member is employed full-time outside of the University.

- c. The right to an unpaid leave of absence for up to two years following the end of the 13-month period of notice of intent to terminate (see 2.a. above). Benefits available during the leave of absence with continued University contributions to include:
  - Medical Benefits
  - Dental Benefits
  - Life Insurance
  - Accidental Death and Dismemberment Insurance
  - Educational Assistance
  - However, participation in University benefit programs will not be continued if the faculty member becomes eligible for other benefit programs as a result of their employment outside of the University.
- d. The right to a major medical conversion policy upon termination of employment.
- e. The right to a life insurance conversion policy upon termination of employment.
- f. The right to have the one year paid leave of absence count toward retirement by waiving the requirement that the employee return to employment for one year upon expiration of the leave.
- g. Out-placement counseling.
- h. A lump-sum "cash-out" of vested retirement benefits. The lump-sum to be calculated on the basis of the actuarial equivalent of the benefits accrued in the University Retirement, Disability and Death Benefit Plan at termination of employment which

would have been paid in the form of a monthly annuity beginning at age 65. The lump-sum to be distributed upon termination as follows:

- (1) Taxable cash income, or
- (2) A before tax individual retirement account "rollover".

#### **D. Transition Benefits for Other University Employees**

- 1. Eligibility for Administrative, Service, Support and other Academic Staff (those not covered by section C)** -- Staff with a minimum of five years creditable service in the University retirement plan applicable to the employee; employed in an area of the University which has been mandated for program discontinuance by the Board of Curators.
- 2. Benefits Available to Staff Meeting the Eligibility Requirements**
  - a. The right to a one year unpaid leave of absence prior to termination. Benefits available during the leave of absence with continued University contributions to include:
    - Medical Benefits
    - Dental Benefits
    - Life Insurance
    - Accidental Death and Dismemberment Insurance
    - Educational Assistance
    - Participation in University benefit programs will not be continued if the staff member becomes eligible for other benefit programs as a result of their employment outside the University.



- b. The right to a major medical conversion policy upon termination of employment.
- c. The right to a life insurance conversion policy upon termination of employment.
- d. Out-placement counseling.
- e. A lump-sum "cash-out" of vested retirement benefits. The lump-sum is to be calculated on the basis of the actuarial equivalent of the benefits accrued in the University Retirement, Disability and Death Benefit Plan at termination of employment which would have been paid in the form of a monthly annuity beginning at age 65. The lump-sum to be distributed upon termination as follows:
  - (1) Taxable cash income, or
  - (2) A before tax individual retirement account "rollover".

Action 1

**d. CRR 340.090 Development Leave**

# Collected Rules and Regulations

## Personnel

**REDLINE**

### Chapter 340: Employee Absences

#### 340.090 Development Leave

Revised Bd. Min. 10-9-81; Amended Bd. Min. 7-22-83, 10-30-87 and 01-31-08.

A. **Eligible Employees** -- Administrative, Service and Support employees are eligible to apply for a development leave to pursue personal, professional, instructional, or administrative development. (Faculty eligibility and conditions for development leave are addressed in CRR 340.070.)

B. **Conditions for Granting Leave**

1. Development leave may be taken for a period of time up to a full year.
2. If an Administrative, Service & Support employee receives external fellowship or grant support for a development leave, the University may supplement such support to provide full regular salary; if such external support is not received, the University may provide full regular salary. Additional travel funds and leave related expenses may be provided as deemed appropriate.
3. Administrative, Service & Support employees who are granted paid development leaves must state their intention to return to the University for the same amount of time they plan to be gone. Return of the employee for such period of time does not guarantee that the period of such leave shall be taken into account as service credit for purposes of any University retirement plan~~the University's Retirement, Disability, and Death Benefit Plan~~. Exemptions to returning to the University at the conclusion of the leave

can only be granted by the president upon recommendation of the chancellor.

4. All Administrative, Service & Support employees must file a report of their accomplishments during the leave period as specified by their chancellor or chancellor's designee.

# **Collected Rules and Regulations**

## **Personnel**

### **Chapter 340: Employee Absences**

#### **340.090 Development Leave**

Revised Bd. Min. 10-9-81; Amended Bd. Min. 7-22-83, 10-30-87 and 01-31-08.

A. **Eligible Employees** -- Administrative, Service and Support employees are eligible to apply for a development leave to pursue personal, professional, instructional, or administrative development. (Faculty eligibility and conditions for development leave are addressed in CRR 340.070.)

B. **Conditions for Granting Leave**

1. Development leave may be taken for a period of time up to a full year.
2. If an Administrative, Service & Support employee receives external fellowship or grant support for a development leave, the University may supplement such support to provide full regular salary; if such external support is not received, the University may provide full regular salary. Additional travel funds and leave related expenses may be provided as deemed appropriate.
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4. All Administrative, Service & Support employees must file a report of their accomplishments during the leave period as specified by their chancellor or chancellor's designee.

Action 1

**e. CRR 440.040 University Physicians Medical Practice Plan**

## Chapter 440: UMC Medical Services

**REDLINE**

### 440.040 University Physicians Medical Practice Plan

Amended February 27, 1976 & Bd. Min. 12-14-79 & 3-17-87; Amended Bd. Min. 9-28-17; Amended Bd. Min. 9-20-18.

#### A. Definitions

1. **University Physician Medical Practice Plan**—These rules and regulations shall be known and referred to as the “University Physicians Medical Practice Plan.”
2. **Plan**—The word “Plan” as used in these regulations shall be construed to mean the Plan herein created for the rendering of professional services to patients, consultation or any other services related to their professional skills rendered to others than the University by members of the Faculty of the School of Medicine of the University of Missouri-Columbia (“MU”), providing for the use of any fees or compensation received for such services and providing for additional compensation for those Faculty members who become participants in the Plan.
3. **Plan Income** —The words “Plan Income” shall be construed to mean all income received by the University by assignment which are derived from patient care activities from sources identified in Section 440.040.D.
4. **MU Health Care**—The words “MU Health Care” or “MUHC” as used herein shall refer to the facilities owned, operated or that are affiliates of MU Health Care and the School of Medicine. This includes MU and the UM System.
5. **Participant**—The word “Participant” as used in these regulations shall be construed to mean all Faculty of the School of Medicine who are members of the MUHC Medical Staff who as part of their faculty responsibilities generate income from professional activities documented by a signed contract for patient care related services which is assigned to the University pursuant to the Plan.
6. **Department**—The words “Department” or “Departments” shall refer to those departments of the School of Medicine for whom departmental accounts have been recommended by the University Physicians Management Committee and approved by the Dean and in which one or more Faculty members shall have qualified as participants in the Plan.
7. **Departmental Account**—The words “Departmental Account” or “Departmental Accounts” shall refer to those departmental accountability records maintained in the University Physicians Administration Office in support of the percentage portion of the Plan income credited to the department as determined by the Plan.
8. **UNIVERSITY PHYSICIANS**—The words “University Physicians” shall mean the operating name of the University Physicians Medical Practice Plan.
9. **Section/Division**—The words “Section/Division” or “Sections/Divisions” shall refer to those sections/divisions of departments of the School of Medicine which have a separate account as provided in Section 440.040 G.3.
10. **Section/Division Chief** —The words “Section/Division Chief” shall refer to the head of a section/division within a department qualified under the Plan.
11. **Section/Division Account**—The words “Section/Division Account” or “Section/Division Accounts” shall refer to those sectional accountability records maintained in the University Physicians Administration Office in support of the portion of the Plan income credited to the section as determined by the Plan.
12. **Dean**—The word “dean” shall refer to the Dean of the School of Medicine.
13. **Chancellor**—The word “Chancellor” shall refer to the Chancellor.
14. **President**—The word “President” shall refer to the President of the UM System.
15. **Chief of Staff** —The words “Chief of Staff” shall refer to the Chief of Staff, MU Health Care.
16. **School of Medicine** —The words “School of Medicine” shall refer to the MU School of Medicine.
17. **University**—The word “University” shall refer to The Curators of the University of Missouri and UM System.

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18. **Hospital**—The word “Hospital” shall refer to the facilities owned, operated or are affiliates of MU Health Care.
  19. **Department Chair**—The words “Department Chair” or “Department Chair” shall refer to the head of a department in which one or more Faculty members shall have qualified as participants in the Plan.
  20. **Chief Executive Officer of MU Health Care** —The words “Chief Executive Officer of MU Health Care” shall refer to the Chief Executive Officer of MU Health Care.
  21. **University Physicians Management Committee**—The words “University Physicians Management Committee” shall refer to the committee established by the Plan. As an exception to the general regulation providing for the appointment of University committees, there is hereby created a committee to be known as the University Physicians Management Committee.
  22. **Executive Director of University Physicians** —The words “Executive Director of University Physicians” shall refer to the Executive Director of University Physicians.
  23. **Base Salary Contract** —The words “Base Salary Contract” shall refer to the regular employment contract approved by MU.
  24. **Participant Body**—The words “Participant Body” shall refer to the total collective participants in the Plan.
  25. **Deduction Rate**—The words “Deduction Rate” or “Deduction Rates” shall refer to the percentage(s) accounted and budgeted annually for the costs of operation of the Plan.
  26. **Group**—The word “Group” shall refer to participants within a department and/or section/division who pool their Plan income.
- B. **Purposes of the Plan**—Faculty members of the School of Medicine may be engaged in one or more of the following employment duties: teaching, research and patient care. Patient care is an integral part of the educational mission of the school for it provides to the instructor and the medical student the clinical experience essential to medical education. In the course of rendering patient care services, faculty members may generate income described in this Plan as plan income.
- This plan has been created to provide a means for establishing salary compensation for employment services rendered by plan participants to their employer, the University, an educational organization. All payments to plan participants made pursuant to the provisions of this plan are salary payments by the employer to the participants as employees and subject to the rules and regulations of the University governing the approval and payment of salaries. All plan income referred to in Section 440.040 D. shall be irrevocably assigned to the employer by the plan participants as agents (employees) of the employer; no plan participant shall have any right, title or interest in any such plan income; and the employer shall have the unrestricted right to such income and complete control over its disposition. Provisions in this plan for accounting for plan income and expenses and for recommendations from plan participants are not intended to and shall not be construed to confer on plan participants any right, title or interest in plan income, any right to control the disposition of plan income and expenses, or any right to determine salaries. In addition, the plan is created to implement the following purposes:
1. To provide a system by which the faculty is enabled to achieve fulfillment of their commitment to high quality patient care.
  2. To recognize that high quality patient care is related to faculty participation in teaching and research and also that high quality clinical teaching is dependent upon the faculty being engaged in active medical practice, thereby assuring an adequate supply of clinical material for educational purposes.
  3. To establish incentive mechanisms for faculty compensation which enhance the attainment of the Health Sciences Center goals of patient care, teaching and research.
  4. To assure a University Physicians Medical Practice Plan which will be competitive with income plans of other academic medical centers in the United States.
  5. To assist with the retention of qualified faculty by contributing to their total compensation.
  6. To establish and maintain a set of policies for the management of professional income which is sufficiently flexible to respond to the needs of all participating individuals, sections and departmental differences.
  7. To provide a mechanism to support programs that benefit the School of Medicine.

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8. To establish a methodology of professional income generation, distribution and utilization.
- C. **Participants**—All Faculty of the School of Medicine who are members of the MU Health Care Medical Staff who as part of their faculty responsibilities generate income from professional activities for patient care related services which is assigned to the University pursuant to the Plan shall be participants in the Plan.
1. For each participant, a written Agreement shall be executed annually and filed in the Business Office of University Physicians. Each Agreement shall contain a statement that the participant will abide by all provisions of the Plan.
- D. **Plan Income**—Within the framework of the Plan, Plan income means:  
All income derived from patient care and other income derived from patient care provided by a participant in the performance of regularly assigned duties for the University as determined by the appropriate person having supervisory authority of the participant. For participants who are full time employees (0.75 FTE or greater), such participants may not engage in income-generating patient care activities outside of their regularly assigned duties for the University unless such outside activity complies with applicable law and University policy and has been approved by the Dean and Department chair.
1. As unique instances of patient care occur, the University Physicians Management Committee will recommend whether income derived from these instances constitute Plan income.
  2. Income of participants not related to patient care shall not be Plan income.
  3. Section 490.020 of the Collected Rules and Regulations of the University establishes the terms and conditions of coverage for Medical, Professional, and Patient General Liability for University employees and should be separately reviewed to determine whether and to what extent coverage exists for activities done outside of regularly assigned duties for the University.
- E. **Distribution of Plan Income**
1. **Costs of Operations**—The costs of operations of the Plan will be funded by applying an approved deduction rate (percent) to Plan Income. The costs of operation of the Plan may include expenditures for the following items and activities:
    - Billing and Collections Costs
    - Professional Liability Insurance
    - Support personnel, services and facilities
    - Administrative costs
    - Retirement
    - Other items that are deemed necessary in the operation of the Plan
 Annually and as requested by the University Physicians Management Committee, the Executive Director of the University Physicians will report to the University Physicians Management Committee the expenditures to date for the costs of operation of the Plan. A final accounting report will be issued after the close of the accounting period. An annual budget will be submitted for the costs of operation of the Plan. Based on the budget that is submitted the University Physicians Committee shall recommend a deduction rate to be proposed for the period covered by the budget. The proposed deduction rate and budget for the next fiscal year must be approved by the Dean. Further, for certain types of Plan income, such as contract income and certain other types of “lump sum” income, requiring a minimum of administrative and business office expense, it may be appropriate to establish a special deduction rate(s) to cover operating costs. In exceptional circumstances, it may be necessary to alter the deduction rate during the fiscal year. Such an alteration will be recommended by the University Physicians Management Committee and approved by the Dean. Separate accounts will be established for each category of expenditures authorized in this Section 440.040 E.1. Expenditures from these accounts will be in accordance with standard University standards. From time to time good accounting practice and effective fiscal management may well indicate a need to revise, expand, contract or otherwise modify the accounting system relative to the Plan. Nothing in this Plan shall be interpreted as preventing such

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accounting revision, expansion, modification or contraction so long as they adhere to generally accepted accounting principles and University policy.

2. **Dean's Office Account**—A Dean's office account shall be maintained. The account shall be credited with 6 percent of the Plan income. Any expenditures or transfers from this account must conform to standard University budgeting policy.

The Dean's Office account is established to support research and development costs, capital improvements, new members of the faculty, renovation, the Health Sciences Library and for such other purposes that are of general benefit to the School of Medicine.

3. **Departmental Accounts**—A departmental and or Sectional/Divisional account shall be maintained for each department and/or section/division. The departmental accounts shall be credited with 10 percent of the departmental Plan income. Annually on the date established by the Dean, the department is to submit a comprehensive budget to include the distribution of the department's share of Plan income. This annual budget must be approved by the Chair of the Department and the Dean.

Expenditure from these accounts shall be in accordance with standard University policy. Voluntary contributions to the Dean's Office account may be made annually from each departmental and/or sectional/divisional account. The University Physicians Administration Office shall supply the Dean and the University Physicians Management Committee with a periodic statement of account for each departmental and/or sectional/divisional account. A periodic statement of account shall be furnished to each Department Chair or Section/Division Head for their own departmental or sectional/divisional account.

#### F. Distribution of Net Plan Income

1. **For purpose of this section, the following definition applies:** The words "Net Plan Income" shall be construed to be plan income (Section 440.040 A.3) less the distribution of plan income as outlined in Section 440.040 E. Net Plan Income will be those funds available to meet base salary contract commitments as outlined in Section 440.040 F.2, and incentive income as outlined in Section 440.040 G.

2. **Salary Contract—Base Salary** —A participant's base salary may be budgeted from plan income and/or from funds derived outside the Plan Recommendation of the individual faculty member's base salary contract from all sources including Plan income shall be made by the appropriate Departmental Chair and approved by the Dean to the appointing authority with this determination becoming a part of the recommended School of Medicine budget. That portion of the faculty member's base salary which is budgeted from Plan income shall preferably reflect the extent of their efforts in patient care. The salary contract will be negotiated in the same manner as other School of Medicine faculty contracts.

The portion of base salary budgeted from plan income is payable only to the extent of departmental net plan income. If Departmental net plan income is not sufficient to meet budgeted base salary, then the individual Department Trust funds or the School of Medicine funds will meet the remainder of the obligation.

Under normal circumstances the portion of the individual's base salary budgeted from Plan income will be derived through only one Section/Division or Department. Under the special circumstances of interdisciplinary programs individuals with joint appointments may derive salary measured by Plan income from more than one Section/Division or Department with the approval of the participant, the Section/Division Chief or Chiefs, the Department Chair, University Physicians Management Committee and the Dean.

The faculty contract year for the purposes of the Plan will be the faculty contract year of MU. Faculty members who commence employment subsequent to the beginning of the faculty contract year may be a participant for the remainder of the year.

3. **Payment of Base Salary** —A departmental or divisional/sectional base salary pool shall be established for each department or division/section in which net plan income will be pooled and from which base salaries as outlined above (Section 440.040 F.2) will be paid.

#### G. Distribution of Incentive Income

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1. For purposes of this section, the following definition applies: The words "Incentive Income" will refer to net plan income less the costs of base salary contract commitments as outlined in Section 440.040 F.
2. **Individual Participant**
  - a. In addition to base salary (440.040 F. above) a participant may receive available incentive income as incentive salary. A participant can receive incentive salary only if the participant generated net revenue sufficient to meet their portion of base salary as described in Section 440.040 F.2. Individual participants may allow reductions of incentive salary for support of their Department or Section/Division. This amount will be determined by negotiations between the individual and their Department Chair with approval of the Dean. Such arrangements and the allocation of such incentive salary shall be determined prior to the commencement of the salary contract year and agreed to in writing by the participant and approved by the Chief of the Section/Division, the Department Chair and the Dean.
3. **Group Participants**
  - a. In some circumstances it may be appropriate for participants within a department and/or section/division to practice as a group and pool their incentive income. Such arrangements and the allocation of such incentive salary among the participants in the department or section/division shall be determined prior to the commencement of the salary contract year and agreed to in writing by each participant and approved by the chief of the section/division, the Department Chair and the Dean.
  - b. Annually on the date established by the Dean the appropriate Departments will submit proposals to practice as departmental or sectional/divisional groups to pool their Plan income under Section 440.040 G.3. a.
4. **Participant's Account**—An account shall be established for each Participant which shall be credited with the participant's portion of the Plan income as determined by the University Physicians Medical Practice Plan base salary contract and the incentive income distribution schedule. All expenditures or transfers from this account will conform with the participant's plan contract provisions relating to the participant's share of any incentive income.

#### H. Administration of the Plan

1. **University Physicians Management Committee** —The membership of the University Physicians Management Committee will include all Department Chairs or approved alternates, six members from the participants at large or their elected alternate. The Dean of the School of Medicine, the Executive Director of University Physicians, the Chief of Staff of MU Health Care and the Chief Executive Officer of MU Health Care shall be ex-officio members without vote. The Department Chair will appoint the individuals to serve as their alternate. The members at large and their alternates will be elected by the participant body for three year terms but may not serve for more than two consecutive terms. In the first year of the Plan, the six members at large and their alternates will be elected for staggered terms; two members and two alternates for three years, two members and two alternates for two years, and two members and two alternates for one year. Thereafter an annual election will be held for the purpose of electing two members at large and their alternates to serve three year terms. The Committee shall organize by electing from the membership of the Plan a Chair and a Secretary. The term of office for the Chair and the Secretary will be two years. The Secretary shall function as the Vice Chair. In the first year of the Plan the Chair will be elected for a two year term and the Secretary for a one year term. Thereafter, annually the Committee will elect either a Chair or the Secretary to serve a two year term. In the event the Chair or Secretary is unable to complete the term of office and more than six months of the term remains, a special election will be held to elect a replacement to complete the term of office. The Committee shall meet at least quarterly. Additional Committee meetings may be called by the Chair of the Committee or at the request of a majority of the members of the Committee.
2. **Functions of the University Physicians Management Committee**

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- a. To establish an Executive Committee consisting of the Chair of the Plan and seven members of the University Physicians Management Committee. The seven members of the Committee shall be selected in the following manner. Four members shall first be elected by the University Physicians Management Committee from its voting membership. These members shall be elected to a two year term of office and may not serve more than two consecutive terms. In the first year of the Plan the four members will be elected for staggered terms; two members for one year and two members for two years. Thereafter an annual election will be held for the purpose of electing two members for the Committee. After the election of these members the Chair of the Plan shall appoint an additional three members from the voting membership of the University Physicians Management Committee to the Executive Committee. The Chair shall appoint three members annually at the date of the election of the other Committee members. There shall be no restrictions on the number of terms an appointee of the Chair may serve.  
The Executive Committee is to review and recommend items for the agenda of the University Physicians Management Committee and to review other items as deemed necessary by the Chair or the University Physicians Management Committee.
  - b. To review the functioning of the Plan to assure it is meeting the objective of the Plan.
  - c. To annually review the operating costs of the Plan and the appropriateness of individual expenditures. It shall make any appropriate recommendations for changes in the operation of the Plan to the University.
  - d. To recommend the hiring and be responsible for the administrative direction of the Executive Director of University Physicians in accordance with University Policy and Personnel guidelines.
  - e. To develop and recommend such detailed policies and procedures as necessary to assure the effective implementation and operation of the Plan to the University.
  - f. To make recommendations for revision of the Plan to the Participants.
  - g. To recommend the budget for the costs of operation of the Plan including the amount of the Deduction Rate or Rates to the University.
  - h. To initiate and approve professional fees schedules of the participants with the advice of the Clinical Department Chair.
  - i. To discharge such other duties necessary to the efficient operation of the Plan and Committee.
3. **Participant Body**—The participant body will consist of all Plan participants, each with one vote, and will meet for the following reasons:
    - a. To elect the University Physicians Management Committee members at large and their alternates.
    - b. To vote on recommended revisions of the Plan.
    - c. For business as called by the Chair of the Committee.
    - d. As petitioned by 20% of the voting body to consider issues and develop recommendations for the Committee.
    - e. To consider business referred by 2/3 vote of the Committee. The Participant Body shall meet annually, as provided below, and at such other times as appropriate. Written notices giving the date, hour and place of all meetings shall be given to all participants in the Plan by the Committee Chair at least 15 days prior to the meeting date. The Committee Chair will preside and in their absence the Vice-Chair. Fifty percent (50%) of the Plan Participants shall constitute a quorum and a majority vote of those present and voting shall be required to conduct business, except voting to approve recommendations for revisions of the Plan shall follow Section 440.040 I. of the document.
  4. **Annual Meeting**—In May of each year, the Chair of the Committee shall call a meeting of all participants in the Plan for the purpose of electing two committee representatives from the membership at large and conducting other business as appropriate. Nominations shall be made from the floor. Voting for the Committee shall be by secret ballot. No more than two members at large may be from the same Department. In the

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event a quorum is not present the Chair shall reschedule the meeting to a definite date and hour, but not more than ten days hence and written notice of such meeting shall be given to all participants in the Plan; or the Chair may, at their discretion, direct that the election be held by mail or electronic ballot, in which event a ballot shall be sent to each participant of the Plan and the participants receiving the highest number of votes cast shall be elected the representative of the Committee.

- I. **Revision of the Plan**—The University Physicians Management Committee shall take all recommendations for revision of the Plan to the Plan participants. The Chair of the Committee shall call a meeting of all participants and the Plan for the purpose of voting on the proposed revisions of the Plan. A two-thirds affirmative vote of a 50% quorum shall be required for revisions to the Plan. Voting for the revisions shall be by secret ballot. In the event a quorum is not present the Chair shall reschedule the meeting to a definite date and hour, but not more than ten days hence, and written notices of such meeting shall be given to all participants in the Plan; or the Chair may at their discretion direct that the revision be voted on by mail or electronic ballot in which even a ballot shall be sent to each participant in the Plan. If approved the proposed revisions shall be forwarded through the Dean, Chancellor, and President, to the Board of Curators for their approval.
- J. **Appeal Process for the Individual**—Any participant(s) perceiving unfair treatment under the provisions of the Plan may request a hearing before the University Physicians Management Committee. The request must be in writing to the Chair of the Committee. The Chair will call a special meeting of the Committee in not less than ten days nor more than thirty days following receipt of the request. The participant(s) and the Committee may be represented by legal counsel at the hearing. A report of the hearing along with recommendations for action will be prepared by the University Physicians Management Committee for the Chancellor. Copies of the report and recommendation will be provided the participant, their Department Chair, and the Dean, all of whom will offer their comments directly to the Chancellor who shall make the final decision.
- K. **Professional Charges**—Each participant may review their schedule of fees and recommend any changes to the Section/Division Chief, Departmental Chair and the Committee. It shall be the responsibility of the Committee to recommend general operating policies under which professional fees will not be billed to the patient or third party.
- L. **Billing and Collection of Professional Fees**—All professional charges will be initiated and signed by the provider of the service and submitted to the University Physicians Business Office for processing. Billing for professional charges will be distinct from other services and will indicate the name of a participant or group of participants of the Plan. Fees collected shall be credited to the account of the participant or participants rendering the services for which the fee is collected as otherwise provided for in the Plan.  
When it is clearly the intent of the payor to satisfy a specific portion of the patient's obligation to the Health Sciences Center, the monies received will be deposited in the account or accounts corresponding to the payor intent. In those instances where the intent of the payor is unclear, University Physicians Management Committee procedures for the allocation of monies received to the proper account shall apply.  
In the instance of contractual agreements, special billing arrangements may be accomplished through other mechanisms as provided for in the contractual agreement.
- M. **Retirement and Other Staff Benefits**—For the purposes of determining average regular annual salary of a plan participant under ~~a University retirement plan~~ **the University of Missouri Retirement Disability and Death Benefit Plan** and for purposes of determining regular salary of a plan participant for other staff benefits such as life insurance and disability insurance the base salary as provided in 440.040 F. of this plan shall be used and incentive salary under 440.040 G. of this plan shall be excluded.
- N. **Special Situations**—All fees for professional services rendered by a plan participant are assigned to The Curators of the University of Missouri, and a plan participant shall at no time have any ownership interest in uncollected fees. For situations described below the disposition of uncollected fees and payments to a plan participant shall be made in accordance with this section.
  1. **Termination of Employment - Voluntary or Involuntary**—Upon termination or resignation of employment a plan participant shall be entitled to receive salary payments in accordance with their current salary contract for services rendered to the effective date of termination or resignation. Incentive salary, if any, will be based upon

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fees earned and collected at the effective date of termination or resignation; provided that, if the plan participant resigns, the plan participant shall provide written notice to the participant's Department Chair sixty (60) days before the effective date of the resignation to receive incentive salary for the final incentive period during the participant's employment. If the plan participant provides less than 60 days advance written notice of resignation to the Department Chair, the plan participant shall not receive incentive salary for the final incentive period during the participant's employment unless the Department Chair for the plan participant waives the 60 day notice requirement. Uncollected fees at the effective date of termination or resignation which are subsequently collected shall be allocated to the departmental base salary pool (Section 440.040 F.3) after deductions for the cost of operation of the plan (Section 440.040 E.1) School of Medicine Account (Section 440.040 E.2), and Departmental Account (Section 440.040 E.3).

2. **Death or Disability of a Plan Participant**—Upon the death or disability of a plan participant there shall be paid to the participant or the participant's estate all salary payments then due in accordance with their current salary contract for services rendered to the date of death or disability. Incentive salary, if any, will be based upon fees earned and collected at the date of death or disability. In addition there shall be paid to the participant or the deceased participant's estate an amount equal to the participant's incentive salary based on uncollected fees at the time of their death or disability, reduced by the amount of such fees that are not in disability. Reasonable efforts shall be taken to collect all such accounts within the six month period. This additional payment shall be made to the participant or the estate of the deceased participant as soon after the end of the six month period as is practicable. Income from any fees uncollected at the end of the six month period which are subsequently collected shall be allocated to the departmental base salary pool (Section 440.040 F.3), School of Medicine Account (Section 440.040 E.2), and Departmental Account (Section 440.040 E.3).
  3. **Termination of Plan Participation**—If the plan participant ceases to generate income from professional fees he will no longer be a participant in the plan. The effective day off the termination of their participation shall be recommended by the Department Chair subject to review by the Committee, and determined by the Dean. On termination of their participation, income from any uncollected fees which are subsequently collected shall be allocated to the departmental base salary pool (Section 440.040 F.3), School of Medicine Account (Section 440.040 E.2), and Departmental Account (Section 440.040 E.3).
- O. **Fiscal Year and Transition**—The fiscal year of the Plan shall be the fiscal year of MU. Unencumbered balances in all accounts shall be carried forward to the succeeding year. Upon implementation of this Plan, current departmental and Dean's Office accounts will become part of the new departmental, sectional/divisional, or School of Medicine Dean's Office account as appropriate or as otherwise specified in this Plan.
- P. **Assignment of Fees**—Each Participant shall annually execute an assignment in a form to be approved by the Executive Committee of the University Physicians Management Committee. For fiscal year 2018, the assignment form shall be substantially similar to the following form:

**ASSIGNMENT**

**09/01/20\_\_ through 08/31/20\_\_**

In consideration of my employment by The Curators of the University of Missouri and the salary payments described in this Plan, I hereby assign to The Curators of the University of Missouri all Plan Income, as defined by the University Physicians Medical Practice Plan. This assignment shall be an absolute assignment, subject only to the conditions that the fees charged by me shall not be altered, except as provided in the rules and regulations establishing said Plan.

I further agree that all monies received by me for such services shall be promptly turned over to the Business Office of University Physicians and all checks made payable to me for such fees shall be promptly endorsed and delivered to said Business Office. It is distinctly understood that this assignment applies only to the income specifically identified in the University Physicians Medical Practice Plan.

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## Chapter 440: UMC Medical Services

### 440.040 University Physicians Medical Practice Plan

Amended February 27, 1976 & Bd. Min. 12-14-79 & 3-17-87; Amended Bd. Min. 9-28-17; Amended Bd. Min. 9-20-18.

#### A. Definitions

1. **University Physician Medical Practice Plan**—These rules and regulations shall be known and referred to as the “University Physicians Medical Practice Plan.”
2. **Plan**—The word “Plan” as used in these regulations shall be construed to mean the Plan herein created for the rendering of professional services to patients, consultation or any other services related to their professional skills rendered to others than the University by members of the Faculty of the School of Medicine of the University of Missouri-Columbia (“MU”), providing for the use of any fees or compensation received for such services and providing for additional compensation for those Faculty members who become participants in the Plan.
3. **Plan Income** —The words “Plan Income” shall be construed to mean all income received by the University by assignment which are derived from patient care activities from sources identified in Section 440.040.D.
4. **MU Health Care**—The words “MU Health Care” or “MUHC” as used herein shall refer to the facilities owned, operated or that are affiliates of MU Health Care and the School of Medicine. This includes MU and the UM System.
5. **Participant**—The word “Participant” as used in these regulations shall be construed to mean all Faculty of the School of Medicine who are members of the MUHC Medical Staff who as part of their faculty responsibilities generate income from professional activities documented by a signed contract for patient care related services which is assigned to the University pursuant to the Plan.
6. **Department**—The words “Department” or “Departments” shall refer to those departments of the School of Medicine for whom departmental accounts have been recommended by the University Physicians Management Committee and approved by the Dean and in which one or more Faculty members shall have qualified as participants in the Plan.
7. **Departmental Account**—The words “Departmental Account” or “Departmental Accounts” shall refer to those departmental accountability records maintained in the University Physicians Administration Office in support of the percentage portion of the Plan income credited to the department as determined by the Plan.
8. **UNIVERSITY PHYSICIANS**—The words “University Physicians” shall mean the operating name of the University Physicians Medical Practice Plan.
9. **Section/Division**—The words “Section/Division” or “Sections/Divisions” shall refer to those sections/divisions of departments of the School of Medicine which have a separate account as provided in Section 440.040 G.3.
10. **Section/Division Chief** —The words “Section/Division Chief” shall refer to the head of a section/division within a department qualified under the Plan.
11. **Section/Division Account**—The words “Section/Division Account” or “Section/Division Accounts” shall refer to those sectional accountability records maintained in the University Physicians Administration Office in support of the portion of the Plan income credited to the section as determined by the Plan.
12. **Dean**—The word “dean” shall refer to the Dean of the School of Medicine.
13. **Chancellor**—The word “Chancellor” shall refer to the Chancellor.
14. **President**—The word “President” shall refer to the President of the UM System.
15. **Chief of Staff** —The words “Chief of Staff” shall refer to the Chief of Staff, MU Health Care.
16. **School of Medicine** —The words “School of Medicine” shall refer to the MU School of Medicine.
17. **University**—The word “University” shall refer to The Curators of the University of Missouri and UM System.

18. **Hospital**—The word “Hospital” shall refer to the facilities owned, operated or are affiliates of MU Health Care.
  19. **Department Chair**—The words “Department Chair” or “Department Chair” shall refer to the head of a department in which one or more Faculty members shall have qualified as participants in the Plan.
  20. **Chief Executive Officer of MU Health Care** —The words “Chief Executive Officer of MU Health Care” shall refer to the Chief Executive Officer of MU Health Care.
  21. **University Physicians Management Committee**—The words “University Physicians Management Committee” shall refer to the committee established by the Plan. As an exception to the general regulation providing for the appointment of University committees, there is hereby created a committee to be known as the University Physicians Management Committee.
  22. **Executive Director of University Physicians** —The words “Executive Director of University Physicians” shall refer to the Executive Director of University Physicians.
  23. **Base Salary Contract** —The words “Base Salary Contract” shall refer to the regular employment contract approved by MU.
  24. **Participant Body**—The words “Participant Body” shall refer to the total collective participants in the Plan.
  25. **Deduction Rate**—The words “Deduction Rate” or “Deduction Rates” shall refer to the percentage(s) accounted and budgeted annually for the costs of operation of the Plan.
  26. **Group**—The word “Group” shall refer to participants within a department and/or section/division who pool their Plan income.
- B. **Purposes of the Plan**—Faculty members of the School of Medicine may be engaged in one or more of the following employment duties: teaching, research and patient care. Patient care is an integral part of the educational mission of the school for it provides to the instructor and the medical student the clinical experience essential to medical education. In the course of rendering patient care services, faculty members may generate income described in this Plan as plan income.
- This plan has been created to provide a means for establishing salary compensation for employment services rendered by plan participants to their employer, the University, an educational organization. All payments to plan participants made pursuant to the provisions of this plan are salary payments by the employer to the participants as employees and subject to the rules and regulations of the University governing the approval and payment of salaries. All plan income referred to in Section 440.040 D. shall be irrevocably assigned to the employer by the plan participants as agents (employees) of the employer; no plan participant shall have any right, title or interest in any such plan income; and the employer shall have the unrestricted right to such income and complete control over its disposition. Provisions in this plan for accounting for plan income and expenses and for recommendations from plan participants are not intended to and shall not be construed to confer on plan participants any right, title or interest in plan income, any right to control the disposition of plan income and expenses, or any right to determine salaries. In addition, the plan is created to implement the following purposes:
1. To provide a system by which the faculty is enabled to achieve fulfillment of their commitment to high quality patient care.
  2. To recognize that high quality patient care is related to faculty participation in teaching and research and also that high quality clinical teaching is dependent upon the faculty being engaged in active medical practice, thereby assuring an adequate supply of clinical material for educational purposes.
  3. To establish incentive mechanisms for faculty compensation which enhance the attainment of the Health Sciences Center goals of patient care, teaching and research.
  4. To assure a University Physicians Medical Practice Plan which will be competitive with income plans of other academic medical centers in the United States.
  5. To assist with the retention of qualified faculty by contributing to their total compensation.
  6. To establish and maintain a set of policies for the management of professional income which is sufficiently flexible to respond to the needs of all participating individuals, sections and departmental differences.
  7. To provide a mechanism to support programs that benefit the School of Medicine.

8. To establish a methodology of professional income generation, distribution and utilization.
- C. **Participants**—All Faculty of the School of Medicine who are members of the MU Health Care Medical Staff who as part of their faculty responsibilities generate income from professional activities for patient care related services which is assigned to the University pursuant to the Plan shall be participants in the Plan.
1. For each participant, a written Agreement shall be executed annually and filed in the Business Office of University Physicians. Each Agreement shall contain a statement that the participant will abide by all provisions of the Plan.
- D. **Plan Income** —Within the framework of the Plan, Plan income means:  
All income derived from patient care and other income derived from patient care provided by a participant in the performance of regularly assigned duties for the University as determined by the appropriate person having supervisory authority of the participant. For participants who are full time employees (0.75 FTE or greater), such participants may not engage in income-generating patient care activities outside of their regularly assigned duties for the University unless such outside activity complies with applicable law and University policy and has been approved by the Dean and Department chair.
1. As unique instances of patient care occur, the University Physicians Management Committee will recommend whether income derived from these instances constitute Plan income.
  2. Income of participants not related to patient care shall not be Plan income.
  3. Section 490.020 of the Collected Rules and Regulations of the University establishes the terms and conditions of coverage for Medical, Professional, and Patient General Liability for University employees and should be separately reviewed to determine whether and to what extent coverage exists for activities done outside of regularly assigned duties for the University.
- E. **Distribution of Plan Income**
1. **Costs of Operations**—The costs of operations of the Plan will be funded by applying an approved deduction rate (percent) to Plan Income. The costs of operation of the Plan may include expenditures for the following items and activities:
    - Billing and Collections Costs
    - Professional Liability Insurance
    - Support personnel, services and facilities
    - Administrative costs
    - Retirement
    - Other items that are deemed necessary in the operation of the Plan

Annually and as requested by the University Physicians Management Committee, the Executive Director of the University Physicians will report to the University Physicians Management Committee the expenditures to date for the costs of operation of the Plan. A final accounting report will be issued after the close of the accounting period. An annual budget will be submitted for the costs of operation of the Plan. Based on the budget that is submitted the University Physicians Committee shall recommend a deduction rate to be proposed for the period covered by the budget. The proposed deduction rate and budget for the next fiscal year must be approved by the Dean. Further, for certain types of Plan income, such as contract income and certain other types of “lump sum” income, requiring a minimum of administrative and business office expense, it may be appropriate to establish a special deduction rate(s) to cover operating costs.

In exceptional circumstances, it may be necessary to alter the deduction rate during the fiscal year. Such an alteration will be recommended by the University Physicians Management Committee and approved by the Dean.

Separate accounts will be established for each category of expenditures authorized in this Section 440.040 E.1. Expenditures from these accounts will be in accordance with standard University standards.

From time to time good accounting practice and effective fiscal management may well indicate a need to revise, expand, contract or otherwise modify the accounting system relative to the Plan. Nothing in this Plan shall be interpreted as preventing such

accounting revision, expansion, modification or contraction so long as they adhere to generally accepted accounting principles and University policy.

2. **Dean's Office Account**—A Dean's office account shall be maintained. The account shall be credited with 6 percent of the Plan income. Any expenditures or transfers from this account must conform to standard University budgeting policy.

The Dean's Office account is established to support research and development costs, capital improvements, new members of the faculty, renovation, the Health Sciences Library and for such other purposes that are of general benefit to the School of Medicine.

3. **Departmental Accounts**—A departmental and or Sectional/Divisional account shall be maintained for each department and/or section/division. The departmental accounts shall be credited with 10 percent of the departmental Plan income.

Annually on the date established by the Dean, the department is to submit a comprehensive budget to include the distribution of the department's share of Plan income. This annual budget must be approved by the Chair of the Department and the Dean.

Expenditure from these accounts shall be in accordance with standard University policy. Voluntary contributions to the Dean's Office account may be made annually from each departmental and/or sectional/divisional account. The University Physicians Administration Office shall supply the Dean and the University Physicians Management Committee with a periodic statement of account for each departmental and/or sectional/divisional account. A periodic statement of account shall be furnished to each Department Chair or Section/Division Head for their own departmental or sectional/divisional account.

#### F. **Distribution of Net Plan Income**

1. **For purpose of this section, the following definition applies:** The words "Net Plan Income" shall be construed to be plan income (Section 440.040 A.3) less the distribution of plan income as outlined in Section 440.040 E. Net Plan Income will be those funds available to meet base salary contract commitments as outlined in Section 440.040 F.2, and incentive income as outlined in Section 440.040 G.

2. **Salary Contract—Base Salary**—A participant's base salary may be budgeted from plan income and/or from funds derived outside the Plan Recommendation of the individual faculty member's base salary contract from all sources including Plan income shall be made by the appropriate Departmental Chair and approved by the Dean to the appointing authority with this determination becoming a part of the recommended School of Medicine budget. That portion of the faculty member's base salary which is budgeted from Plan income shall preferably reflect the extent of their efforts in patient care. The salary contract will be negotiated in the same manner as other School of Medicine faculty contracts.

The portion of base salary budgeted from plan income is payable only to the extent of departmental net plan income. If Departmental net plan income is not sufficient to meet budgeted base salary, then the individual Department Trust funds or the School of Medicine funds will meet the remainder of the obligation.

Under normal circumstances the portion of the individual's base salary budgeted from Plan income will be derived through only one Section/Division or Department. Under the special circumstances of interdisciplinary programs individuals with joint appointments may derive salary measured by Plan income from more than one Section/Division or Department with the approval of the participant, the Section/Division Chief or Chiefs, the Department Chair, University Physicians Management Committee and the Dean.

The faculty contract year for the purposes of the Plan will be the faculty contract year of MU. Faculty members who commence employment subsequent to the beginning of the faculty contract year may be a participant for the remainder of the year.

3. **Payment of Base Salary**—A departmental or divisional/sectional base salary pool shall be established for each department or division/section in which net plan income will be pooled and from which base salaries as outlined above (Section 440.040 F.2) will be paid.

#### G. **Distribution of Incentive Income**

1. For purposes of this section, the following definition applies: The words “Incentive Income” will refer to net plan income less the costs of base salary contract commitments as outlined in Section 440.040 F.
2. **Individual Participant**
  - a. In addition to base salary (440.040 F. above) a participant may receive available incentive income as incentive salary. A participant can receive incentive salary only if the participant generated net revenue sufficient to meet their portion of base salary as described in Section 440.040 F.2. Individual participants may allow reductions of incentive salary for support of their Department or Section/Division. This amount will be determined by negotiations between the individual and their Department Chair with approval of the Dean. Such arrangements and the allocation of such incentive salary shall be determined prior to the commencement of the salary contract year and agreed to in writing by the participant and approved by the Chief of the Section/Division, the Department Chair and the Dean.
3. **Group Participants**
  - a. In some circumstances it may be appropriate for participants within a department and/or section/division to practice as a group and pool their incentive income. Such arrangements and the allocation of such incentive salary among the participants in the department or section/division shall be determined prior to the commencement of the salary contract year and agreed to in writing by each participant and approved by the chief of the section/division, the Department Chair and the Dean.
  - b. Annually on the date established by the Dean the appropriate Departments will submit proposals to practice as departmental or sectional/divisional groups to pool their Plan income under Section 440.040 G.3. a.
4. **Participant's Account**—An account shall be established for each Participant which shall be credited with the participant's portion of the Plan income as determined by the University Physicians Medical Practice Plan base salary contract and the incentive income distribution schedule. All expenditures or transfers from this account will conform with the participant's plan contract provisions relating to the participant's share of any incentive income.

**H. Administration of the Plan**

1. **University Physicians Management Committee** —The membership of the University Physicians Management Committee will include all Department Chairs or approved alternates, six members from the participants at large or their elected alternate. The Dean of the School of Medicine, the Executive Director of University Physicians, the Chief of Staff of MU Health Care and the Chief Executive Officer of MU Health Care shall be ex-officio members without vote. The Department Chair will appoint the individuals to serve as their alternate. The members at large and their alternates will be elected by the participant body for three year terms but may not serve for more than two consecutive terms. In the first year of the Plan, the six members at large and their alternates will be elected for staggered terms; two members and two alternates for three years, two members and two alternates for two years, and two members and two alternates for one year. Thereafter an annual election will be held for the purpose of electing two members at large and their alternates to serve three year terms. The Committee shall organize by electing from the membership of the Plan a Chair and a Secretary. The term of office for the Chair and the Secretary will be two years. The Secretary shall function as the Vice Chair. In the first year of the Plan the Chair will be elected for a two year term and the Secretary for a one year term. Thereafter, annually the Committee will elect either a Chair or the Secretary to serve a two year term. In the event the Chair or Secretary is unable to complete the term of office and more than six months of the term remains, a special election will be held to elect a replacement to complete the term of office. The Committee shall meet at least quarterly. Additional Committee meetings may be called by the Chair of the Committee or at the request of a majority of the members of the Committee.
2. **Functions of the University Physicians Management Committee**

- a. To establish an Executive Committee consisting of the Chair of the Plan and seven members of the University Physicians Management Committee. The seven members of the Committee shall be selected in the following manner. Four members shall first be elected by the University Physicians Management Committee from its voting membership. These members shall be elected to a two year term of office and may not serve more than two consecutive terms. In the first year of the Plan the four members will be elected for staggered terms; two members for one year and two members for two years. Thereafter an annual election will be held for the purpose of electing two members for the Committee. After the election of these members the Chair of the Plan shall appoint an additional three members from the voting membership of the University Physicians Management Committee to the Executive Committee. The Chair shall appoint three members annually at the date of the election of the other Committee members. There shall be no restrictions on the number of terms an appointee of the Chair may serve.  
The Executive Committee is to review and recommend items for the agenda of the University Physicians Management Committee and to review other items as deemed necessary by the Chair or the University Physicians Management Committee.
  - b. To review the functioning of the Plan to assure it is meeting the objective of the Plan.
  - c. To annually review the operating costs of the Plan and the appropriateness of individual expenditures. It shall make any appropriate recommendations for changes in the operation of the Plan to the University.
  - d. To recommend the hiring and be responsible for the administrative direction of the Executive Director of University Physicians in accordance with University Policy and Personnel guidelines.
  - e. To develop and recommend such detailed policies and procedures as necessary to assure the effective implementation and operation of the Plan to the University.
  - f. To make recommendations for revision of the Plan to the Participants.
  - g. To recommend the budget for the costs of operation of the Plan including the amount of the Deduction Rate or Rates to the University.
  - h. To initiate and approve professional fees schedules of the participants with the advice of the Clinical Department Chair.
  - i. To discharge such other duties necessary to the efficient operation of the Plan and Committee.
3. **Participant Body**—The participant body will consist of all Plan participants, each with one vote, and will meet for the following reasons:
- a. To elect the University Physicians Management Committee members at large and their alternates.
  - b. To vote on recommended revisions of the Plan.
  - c. For business as called by the Chair of the Committee.
  - d. As petitioned by 20% of the voting body to consider issues and develop recommendations for the Committee.
  - e. To consider business referred by 2/3 vote of the Committee. The Participant Body shall meet annually, as provided below, and at such other times as appropriate. Written notices giving the date, hour and place of all meetings shall be given to all participants in the Plan by the Committee Chair at least 15 days prior to the meeting date. The Committee Chair will preside and in their absence the Vice-Chair. Fifty percent (50%) of the Plan Participants shall constitute a quorum and a majority vote of those present and voting shall be required to conduct business, except voting to approve recommendations for revisions of the Plan shall follow Section 440.040 I. of the document.
4. **Annual Meeting**—In May of each year, the Chair of the Committee shall call a meeting of all participants in the Plan for the purpose of electing two committee representatives from the membership at large and conducting other business as appropriate. Nominations shall be made from the floor. Voting for the Committee shall be by secret ballot. No more than two members at large may be from the same Department. In the

event a quorum is not present the Chair shall reschedule the meeting to a definite date and hour, but not more than ten days hence and written notice of such meeting shall be given to all participants in the Plan; or the Chair may, at their discretion, direct that the election be held by mail or electronic ballot, in which event a ballot shall be sent to each participant of the Plan and the participants receiving the highest number of votes cast shall be elected the representative of the Committee.

- I. **Revision of the Plan** —The University Physicians Management Committee shall take all recommendations for revision of the Plan to the Plan participants. The Chair of the Committee shall call a meeting of all participants and the Plan for the purpose of voting on the proposed revisions of the Plan. A two-thirds affirmative vote of a 50% quorum shall be required for revisions to the Plan. Voting for the revisions shall be by secret ballot. In the event a quorum is not present the Chair shall reschedule the meeting to a definite date and hour, but not more than ten days hence, and written notices of such meeting shall be given to all participants in the Plan; or the Chair may at their discretion direct that the revision be voted on by mail or electronic ballot in which even a ballot shall be sent to each participant in the Plan. If approved the proposed revisions shall be forwarded through the Dean, Chancellor, and President, to the Board of Curators for their approval.
- J. **Appeal Process for the Individual** —Any participant(s) perceiving unfair treatment under the provisions of the Plan may request a hearing before the University Physicians Management Committee. The request must be in writing to the Chair of the Committee. The Chair will call a special meeting of the Committee in not less than ten days nor more than thirty days following receipt of the request. The participant(s) and the Committee may be represented by legal counsel at the hearing. A report of the hearing along with recommendations for action will be prepared by the University Physicians Management Committee for the Chancellor. Copies of the report and recommendation will be provided the participant, their Department Chair, and the Dean, all of whom will offer their comments directly to the Chancellor who shall make the final decision.
- K. **Professional Charges**—Each participant may review their schedule of fees and recommend any changes to the Section/Division Chief, Departmental Chair and the Committee. It shall be the responsibility of the Committee to recommend general operating policies under which professional fees will not be billed to the patient or third party.
- L. **Billing and Collection of Professional Fees** —All professional charges will be initiated and signed by the provider of the service and submitted to the University Physicians Business Office for processing. Billing for professional charges will be distinct from other services and will indicate the name of a participant or group of participants of the Plan. Fees collected shall be credited to the account of the participant or participants rendering the services for which the fee is collected as otherwise provided for in the Plan.  
When it is clearly the intent of the payor to satisfy a specific portion of the patient's obligation to the Health Sciences Center, the monies received will be deposited in the account or accounts corresponding to the payor intent. In those instances where the intent of the payor is unclear, University Physicians Management Committee procedures for the allocation of monies received to the proper account shall apply.  
In the instance of contractual agreements, special billing arrangements may be accomplished through other mechanisms as provided for in the contractual agreement.
- M. **Retirement and Other Staff Benefits**—For the purposes of determining average regular annual salary of a plan participant under a University retirement plan and for purposes of determining regular salary of a plan participant for other staff benefits such as life insurance and disability insurance the base salary as provided in 440.040 F. of this plan shall be used and incentive salary under 440.040 G. of this plan shall be excluded.
- N. **Special Situations**—All fees for professional services rendered by a plan participant are assigned to The Curators of the University of Missouri, and a plan participant shall at no time have any ownership interest in uncollected fees. For situations described below the disposition of uncollected fees and payments to a plan participant shall be made in accordance with this section.
  1. **Termination of Employment - Voluntary or Involuntary** —Upon termination or resignation of employment a plan participant shall be entitled to receive salary payments in accordance with their current salary contract for services rendered to the effective date of termination or resignation. Incentive salary, if any, will be based upon fees earned and collected at the effective date of termination or resignation; provided

that, if the plan participant resigns, the plan participant shall provide written notice to the participant's Department Chair sixty (60) days before the effective date of the resignation to receive incentive salary for the final incentive period during the participant's employment. If the plan participant provides less than 60 days advance written notice of resignation to the Department Chair, the plan participant shall not receive incentive salary for the final incentive period during the participant's employment unless the Department Chair for the plan participant waives the 60 day notice requirement. Uncollected fees at the effective date of termination or resignation which are subsequently collected shall be allocated to the departmental base salary pool (Section 440.040 F.3) after deductions for the cost of operation of the plan (Section 440.040 E.1) School of Medicine Account (Section 440.040 E.2), and Departmental Account (Section 440.040 E.3).

2. **Death or Disability of a Plan Participant**—Upon the death or disability of a plan participant there shall be paid to the participant or the participant's estate all salary payments then due in accordance with their current salary contract for services rendered to the date of death or disability. Incentive salary, if any, will be based upon fees earned and collected at the date of death or disability. In addition there shall be paid to the participant or the deceased participant's estate an amount equal to the participant's incentive salary based on uncollected fees at the time of their death or disability, reduced by the amount of such fees that are not in disability. Reasonable efforts shall be taken to collect all such accounts within the six month period. This additional payment shall be made to the participant or the estate of the deceased participant as soon after the end of the six month period as is practicable. Income from any fees uncollected at the end of the six month period which are subsequently collected shall be allocated to the departmental base salary pool (Section 440.040 F.3), School of Medicine Account (Section 440.040 E.2), and Departmental Account (Section 440.040 E.3).
3. **Termination of Plan Participation**—If the plan participant ceases to generate income from professional fees he will no longer be a participant in the plan. The effective day off the termination of their participation shall be recommended by the Department Chair subject to review by the Committee, and determined by the Dean. On termination of their participation, income from any uncollected fees which are subsequently collected shall be allocated to the departmental base salary pool (Section 440.040 F.3), School of Medicine Account (Section 440.040 E.2), and Departmental Account (Section 440.040 E.3).

- O. **Fiscal Year and Transition**—The fiscal year of the Plan shall be the fiscal year of MU. Unencumbered balances in all accounts shall be carried forward to the succeeding year. Upon implementation of this Plan, current departmental and Dean's Office accounts will become part of the new departmental, sectional/divisional, or School of Medicine Dean's Office account as appropriate or as otherwise specified in this Plan.
- P. **Assignment of Fees**—Each Participant shall annually execute an assignment in a form to be approved by the Executive Committee of the University Physicians Management Committee. For fiscal year 2018, the assignment form shall be substantially similar to the following form:

**ASSIGNMENT**  
**09/01/20\_\_ through 08/31/20\_\_**

In consideration of my employment by The Curators of the University of Missouri and the salary payments described in this Plan, I hereby assign to The Curators of the University of Missouri all Plan Income, as defined by the University Physicians Medical Practice Plan. This assignment shall be an absolute assignment, subject only to the conditions that the fees charged by me shall not be altered, except as provided in the rules and regulations establishing said Plan.

I further agree that all monies received by me for such services shall be promptly turned over to the Business Office of University Physicians and all checks made payable to me for such fees shall be promptly endorsed and delivered to said Business Office. It is distinctly understood that this assignment applies only to the income specifically identified in the University Physicians Medical Practice Plan.





Action 1

**f. CRR 520.010 Benefit Programs**

## 520.010 Benefit Programs

Bd. Min. 4-10-15.

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

nominations. The ~~Vice President~~ CHRO may appoint additional at large members and the Committee Chair at his/her discretion. In making the committee appointments the ~~Vice President~~ CHRO will strive to appoint members to represent the various University constituencies. The Committee may study, consider and make recommendations to the ~~Vice President~~ CHRO regarding proposed revisions to, modifications of, additions to, or deletions from benefits programs covered by this policy statement. This advisory role does not include the selection or management of vendors, plan investments or other administrative responsibilities; however, members may provide input on program design as related to the needs of Participants, provide feedback on communication and education, and advise in other areas.

4. **University Financial Support of Benefits Programs** – The University will contribute to the cost of the covered benefit programs (medical, dental, disability, and life) as well as covered voluntary and defined contribution retirement plans and leave programs. The University may develop, administer and support other benefits programs that are not contributed to by the University but that provide competitive, affordable and accessible programs valued by faculty and staff.
5. **Evaluation** – The benefits programs will be audited and/or evaluated as appropriate to ensure efficient and effective administration, service, and pricing.

## Chapter 520: Benefit Programs

# 520.010 Benefit Programs

Bd. Min. 4-10-15.

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

Committee Chair at his/her discretion. In making the committee appointments the CHRO will strive to appoint members to represent the various University constituencies. The Committee may study, consider and make recommendations to the CHRO regarding proposed revisions to, modifications of, additions to, or deletions from benefits programs covered by this policy statement. This advisory role does not include the selection or management of vendors, plan investments or other administrative responsibilities; however, members may provide input on program design as related to the needs of Participants, provide feedback on communication and education, and advise in other areas.

4. **University Financial Support of Benefits Programs** – The University will contribute to the cost of the covered benefit programs (medical, dental, disability, and life) as well as covered voluntary and defined contribution retirement plans and leave programs. The University may develop, administer and support other benefits programs that are not contributed to by the University but that provide competitive, affordable and accessible programs valued by faculty and staff.
5. **Evaluation** – The benefits programs will be audited and/or evaluated as appropriate to ensure efficient and effective administration, service, and pricing.

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

Executive Summary

In April 2019, the Board of Curators approved amendments to the language in Section 530.010 of the Collected Rules and Regulations for the RDD and additional retirement plan documents to provide that newly hired or rehired employees on or after October 1, 2019 will not accrue a benefit under the RDD and will be enrolled in the defined contribution plan upon hire. As previously discussed in the April 2019 meeting, administration has moved forward with implementation work for the defined contribution retirement plan, and has identified additional points of clarification required in the retirement plans.

The proposed action item is to approve administration's recommendation of amendments to the RDD, ERIP and 401(a) Supplemental Retirement Plan, generally effective October 1, 2019. Board materials include a side-by-side comparison of the current and proposed language. Following is a summary of the proposed changes:

- For Qualified Level Two Members, benefits will not be less than the amount paid into the plan in mandatory contributions, plus 4% interest compounded annually.
- Remove suspension of benefits language for those rehired on or after October 1, 2019.
- Clarify that administrative leave is an eligible leave type for purposes of determining service credit and final average salary.
- Clarify that residents are ineligible, adding language for consistency with administrative processes and all other plan documents.
- Replace references to Retirement and Staff Benefits Committee with Total Rewards Advisory Committee.
- Change the definition of Compensation for purposes of certain Nonelective and Matching Contributions in the ERIP and SRP (effective January 1, 2020).

No. 2

Recommended Action – Amendments to Collected Rules and Regulations 530.010, Retirement, Disability and Death Benefit Plan and Additional Points of Clarification as Identified During Implementation of the Defined Contribution Retirement Plan

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

that Collected Rules and Regulations, Section 530.010, Retirement, Disability and Death Benefit Plan and additional retirement plans be amended as indicated in the attached document containing proposed language changes.

Roll call vote of the Committee:                      YES                      NO

Curator Snowden  
Curator Brncic  
Curator Chatman  
Curator Layman

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

Roll call vote of the Board:                      YES                      NO

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

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



# RECOMMENDATION TO AMEND BENEFIT PROGRAM

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

**Effective Date of Amendment to Program:   October 1, 2019**

**Amendment Number: RET-61**

**Purpose of Recommendation:**

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

- For Qualified Level Two Members, benefits will not be less than the amount paid into the plan in mandatory contributions, plus 4% interest compounded annually.
- Remove suspension of benefits language for those rehired on or after October 1, 2019.
- Clarify that administrative leave is an eligible leave type for purposes of determining service credit and final average salary.

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

See attached.

**Proposed Language (recommended citation):**

See attached.

**Cost, if Applicable:**

**Recommended for Approval:**

\_\_\_\_\_  
Marsha Fischer  
Chief Human Resources Officer

\_\_\_\_\_  
Date

**Approval as to Legal Form:**

\_\_\_\_\_  
Paul Maguffee  
Legal Counsel

\_\_\_\_\_  
Date

**Final Approval:**

\_\_\_\_\_  
Mun Choi  
President

\_\_\_\_\_  
Date

Copy to General Counsel, Human Resources, Board of Curators

**Amendment to Retirement, Disability and Death Benefit Plan**

**Section 530.010.C.6**

<b>Current with Changes</b>	<b>Proposed</b>
<p><b>C. DETERMINATION OF SERVICE CREDIT</b></p> <p><b>6. Leaves of Absence --</b> Except as provided in this section (C.6.) periods of leaves of absence shall not be taken into account as Service Credit but shall not be deemed to constitute an interruption of the period of service. Military leaves of absence as a Member of the Armed Forces of the United States, provided such Member is reemployed by the University within the period of time for which such Member's reemployment rights are guaranteed under federal law, extension of sick leave without pay, leaves of absence granted in accordance with the Family Medical Leave Act for which a member receives full-time compensation from the University, <del>and</del> furloughs, <del>and administrative leaves</del> shall be taken into account as Service Credit.</p> <p>Effective December 12, 1994, notwithstanding any other provision of this Plan to the contrary, contributions, benefits and service credit with respect to qualified military service will be provided in accordance with Section 414(u) of the Internal Revenue Code.</p> <p>Seasonal leaves (not to exceed three months per contract year), shall be taken into account as Service Credit only if the Member returns to active full-time employment at the University immediately following</p>	<p><b>C. DETERMINATION OF SERVICE CREDIT</b></p> <p><b>6. Leaves of Absence --</b> Except as provided in this section (C.6.) periods of leaves of absence shall not be taken into account as Service Credit but shall not be deemed to constitute an interruption of the period of service. Military leaves of absence as a Member of the Armed Forces of the United States, provided such Member is reemployed by the University within the period of time for which such Member's reemployment rights are guaranteed under federal law, extension of sick leave without pay, leaves of absence granted in accordance with the Family Medical Leave Act for which a member receives full-time compensation from the University, furloughs, and administrative leaves shall be taken into account as Service Credit.</p> <p>Effective December 12, 1994, notwithstanding any other provision of this Plan to the contrary, contributions, benefits and service credit with respect to qualified military service will be provided in accordance with Section 414(u) of the Internal Revenue Code.</p> <p>Seasonal leaves (not to exceed three months per contract year), shall be taken into account as Service Credit only if the Member returns to active full-time employment at the University immediately following</p>

<p>the termination of the seasonal leave of absence and such leave was required by the University based on the seasonal nature of the Member's position.</p> <p>Sabbatical leaves, research leaves, and development leaves shall be taken into account as Service Credit only if the Member returns to active employment at the University no later than the beginning of the next Contract Year following such leave and subsequently holds a Full-Time Appointment for a minimum of one (1) year. The provisions of this paragraph, however, will be waived for a Member who retires under the provisions of Sections 530.010.E.2.c. and 530.010.G.7.</p>	<p>the termination of the seasonal leave of absence and such leave was required by the University based on the seasonal nature of the Member's position.</p> <p>Sabbatical leaves, research leaves, and development leaves shall be taken into account as Service Credit only if the Member returns to active employment at the University no later than the beginning of the next Contract Year following such leave and subsequently holds a Full-Time Appointment for a minimum of one (1) year. The provisions of this paragraph, however, will be waived for a Member who retires under the provisions of Sections 530.010.E.2.c. and 530.010.G.7.</p>
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**Amendment to Retirement, Disability and Death Benefit Plan**

**Section 530.010.D.3(b)**

<b>Current with Changes</b>	<b>Proposed</b>
<p><b>D. DETERMINATION OF FINAL AVERAGE SALARY</b></p> <p><b>3. Calculation of Final Average Regular Salary</b></p> <p>a. For the purpose of determining the Retirement Benefits of a Qualified Member in accordance with Section 530.010.F., a Member's Final Average Regular Salary shall be the average of the Salary earned by such Member during the five (5) consecutive Salary Years during such Member's total years of employment for which such average is the highest.</p> <p>b. For the purpose of determining the five (5) consecutive Salary Years during which a Member's Salary is the highest, Salary Years that are separated by a termination of employment, periods of sabbatical leave, research leave, development leave, <u>administrative leave</u> or leave of absence shall</p>	<p><b>D. DETERMINATION OF FINAL AVERAGE SALARY</b></p> <p><b>3. Calculation of Final Average Regular Salary</b></p> <p>a. For the purpose of determining the Retirement Benefits of a Qualified Member in accordance with Section 530.010.F., a Member's Final Average Regular Salary shall be the average of the Salary earned by such Member during the five (5) consecutive Salary Years during such Member's total years of employment for which such average is the highest.</p> <p>b. For the purpose of determining the five (5) consecutive Salary Years during which a Member's Salary is the highest, Salary Years that are separated by a termination of employment, periods of sabbatical leave, research leave, development leave, administrative leave or leave of absence shall</p>

be deemed consecutive years.	be deemed consecutive years.
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**Amendment to Retirement, Disability and Death Benefit Plan**

**Section 530.010.F.1**

**Current with Changes**

**Proposed**

**F. BASIC RETIREMENT BENEFITS**

**F. BASIC RETIREMENT BENEFITS**

**1. Basic Retirement Benefits** -- The Basic Annual Retirement Benefit for a Qualified Member who retires in accordance with Section 530.010.E.1., other than a Qualified Member described in paragraph 4. (a), shall consist of the sum of the Basic Average Regular Annual Salary Benefit, determined in accordance with paragraph 2. and, if applicable, the Basic Average Regular Summer Appointment Salary Benefit, determined in accordance with paragraph 3. For Members described in paragraph 4. (a), the Basic Annual Retirement Benefit shall be determined as provided in paragraph 4.

**1. Basic Retirement Benefits** -- The Basic Annual Retirement Benefit for a Qualified Member who retires in accordance with Section 530.010.E.1., other than a Qualified Member described in paragraph 4. (a), shall consist of the sum of the Basic Average Regular Annual Salary Benefit, determined in accordance with paragraph 2. and, if applicable, the Basic Average Regular Summer Appointment Salary Benefit, determined in accordance with paragraph 3. For Members described in paragraph 4. (a), the Basic Annual Retirement Benefit shall be determined as provided in paragraph 4.

The Basic Annual Retirement Benefit for Qualified Level One Members who terminated employment on or after September 1, 1998 shall be no less than the Actuarial Equivalent of the Member's Minimum Value Accumulation. For purposes of this paragraph, Actuarial Equivalent shall be determined on the basis of the 1983 Unisex Group Annuity Mortality Table with interest at seven and one-half percent (7 1/2%) per annum. Level Two Members are not eligible for the Minimum Value Accumulation calculation.

The Basic Annual Retirement Benefit for Qualified Level One Members who terminated employment on or after September 1, 1998 shall be no less than the Actuarial Equivalent of the Member's Minimum Value Accumulation. For purposes of this paragraph, Actuarial Equivalent shall be determined on the basis of the 1983 Unisex Group Annuity Mortality Table with interest at seven and one-half percent (7 1/2%) per annum. Level Two Members are not eligible for the Minimum Value Accumulation calculation.

Qualified Members who terminated employment on or after December 8, 1989 and prior to September 1, 1990 shall have the option to elect that their

Qualified Members who terminated employment on or after December 8, 1989 and prior to September 1, 1990 shall have the option to elect that their

Basic Retirement Benefit be adjusted effective September 1, 1990, in accordance with paragraphs 2. (d) and 3. (c). Furthermore, any Member so electing to receive an adjusted Basic Retirement Benefit in accordance with paragraphs 2. (d) and 3. (c) shall not be entitled to Derivative Benefits in accordance with Section 530.010.J.2. subsequent to September 1, 1990.

Notwithstanding any provision of this Plan to the contrary, effective for distributions on or after October 1, 2019, in the event that a Qualified Level Two Member has a Basic Annual Retirement Benefit determined under paragraph 2. and, if applicable, paragraph 3., or a Basic Annual Retirement Benefit determined under paragraph 4., the Actuarial Equivalent of which is less than the following:

the amount that would be returned to such Qualified Level Two Member if all Member contributions paid to the Plan by such Qualified Level Two Member were refunded, plus interest credits at a rate of four percent (4.0%) per annum, compounded annually from the end of the calendar year for which the Member contributions were made to the date on which the Qualified Level Two Member's Basic Annual Retirement Benefit is being determined (the "Member Contribution Amount"),

then such Qualified Level Two Member's Basic Annual Retirement Benefit shall (instead of the benefit determined under paragraphs 2. and 3., or 4.), be equal to the Member Contribution Amount. For purposes

Basic Retirement Benefit be adjusted effective September 1, 1990, in accordance with paragraphs 2. (d) and 3. (c). Furthermore, any Member so electing to receive an adjusted Basic Retirement Benefit in accordance with paragraphs 2. (d) and 3. (c) shall not be entitled to Derivative Benefits in accordance with Section 530.010.J.2. subsequent to September 1, 1990.

Notwithstanding any provision of this Plan to the contrary, effective for distributions on or after October 1, 2019, in the event that a Qualified Level Two Member has a Basic Annual Retirement Benefit determined under paragraph 2. and, if applicable, paragraph 3., or a Basic Annual Retirement Benefit determined under paragraph 4., the Actuarial Equivalent of which is less than the following:

the amount that would be returned to such Qualified Level Two Member if all Member contributions paid to the Plan by such Qualified Level Two Member were refunded, plus interest credits at a rate of four percent (4.0%) per annum, compounded annually from the end of the calendar year for which the Member contributions were made to the date on which the Qualified Level Two Member's Basic Annual Retirement Benefit is being determined (the "Member Contribution Amount"),

then such Qualified Level Two Member's Basic Annual Retirement Benefit shall (instead of the benefit determined under paragraphs 2. and 3., or 4.), be equal to the Member Contribution Amount. For purposes

<p><u>of comparing the amounts described in the prior sentence, Actuarial Equivalence shall be determined on the basis of the 1983 Unisex Group Annuity Mortality Table with interest at seven and one-half percent (7 ½ %) per annum.</u></p>	<p>of comparing the amounts described in the prior sentence, Actuarial Equivalence shall be determined on the basis of the 1983 Unisex Group Annuity Mortality Table with interest at seven and one-half percent (7 ½ %) per annum.</p>
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**Amendment to Retirement, Disability and Death Benefit Plan**

**Section 530.010.G.5**

<b>Current with Changes</b>	<b>Proposed</b>
<p><b>G. EARLY RETIREMENT BENEFITS</b></p> <p><b>5. Reemployment on or after August 1, 1996 <u>but prior to October 1, 2019</u>, further extension of participation subsequent to Early Retirement <u>prior to October 1, 2019</u>, or classification as 75% FTE on a combined Appointment basis subsequent to commencement of Retirement Benefits <u>prior to October 1, 2019</u> – <del>A</del> <u>Prior to October 1, 2019</u>, a Qualified Member's Retirement Benefits shall cease:</b></p> <p>a. in the event of subsequent reemployment by the University of such Qualified Member on or after August 1, 1996 in a position that would have qualified for Service Credit under Section 530.010.C. prior to October 1, 2019;</p> <p>b. upon further extension of participation in the Plan by the Qualified Member under Section 530.010.I.4., if the Qualified Member has commenced receipt of Early Retirement Benefits in accordance with Section 530.010.E. or Section 530.010.I.4.; or</p> <p>c. if the Qualified Member is classified as 75% FTE or greater after commencement of Retirement Benefits,</p>	<p><b>G. EARLY RETIREMENT BENEFITS</b></p> <p><b>5. Reemployment on or after August 1, 1996 but prior to October 1, 2019, further extension of participation subsequent to Early Retirement prior to October 1, 2019, or classification as 75% FTE on a combined Appointment basis subsequent to commencement of Retirement Benefits prior to October 1, 2019 – Prior to October 1, 2019, a Qualified Member's Retirement Benefits shall cease:</b></p> <p>a. in the event of subsequent reemployment by the University of such Qualified Member on or after August 1, 1996 in a position that would have qualified for Service Credit under Section 530.010.C. prior to October 1, 2019;</p> <p>b. upon further extension of participation in the Plan by the Qualified Member under Section 530.010.I.4., if the Qualified Member has commenced receipt of Early Retirement Benefits in accordance with Section 530.010.E. or Section 530.010.I.4.; or</p> <p>c. if the Qualified Member is classified as 75% FTE or greater after commencement of Retirement Benefits, aggregating all</p>

<p>aggregating all Academic/Non-Academic Appointments with the University for this purpose.</p> <p>When such Member again (i) retires or (ii) in the event of Section 530.010.G.5.c., ceases to be classified as 75% FTE or greater, aggregating all Academic/Non-Academic Appointments with the University for this purpose, benefits shall be determined in accordance with Section 530.010.F., Section 530.010.H., Section 530.010.I. or this Section, as applicable, based on such Member's Final Average Regular Salary and Service Credit, and Final Regular Summer Appointment Salary and Summer Appointment Service Credits, determined by taking into account such Member's Service Credit and Salary both prior to the initial commencement of benefits and subsequent to such Member's reemployment, further extension of participation, or classification as 75% FTE or greater, aggregating all Academic/Non-Academic Appointments with the University for this purpose, as applicable; provided, however, that the amount so determined shall be reduced by the actuarial equivalent of the benefits received prior to such Member's reemployment, further extension of participation, or classification</p>	<p>Academic/Non-Academic Appointments with the University for this purpose.</p> <p>When such Member again (i) retires or (ii) in the event of Section 530.010.G.5.c., ceases to be classified as 75% FTE or greater, aggregating all Academic/Non-Academic Appointments with the University for this purpose, benefits shall be determined in accordance with Section 530.010.F., Section 530.010.H., Section 530.010.I. or this Section, as applicable, based on such Member's Final Average Regular Salary and Service Credit, and Final Regular Summer Appointment Salary and Summer Appointment Service Credits, determined by taking into account such Member's Service Credit and Salary both prior to the initial commencement of benefits and subsequent to such Member's reemployment, further extension of participation, or classification as 75% FTE or greater, aggregating all Academic/Non-Academic Appointments with the University for this purpose, as applicable; provided, however, that the amount so determined shall be reduced by the actuarial equivalent of the benefits received prior to such Member's reemployment, further extension of participation, or classification as 75% FTE or greater,</p>
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<p>as 75% FTE or greater, aggregating all Academic/Non-Academic Appointments with the University for this purpose, as applicable and as determined in accordance with the provisions of Section 530.010.J.12; and further provided that for any Member who is reemployed on or after October 1, 2019, no Service Credit, Summer Appointment Service Credit, Salary or Summer Appointment Salary will be earned or taken into account subsequent to such reemployment.</p>	<p>aggregating all Academic/Non-Academic Appointments with the University for this purpose, as applicable and as determined in accordance with the provisions of Section 530.010.J.12; and further provided that for any Member who is reemployed on or after October 1, 2019, no Service Credit, Summer Appointment Service Credit, Salary or Summer Appointment Salary will be earned or taken into account subsequent to such reemployment.</p>
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**Amendment to Retirement, Disability and Death Benefit Plan**

**Section 530.010.G.5A**

**Current with Changes**

**Proposed**

**G. EARLY RETIREMENT BENEFITS**

**G. EARLY RETIREMENT BENEFITS**

**5.A Reemployment, further extension of participation subsequent to Early Retirement, or classification as 75% FTE on a combined Appointment basis subsequent to commencement of Retirement Benefits on or after October 1, 2019 –:**  
Notwithstanding Section 530.010.G.5 or any provision of this Plan to the contrary, effective October 1, 2019, a Qualified Member's Retirement Benefits shall not cease upon the occurrence of any of the events listed in Section 530.010.G.5 a. - c., provided a previous bona fide termination of employment occurred.

**5.A Reemployment, further extension of participation subsequent to Early Retirement, or classification as 75% FTE on a combined Appointment basis subsequent to commencement of Retirement Benefits on or after October 1, 2019 –:**  
Notwithstanding Section 530.010.G.5 or any provision of this Plan to the contrary, effective October 1, 2019, a Qualified Member's Retirement Benefits shall not cease upon the occurrence of any of the events listed in Section 530.010.G.5 a. - c., provided a previous bona fide termination of employment occurred.

# RECOMMENDATION TO AMEND BENEFIT PROGRAM

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

**Effective Date of Amendment to Program:   October 1, 2019, and January 1, 2020**

**Amendment Number: SRP-25**

**Purpose of Recommendation:**

To amend the Supplemental Retirement Plan, effective October 1, 2019 except as otherwise provided below, to provide as follows:

- Clarify that residents are ineligible, adding language for consistency with administrative processes and all other plan documents.
- Replace reference to Retirement and Staff Benefits Committee with Total Rewards Advisory Committee.
- Change the definition of Compensation, effective as of January 1, 2020, for purposes of Participating Employer Nonelective and Matching Contributions.

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

See attached.

**Proposed Language (recommended citation):**

See attached.

**Cost, if Applicable:**

**Recommended for Approval:**

\_\_\_\_\_  
Marsha Fischer  
Chief Human Resources Officer

\_\_\_\_\_  
Date

**Approval as to Legal Form:**

\_\_\_\_\_  
Paul Maguffee  
Legal Counsel

\_\_\_\_\_  
Date

**Final Approval:**

\_\_\_\_\_  
Mun Choi  
President

\_\_\_\_\_  
Date

Copy to General Counsel, Human Resources, Board of Curators

**Amendment to the 401(a) Supplemental Retirement Plan**

**Section 570.010.A.11**

<b>Current with Changes</b>	<b>Proposed</b>
<p><b>11. Eligible Employee</b> means an employee who is actively employed with the Employer in at least a 75% Full-Time Equivalency position with an appointment duration of at least nine (9) months (for the purpose of this section any individual who is simultaneously employed by the University and the Harry S. Truman Veterans Administration Hospital pursuant to a written agreement between said organizations, and whose joint appointments, combined, otherwise meet the requirements of this section, shall be considered an Eligible Employee). An Eligible Employee shall not include any:</p> <ul style="list-style-type: none"><li>a. Per Diem Employee;</li><li>b. student employee;</li><li>c. Leased Employee;</li><li>d. any individuals who are not treated as common law employees by the Employer, even if a court or administrative agency determines that such individuals are common law employees and not independent contractors; <del>and</del></li><li>e. employees of a Participating Employer prior to the date the Participating Employer adopts the Plan with the consent of the University; <del>and</del></li><li>f. <u>any Resident.</u></li></ul> <p><u>"Resident" means a physician employed by the University of Missouri-Columbia Health Sciences Center or the University of Missouri-Kansas City School of Medicine who has completed medical school training, has received a Doctor of Medicine degree, or a Doctor of Osteopathy Degree, or comparable medical degree and is continuing in training to achieve certification by a specialty board. Included in this group are clinical post-doctoral fellows who are engaged in training to qualify them for specialty board certification. These clinical post-doctoral fellows are in accredited fellowship programs. The resident (including</u></p>	<p><b>11. Eligible Employee</b> means an employee who is actively employed with the Employer in at least a 75% Full-Time Equivalency position with an appointment duration of at least nine (9) months (for the purpose of this section any individual who is simultaneously employed by the University and the Harry S. Truman Veterans Administration Hospital pursuant to a written agreement between said organizations, and whose joint appointments, combined, otherwise meet the requirements of this section, shall be considered an Eligible Employee). An Eligible Employee shall not include any:</p> <ul style="list-style-type: none"><li>a. Per Diem Employee;</li><li>b. student employee;</li><li>c. Leased Employee;</li><li>d. any individuals who are not treated as common law employees by the Employer, even if a court or administrative agency determines that such individuals are common law employees and not independent contractors;</li><li>e. employees of a Participating Employer prior to the date the Participating Employer adopts the Plan with the consent of the University; and</li><li>f. any Resident.</li></ul> <p>"Resident" means a physician employed by the University of Missouri-Columbia Health Sciences Center or the University of Missouri-Kansas City School of Medicine who has completed medical school training, has received a Doctor of Medicine degree, or a Doctor of Osteopathy Degree, or comparable medical degree and is continuing in training to achieve certification by a specialty board. Included in this group are clinical post-doctoral fellows who are engaged in training to qualify them for specialty board certification. These clinical post-doctoral fellows are in accredited fellowship programs. The resident (including</p>

<p><u>post-doctoral fellows in accredited programs) characteristically provides service, teaching and is being trained in a medical discipline. Clinical post-doctoral fellows who are not in an accredited program are not to be considered residents for purposes of the Plan.</u></p>	<p>post-doctoral fellows in accredited programs) characteristically provides service, teaching and is being trained in a medical discipline. Clinical post-doctoral fellows who are not in an accredited program are not to be considered residents for purposes of the Plan.</p>
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**Section 570.010.A.37**

<b>Current with Changes</b>	<b>Proposed</b>
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<p><b>37. Other Terms.</b> Additional terms as defined in other sections of this Plan as follows:</p> <table border="1"> <thead> <tr> <th align="center">Terms</th> <th align="center">Sections</th> </tr> </thead> <tbody> <tr> <td>a. Annual Addition</td> <td>570.010.E.1.c.</td> </tr> <tr> <td>b. Direct Rollover</td> <td>570.010.H.3.d.</td> </tr> <tr> <td>c. Distributee</td> <td>570.010.H.3.c.</td> </tr> <tr> <td>d. Eligible Retirement Plan</td> <td>570.010.H.3.b.</td> </tr> <tr> <td>e. Eligible Rollover Distribution</td> <td>570.010.H.3.a.</td> </tr> <tr> <td>f. Required Beginning Date</td> <td>570.010.I.5.d.</td> </tr> <tr> <td>g. Rollover Contribution</td> <td>570.010.C.5.b.</td> </tr> <tr> <td>h. Rollover Amount</td> <td>570.010.C.5.b.</td> </tr> <tr> <td>i. Resident</td> <td>570.010.A.11</td> </tr> </tbody> </table>	Terms	Sections	a. Annual Addition	570.010.E.1.c.	b. Direct Rollover	570.010.H.3.d.	c. Distributee	570.010.H.3.c.	d. Eligible Retirement Plan	570.010.H.3.b.	e. Eligible Rollover Distribution	570.010.H.3.a.	f. Required Beginning Date	570.010.I.5.d.	g. Rollover Contribution	570.010.C.5.b.	h. Rollover Amount	570.010.C.5.b.	i. Resident	570.010.A.11	<p><b>37. Other Terms.</b> Additional terms as defined in other sections of this Plan as follows:</p> <table border="1"> <thead> <tr> <th align="center">Terms</th> <th align="center">Sections</th> </tr> </thead> <tbody> <tr> <td>a. Annual Addition</td> <td>570.010.E.1.c.</td> </tr> <tr> <td>b. Direct Rollover</td> <td>570.010.H.3.d.</td> </tr> <tr> <td>c. Distributee</td> <td>570.010.H.3.c.</td> </tr> <tr> <td>d. Eligible Retirement Plan</td> <td>570.010.H.3.b.</td> </tr> <tr> <td>e. Eligible Rollover Distribution</td> <td>570.010.H.3.a.</td> </tr> <tr> <td>f. Required Beginning Date</td> <td>570.010.I.5.d.</td> </tr> <tr> <td>g. Rollover Contribution</td> <td>570.010.C.5.b.</td> </tr> <tr> <td>h. Rollover Amount</td> <td>570.010.C.5.b.</td> </tr> <tr> <td>i. Resident</td> <td>570.010.A.11</td> </tr> </tbody> </table>	Terms	Sections	a. Annual Addition	570.010.E.1.c.	b. Direct Rollover	570.010.H.3.d.	c. Distributee	570.010.H.3.c.	d. Eligible Retirement Plan	570.010.H.3.b.	e. Eligible Rollover Distribution	570.010.H.3.a.	f. Required Beginning Date	570.010.I.5.d.	g. Rollover Contribution	570.010.C.5.b.	h. Rollover Amount	570.010.C.5.b.	i. Resident	570.010.A.11
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**Section 570.010.C.3**

<b>Current with Changes</b>	<b>Proposed</b>
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<p><b>3. Participating Employer Contributions</b></p> <p>a. <u>Nonelective Contributions.</u> The Participating Employer will contribute to the Plan for each payroll period, a Nonelective Contribution in an amount equal to three percent (3%) of each Participant's Compensation for each payroll period. Such contributions will be determined and allocated separately for each Participating Employer and will only be made for the Participants employed by the Participating Employer with respect to Compensation received for services rendered to the Participating Employer.</p> <p>b. <u>Matching Contributions.</u> The Participating Employer will contribute to the Plan, a Matching Contribution in an amount equal to one hundred percent (100%) of the amount contributed by such Participant to the University's 457(b) Eligible Deferred Compensation Plan for each payroll period; provided, however, the Matching Contribution will not exceed three percent (3%) of the Participant's Compensation for each payroll period. Such contributions will be determined and allocated separately for each Participating Employer and will only be made for the Participants employed by the Participating Employer with respect to</p>	<p><b>3. Participating Employer Contributions</b></p> <p>a. <u>Nonelective Contributions.</u> The Participating Employer will contribute to the Plan for each payroll period, a Nonelective Contribution in an amount equal to three percent (3%) of each Participant's Compensation for each payroll period. Such contributions will be determined and allocated separately for each Participating Employer and will only be made for the Participants employed by the Participating Employer with respect to Compensation received for services rendered to the Participating Employer.</p> <p>b. <u>Matching Contributions.</u> The Participating Employer will contribute to the Plan, a Matching Contribution in an amount equal to one hundred percent (100%) of the amount contributed by such Participant to the University's 457(b) Eligible Deferred Compensation Plan for each payroll period; provided, however, the Matching Contribution will not exceed three percent (3%) of the Participant's Compensation for each payroll period. Such contributions will be determined and allocated separately for each Participating Employer and will only be made for the Participants employed by the Participating Employer with respect to</p>
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<p>Compensation received for services rendered to the Participating Employer.</p> <p>c. <u>Allocation of Participating Employer Contributions.</u> The Participating Employer Contributions will be allocated to Participant's Account in accordance with the Contribution formula provided in Sections 570.010.C.3.a. and b.</p> <p>d. <u>Compensation for purposes of this Section 570.010.C.3.</u> Notwithstanding the foregoing, a Participant's Compensation for each payroll period ending on or after January 1, 2020, under this Section 570.010.C.3 shall include but not be limited to, payments for the following items made in accordance with established University policy:</p> <ul style="list-style-type: none"> <li>o regular pay;</li> <li>o shift differential;</li> <li>o chancellor's housing allowance;</li> <li>o contract pay;</li> <li>o sick leave pay;</li> <li>o paid time off for work incurred injury;</li> <li>o personal days;</li> <li>o vacation days;</li> <li>o summer session pay;</li> <li>o overtime;</li> <li>o hiring incentive;</li> <li>o additional, extra, or incentive compensation;</li> <li>o moving allowance;</li> <li>o automobile allowances;</li> </ul>	<p>Compensation received for services rendered to the Participating Employer.</p> <p>c. <u>Allocation of Participating Employer Contributions.</u> The Participating Employer Contributions will be allocated to Participant's Account in accordance with the Contribution formula provided in Sections 570.010.C.3.a. and b.</p> <p>e. <u>Compensation for purposes of this Section 570.010.C.3.</u> Notwithstanding the foregoing, a Participant's Compensation for each payroll period ending on or after January 1, 2020, under this Section 570.010.C.3 shall include but not be limited to, payments for the following items made in accordance with established University policy:</p> <ul style="list-style-type: none"> <li>o regular pay;</li> <li>o shift differential;</li> <li>o chancellor's housing allowance;</li> <li>o contract pay;</li> <li>o sick leave pay;</li> <li>o paid time off for work incurred injury;</li> <li>o personal days;</li> <li>o vacation days;</li> <li>o summer session pay;</li> <li>o overtime;</li> <li>o hiring incentive;</li> <li>o additional, extra, or incentive compensation;</li> <li>o moving allowance;</li> <li>o automobile allowances;</li> </ul>
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<ul style="list-style-type: none"> <li>○ commissions.</li> </ul> <p>However, Compensation shall not include the following payments/amounts:</p> <ul style="list-style-type: none"> <li>○ prizes/awards;</li> <li>○ tenure buyout;</li> <li>○ benefit restoration plan;</li> <li>○ educational assistance;</li> <li>○ in lieu of retirement;</li> <li>○ patent royalties;</li> <li>○ tips;</li> <li>○ transition assistance;</li> <li>○ special services, projects summer terms or intersessions except as provided for in accordance with Section 530.030.A.9.a.;</li> <li>○ in lieu of vacation other than in the context of a termination of employment;</li> <li>○ all settlement amounts except where the settlement agreement expressly provides that some or all of the amount shall be deemed Compensation for purposes of retirement benefit calculation;</li> <li>○ value of furnished/leased automobiles;</li> <li>○ non-cash compensation.</li> </ul>	<ul style="list-style-type: none"> <li>○ commissions.</li> </ul> <p>However, Compensation shall not include the following payments/amounts:</p> <ul style="list-style-type: none"> <li>○ prizes/awards;</li> <li>○ tenure buyout;</li> <li>○ benefit restoration plan;</li> <li>○ educational assistance;</li> <li>○ in lieu of retirement;</li> <li>○ patent royalties;</li> <li>○ tips;</li> <li>○ transition assistance;</li> <li>○ special services, projects summer terms or intersessions except as provided for in accordance with Section 530.030.A.9.a.;</li> <li>○ in lieu of vacation other than in the context of a termination of employment;</li> <li>○ all settlement amounts except where the settlement agreement expressly provides that some or all of the amount shall be deemed Compensation for purposes of retirement benefit calculation;</li> <li>○ value of furnished/leased automobiles;</li> <li>○ non-cash compensation.</li> </ul>
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**Section 570.010.M.4.b**

<b>Current with Changes</b>	<b>Proposed</b>
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<p>b. The <del>"Retirement and Staff Benefits Committee"</del> "Total Rewards Advisory Committee" has been appointed to assist the Plan Administrator.</p>	<p>b. The "Total Rewards Advisory Committee" has been appointed to assist the Plan Administrator.</p>
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# RECOMMENDATION TO AMEND BENEFIT PROGRAM

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

**Effective Date of Amendment to Program:**   **January 1, 2020**

**Amendment Number:** ERIP-4

**Purpose of Recommendation:**

To amend the Employee Retirement Investment Plan to:

- Change the definition of Compensation for purposes of University Nonelective and Matching Contributions.

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

See attached.

**Proposed Language (recommended citation):**

See attached.

**Cost, if Applicable:**

**Recommended for Approval:**

\_\_\_\_\_  
Marsha Fischer  
Chief Human Resources Officer

\_\_\_\_\_  
Date

**Approval as to Legal Form:**

\_\_\_\_\_  
Paul Maguffee  
Legal Counsel

\_\_\_\_\_  
Date

**Final Approval:**

\_\_\_\_\_  
Mun Choi  
President

\_\_\_\_\_  
Date

Copy to General Counsel, Human Resources, Board of Curators

**Amendment to the Employee Retirement Investment Plan**

**Section 530.030.A.9**

<b>Current with Changes</b>	<b>Proposed</b>
<p><b>9. Compensation means:</b></p> <p>a. <b>Before January 1, 2020,</b> Compensation for services regularly rendered. Compensation for services regularly rendered shall include, but not be limited to, payments for the following items made in accordance with established University policy:</p> <ul style="list-style-type: none"> <li>1) regular pay;</li> <li>2) shift differential;</li> <li>3) chancellor’s housing allowance;</li> <li>4) contract pay;</li> <li>5) sick leave pay;</li> <li>6) paid time off for work incurred injury;</li> <li>7) personal days;</li> <li>8) vacation days;</li> <li>9) summer session pay.</li> </ul> <p>b. <b>Before January 1, 2020,</b> Compensation shall not include the following payments:</p> <ul style="list-style-type: none"> <li>1) overtime;</li> <li>2) relocation incentive;</li> <li>3) additional, extra, or incentive compensation;</li> <li>4) prizes/awards, or bonuses;</li> <li>5) tenure buyout;</li> <li>6) benefit restoration plan;</li> <li>7) automobile allowances (or furnished automobiles);</li> <li>8) educational assistance;</li> <li>9) in lieu of retirement;</li> <li>10) moving expenses;</li> <li>11) patent royalties;</li> <li>12) tips;</li> </ul>	<p><b>9. Compensation means:</b></p> <p>a. Before January 1, 2020, Compensation for services regularly rendered. Compensation for services regularly rendered shall include, but not be limited to, payments for the following items made in accordance with established University policy:</p> <ul style="list-style-type: none"> <li>1) regular pay;</li> <li>2) shift differential;</li> <li>3) chancellor’s housing allowance;</li> <li>4) contract pay;</li> <li>5) sick leave pay;</li> <li>6) paid time off for work incurred injury;</li> <li>7) personal days;</li> <li>8) vacation days;</li> <li>9) summer session pay.</li> </ul> <p>b. Before January 1, 2020, Compensation shall not include the following payments:</p> <ul style="list-style-type: none"> <li>1) overtime;</li> <li>2) relocation incentive;</li> <li>3) additional, extra, or incentive compensation;</li> <li>4) prizes/awards, or bonuses;</li> <li>5) tenure buyout;</li> <li>6) benefit restoration plan;</li> <li>7) automobile allowances (or furnished automobiles);</li> <li>8) educational assistance;</li> <li>9) in lieu of retirement;</li> <li>10) moving expenses;</li> <li>11) patent royalties;</li> <li>12) tips;</li> </ul>

<p>13) transition assistance;  14) commissions (unless specifically authorized by the Plan Administrator);  15) special services, projects summer terms or intersessions except as provided for in accordance with Section 530.030.A.9.a.;  16) in lieu of vacation other than in the context of a termination of employment;  17) all settlement amounts except where the settlement agreement expressly provides that some or all of the amount shall be deemed Compensation for purposes of retirement benefit calculation;  18) non-cash compensation.</p>	<p>13) transition assistance;  14) commissions (unless specifically authorized by the Plan Administrator);  15) special services, projects summer terms or intersessions except as provided for in accordance with Section 530.030.A.9.a.;  16) in lieu of vacation other than in the context of a termination of employment;  17) all settlement amounts except where the settlement agreement expressly provides that some or all of the amount shall be deemed Compensation for purposes of retirement benefit calculation;  18) non-cash compensation.</p>
<p>c. On or after January 1, 2020, Compensation for services regularly rendered. Compensation for services regularly rendered shall include, but not be limited to, payments for the following items made in accordance with established University policy:</p> <p>1) regular pay;  2) shift differential;  3) chancellor's housing allowance;  4) contract pay;  5) sick leave pay;  6) paid time off for work incurred injury;  7) personal days;  8) vacation days;</p>	<p>c. On or after January 1, 2020, Compensation for services regularly rendered. Compensation for services regularly rendered shall include, but not be limited to, payments for the following items made in accordance with established University policy:</p> <p>1) regular pay;  2) shift differential;  3) chancellor's housing allowance;  4) contract pay;  5) sick leave pay;  6) paid time off for work incurred injury;  7) personal days;  8) vacation days;</p>

<ul style="list-style-type: none"> <li>9) summer session pay-;</li> <li>10) overtime;</li> <li>11) hiring incentive;</li> <li>12) additional, extra, or incentive compensation;</li> <li>13) moving allowance;</li> <li>14) automobile allowances;</li> <li>15) commissions.</li> </ul>	<ul style="list-style-type: none"> <li>9) summer session pay-;</li> <li>10) overtime;</li> <li>11) hiring incentive;</li> <li>12) additional, extra, or incentive compensation;</li> <li>13) moving allowance;</li> <li>14) automobile allowances;</li> <li>15) commissions.</li> </ul>
<p>d. On or after January 1, 2020, Compensation shall not include the following payments/amounts:</p> <ul style="list-style-type: none"> <li>1) prizes/awards;</li> <li>2) tenure buyout;</li> <li>3) benefit restoration plan;</li> <li>4) educational assistance;</li> <li>5) in lieu of retirement;</li> <li>6) patent royalties;</li> <li>7) tips;</li> <li>8) transition assistance;</li> <li>9) special services, projects summer terms or intersessions except as provided for in accordance with Section 530.030.A.9.a.;</li> <li>10) in lieu of vacation other than in the context of a termination of employment;</li> <li>11) all settlement amounts except where the settlement agreement expressly provides that some or all of the amount shall be deemed Compensation for purposes of retirement benefit calculation;</li> <li>12) value of furnished/leased automobiles;</li> <li>13) non-cash compensation.</li> </ul>	<p>d. On or after January 1, 2020, Compensation shall not include the following payments/amounts:</p> <ul style="list-style-type: none"> <li>1) prizes/awards;</li> <li>2) tenure buyout;</li> <li>3) benefit restoration plan;</li> <li>4) educational assistance;</li> <li>5) in lieu of retirement;</li> <li>6) patent royalties;</li> <li>7) tips;</li> <li>8) transition assistance;</li> <li>9) special services, projects summer terms or intersessions except as provided for in accordance with Section 530.030.A.9.a.;</li> <li>10) in lieu of vacation other than in the context of a termination of employment;</li> <li>11) all settlement amounts except where the settlement agreement expressly provides that some or all of the amount shall be deemed Compensation for purposes of retirement benefit calculation;</li> <li>12) value of furnished/leased automobiles;</li> <li>13) non-cash compensation.</li> </ul>

<p><b>ee.</b> Compensation shall include amounts contributed by the University pursuant to an employee election, which is not includible in the gross income of the employee under Code Sections 125, 402(e)(3), 402(h), 403(b), 408(p), 132(f)(4), 457 and 414(h)(2).</p> <p><b>ef.</b> Compensation shall include all compensation paid from University funds and other funds controlled by the University, for any Participant whose full-time employment is under the control and direction of the University, but who renders only part-time services for the teaching and research programs of the University and the compensation for the remainder of whose services is paid from funds under the control of the University, other than University funds.</p> <p><b>eg.</b> Compensation for a Plan Year shall also include Compensation paid by the later of 2 ½ months after an employee's Severance from Employment with the University or the end of the Plan Year that includes the date of the employee's Severance from Employment with the University, if the payment is regular compensation for services, as defined in Section 530.030.A.9.a.</p> <p>Any payments not described above shall not be considered Compensation if paid after Severance from Employment, even if they are paid by the later of 2 ½ months after the date of Severance from Employment or the end of the Limitation Year that includes the date of Severance from Employment.</p> <p><b>fh.</b> Annual Compensation of each Participant taken into account in determining allocations shall not exceed the maximum amount specified in Code Section 401(a)(17)(A), as adjusted for cost-of-living increases. Annual Compensation means Compensation during the Plan Year (the "determination period"). The cost-of-living</p>	<p>e. Compensation shall include amounts contributed by the University pursuant to an employee election, which is not includible in the gross income of the employee under Code Sections 125, 402(e)(3), 402(h), 403(b), 408(p), 132(f)(4), 457 and 414(h)(2).</p> <p>f. Compensation shall include all compensation paid from University funds and other funds controlled by the University, for any Participant whose full-time employment is under the control and direction of the University, but who renders only part-time services for the teaching and research programs of the University and the compensation for the remainder of whose services is paid from funds under the control of the University, other than University funds.</p> <p>g. Compensation for a Plan Year shall also include Compensation paid by the later of 2 ½ months after an employee's Severance from Employment with the University or the end of the Plan Year that includes the date of the employee's Severance from Employment with the University, if the payment is regular compensation for services, as defined in Section 530.030.A.9.a.</p> <p>Any payments not described above shall not be considered Compensation if paid after Severance from Employment, even if they are paid by the later of 2 ½ months after the date of Severance from Employment or the end of the Limitation Year that includes the date of Severance from Employment.</p> <p>h. Annual Compensation of each Participant taken into account in determining allocations shall not exceed the maximum amount specified in Code Section 401(a)(17)(A), as adjusted for cost-of-living increases. Annual Compensation means Compensation during the Plan Year (the "determination period"). The cost-of-living</p>
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<p>adjustment in effect for a calendar year applies to annual Compensation for the determination period that begins with or within such calendar year.</p> <p>If a determination period consists of fewer than 12 months the annual Compensation limit is an amount equal to the otherwise applicable annual Compensation limit multiplied by a fraction, the numerator of which is the number of months in the short determination period, and the denominator of which is 12. If Compensation for any prior determination period is taken into account in determining a Participant's allocations for the current Plan Year, the Compensation for such prior determination period is subject to the applicable annual Compensation limit in effect for that prior period.</p>	<p>adjustment in effect for a calendar year applies to annual Compensation for the determination period that begins with or within such calendar year.</p> <p>If a determination period consists of fewer than 12 months the annual Compensation limit is an amount equal to the otherwise applicable annual Compensation limit multiplied by a fraction, the numerator of which is the number of months in the short determination period, and the denominator of which is 12. If Compensation for any prior determination period is taken into account in determining a Participant's allocations for the current Plan Year, the Compensation for such prior determination period is subject to the applicable annual Compensation limit in effect for that prior period.</p>
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Collected Rules and Regulations 340.050  
Vacation

Executive Summary

In June 2018, the Board of Curators approved amendments to the language in Section 340.030 of the Collected Rules and Regulations Sick Leave to indicate that “sick leave is available for use once it is accrued, subject to appropriate supervisory approval.”

The proposed action item is to approve the administration’s recommendations as follows:

- Mirror language to be consistent with 340.030 Sick CRR, “Vacation is available for use once it is accrued, subject to appropriate supervisory approval”.
- Clarify terminology to indicate that “Regular administrative, service, and support” means “benefit-eligible administrative, service, and support” employees.
- Improve terminology to remove outdated terms including “office, technical maintenance, service” and “administrative and professional”; replace with “Hourly Paid, Nonexempt Employees” and “Monthly paid, Exempt Employees” respectively.

Effective date of changes is requested to be October 1, 2019.

No. 3

Recommended Action – Amendment, Collected Rules and Regulations 340.050, Vacation to Update Terminology in Alignment with CRR 340.030, Sick Leave approved in June 2018

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

- Mirror language to be consistent with 340.030 Sick CRR, “Vacation is available for use once it is accrued, subject to appropriate supervisory approval”.
- Clarify terminology to indicate that “Regular administrative, service, and support” means “benefit-eligible administrative, service, and support” employees.
- Improve terminology to remove outdated terms including “office, technical maintenance, service” and “administrative and professional”; replace with “Hourly Paid, Nonexempt Employees” and “Monthly paid, Exempt Employees” respectively.

Roll call vote of the Committee:                      YES                      NO

Curator Snowden  
Curator Brncic  
Curator Chatman  
Curator Layman

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

Roll call vote of the Board:                      YES                      NO

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

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

## Collected Rules and Regulations

### Personnel

#### Chapter 340: Employee Absences

##### 340.050 Vacation

Bd. Min. 7-16-58, p. 13,307, as amended 6-28-68, p. 33,907; Amended 9-7-79; Amended 7-30-82, effective 9-1-82; Bd. Min. 7-15-86; Amended 9-26-97; Amended Bd. Min. 7-17-98; Amended Bd. Min. 7-19-02; Amended Bd. Min 9-13-13; Amended Bd. Min. TBD., effective 10-1-19

##### A. Eligibility

- 1. Eligible Employees** — ~~Regular-Benefit-eligible full-time Administrative-administrative, Service-service and Support-support~~ employees and certain non-regular academic employees as approved by the ~~Chancellor-chancellor~~ and ~~President-president~~ who have satisfied appropriate probationary periods shall be ~~entitled to~~eligible for paid vacation time accrued from the date of employment ~~as follows:~~
- 2. Ineligible Employees** -- Employees with primary titles that are administrative, service and support who are exempt from classification because their positions are primarily directing instructional or research activities are not subject to this policy.

##### B. Accruals

- ~~B. For Office, Technical, Maintenance, Service and other employees in similar job classifications designated as non-exempt from overtime pay by the President of the University.~~
- 1. Rates of Accrual** — ~~Office, Technical, Maintenance and Service staff~~Hourly Paid, Nonexempt Employees – Eligible hourly paid, nonexempt employees accrue vacation time over each pay period at the following rate:
    - 0-5 years inclusive: 12 days
    - Over 5 years: 17 days
    - Over 15 years: 22 days

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2. ~~Administrative and Professional Staff~~ Monthly Paid, Exempt Employees  
– Eligible monthly paid, exempt employees accrue vacation time over each pay period at the following rate:

- 0-5 years inclusive: 17 days
- Over 5 years: 22 days

**C. Credit for vacation** accumulates during vacations, sick leave, excused absence with pay and any leave of absence without pay granted for an on-the-job injury compensable under Workers' Compensation. Vacation accruals will be available to the employee only after returning to work in regular status

**D. Conditions Governing Vacation Accruals**

1. ~~Paid vacation time must be earned before it is taken.~~ Vacation is available for use once it is accrued, subject to appropriate supervisory approval.
2. Extra pay shall not be made in lieu of vacation leave.
3. Employees working on a basis of 75 percent - 99 percent full-time equivalence or more will accrue vacation time on a pro-rata basis.

**E. Maximum Accruals** -- An employee shall be permitted to accumulate two times the allowed vacation earned each year.

# Collected Rules and Regulations

## Personnel

### Chapter 340: Employee Absences

#### 340.050 Vacation

Bd. Min. 7-16-58, p. 13,307, as amended 6-28-68, p. 33,907; Amended 9-7-79; Amended 7-30-82, effective 9-1-82; Bd. Min. 7-15-86; Amended 9-26-97; Amended Bd. Min. 7-17-98; Amended Bd. Min. 7-19-02; Amended Bd. Min 9-13-13; Amended Bd. Min. effective 10-1-19

##### A. Eligibility

1. Eligible Employees – Benefit-eligible full-time administrative, service and support employees and certain non-regular academic employees as approved by the chancellor and president who have satisfied appropriate probationary periods shall be eligible for paid vacation time accrued from the date of employment.
2. Ineligible Employees -- Employees with primary titles that are administrative, service and support who are exempt from classification because their positions are primarily directing instructional or research activities are not subject to this policy.

##### B. Accruals

1. Hourly Paid, Nonexempt Employees – Eligible hourly paid, nonexempt employees accrue vacation time over each pay period at the following rate:
  - 0-5 years inclusive: 12 days
  - Over 5 years: 17 days
  - Over 15 years: 22 days
2. Monthly Paid, Exempt Employees – Eligible monthly paid, exempt employees accrue vacation time over each pay period at the following rate:
  - 0-5 years inclusive: 17 days
  - Over 5 years: 22 days

- C. **Credit for vacation** accumulates during vacations, sick leave, excused absence with pay and any leave of absence without pay granted for an on-the-job injury compensable under Workers' Compensation. Vacation accruals will be available

to the employee only after returning to work in regular status

**D. Conditions Governing Vacation Accruals**

1. Vacation is available for use once it is accrued, subject to appropriate supervisory approval.
2. Extra pay shall not be made in lieu of vacation leave.
3. Employees working on a basis of 75 percent - 99 percent full-time equivalence or more will accrue vacation time on a pro-rata basis.

**E. Maximum Accruals** -- An employee shall be permitted to accumulate two times the allowed vacation earned each year.

No. 4

Recommended Action - Resolution for Executive Session of the Compensation and Human Resources Committee, September 26, 2019

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 Compensation and Human Resources Committee meeting September 26, 2019, 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;

Roll call vote of the Committee:                      YES                      NO

Curator Brncic  
Curator Chatman  
Curator Laymen  
Curator Snowden

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

September 26, 2019



## **GENERAL BUSINESS (continued)**

UNIVERSITY OF MISSOURI – KANSAS CITY  
CAMPUS HIGHLIGHTS  
CHANCELLOR AGRAWAL

There are no materials for this information item.



# UNIVERSITY OF MISSOURI INTERCAMPUS FACULTY COUNCIL

## EVALUATING CLASSROOM-BASED, ONLINE, BLENDED AND LABORATORY TEACHING INTERACTIONS

### Task Force Members

- Jennifer Fellabaum-Toston – MU
- Diane Fillion – UMKC
- Andy Goodman – UMSL
- Larry Gragg – S&T
- Steve Graham – UM System
- Jon McGinnis – UMSL
- Isabel Montes Gutierrez – UM System
- Carrie Nicholson – UM System
- Candace Schlein - UMKC

June 18, 2018

## TASK FORCE MEMBERS

### **Jennifer Fellabaum-Toston**

Assistant Teaching Professor, ELPA  
Associate Director of the Statewide  
Cooperative EdD Program  
Program Coordinator, Higher Education  
University of Missouri - Columbia

### **Diane Filion**

Interim Vice Provost for Faculty Affairs  
Professor of Psychology  
University of Missouri - Kansas City

### **Andy Goodman**

Associate Professor  
Director of the Center for Teaching and  
Learning  
Associate Provost for Professional  
Development  
University of Missouri - St. Louis

### **Larry Gragg**

Curators' Distinguished Teaching Professor  
Emeritus  
Chair, Center for Advancing Faculty  
Excellence  
Missouri University of Science &  
Technology

### **Steve Graham**

Senior Associate Vice President for  
Academic Affairs  
University of Missouri System

### **Jon McGinnis**

Professor and Chair of Philosophy  
University of Missouri – St. Louis

### **Isabel Montes Gutierrez**

Graduate Assistant  
University of Missouri System

### **Carrie Nicholson**

Research Consultant II  
University of Missouri System

### **Candace Schlein**

Associate Professor  
Interim Program Director for Graduate  
Student Development  
Interim Program Director for the Faculty  
Center for Excellence in Teaching (FaCET)  
University of Missouri – Kansas City

# IFC STATEMENT ON EVALUATING CLASSROOM-BASED, ONLINE, BLENDED AND LABORATORY TEACHING INTERACTIONS

## INTRODUCTION

Identifying appropriate strategies to effectively evaluate college teaching has been an issue nationally and has received more attention recently at the University of Missouri. The use of Student Ratings of Teaching (often referred to as student evaluations of teaching but research shows a more accurate terminology is student ratings), one of the most common strategies for evaluating teaching, has come under increasing scrutiny as numerous studies have suggested there is potential rating bias (e.g., gender, ethnicity, course structure, and experience of instructor). Furthermore, faculty complain of low response rates and students express concerns that the feedback is not utilized (Boring, Ottoboni, & Stark, 2016; Davis, Hirschberg, Lye & Johnston, 2007; Flaherty, 2018; Linse, 2017; Mitchell, & Martin, 2018; York University, 2002).

After several discussions, the University of Missouri Intercampus Faculty Council (IFC) created a task force to examine strategies to evaluate teaching effectiveness with the primary goal of improving teaching effectiveness and student learning. Although there are many components that may be considered under the category of teaching in tenure and promotion in this paper the reference to teaching is referring to classroom, online, blended and laboratory instruction. The task force is comprised of at least one faculty member from each of the UM campuses and is staffed by the UM Office of Academic Affairs.

The committee members sought input from IFC members as well as provosts and vice provosts in outlining the charge for the committee. From these discussions and from the work of previous IFC task force on faculty workload and post-tenure review the following issues emerged.

- With the rising cost of college, growing student debt, and a heightened focus on preparing students for employment, there is an increased focus on “student success” in college. Effective teaching is an important component of student success.
- With the use of online student ratings, the response rates have been dropping to the point that neither the faculty nor the students have confidence in the results.
- Despite the issues with student ratings of teaching, they are often used for promotion and tenure decisions – sometimes as the primary source of teaching evaluation.
- At research-focused universities, department chairs and faculty feel they have limited time to launch extensive teaching evaluation efforts.
- Only a few academic units use a comprehensive multiple measure system to evaluate teaching effectiveness.

- National standards for measuring recommend using data from multiple sources.
- Student ratings of teaching are a necessary, but not sufficient, strategy in assessing the quality of teaching.

## CRITICAL ISSUES IN EVALUATING TEACHING

### WHAT THE LITERATURE TELLS US

A critical element in encouraging quality teaching is defining the expectations for effective teaching and explaining how it contributes to the institutional goals. This requires ongoing efforts by both faculty and administrators to communicate high expectations for teaching and to reward faculty who achieve that level. The expectations and goals for faculty related to teaching and learning must be clear. The essential elements when establishing the evaluation criteria include: 1) evaluations that are of optimum use in faculty development, 2) appropriate use of the evaluation results, and 3) assurance there is alignment between evaluation and development efforts and the departmental and institutional goals.

A persistent issue when determining what sources of information to gather is to ask what purpose the evaluations serving; teaching evaluations can either be “formative” or “summative.” Formative data is collected with the sole purpose of providing feedback for development whereas summative data is collected for evaluation purposes. Because of the tension created by trying to address both of these (Morehead & Shedd, 1997), it may be necessary to employ two separate evaluation systems (Cavanagh, 1996). The key is to determine the combination of sources that will be used and how each of these should be used formative, summative or both.

Students, faculty, and administrators generally agree that quality teaching: 1) establishes a positive learning environment; 2) motivates student engagement; 3) provides appropriate challenges; 4) is responsive to students’ learning needs; and 5) is fair in evaluating students’ learning (Berk, 2005). Historically, Student Ratings of Teaching have been the primary measure for teaching effectiveness (Seldin, 1999a). Research has shown that the student ratings of teaching tool is one important measure of student perception, but is not sufficient to fully assess and improve the quality of teaching (Berk, 2014). There are also concerns, especially by those institutions focusing on student learning outcomes, that the student ratings are not related to learning outcomes (Flaherty, 2016; Uttl, White & Gonzalez, 2017).

There is considerable evidence of the rating bias with student ratings and the potential for bias needs to be taken into account when both designing student ratings of teaching and analyzing their results. Studies suggest: women were rated lower than men (Basow, 1994; Koblitz, 1990; MacNeil, Driscoll, & Hunt, 2014; Mitchell & Martin, 2018; Morgan et al., 2016); faculty of color received lower ratings than Caucasian faculty (Hamermesh & Parker, 2005; Smith & Johnson-Bailey, 2012); novice faculty were rated lower than the experienced (Centra, 1978); graduate students were rated lower than ranked faculty (Brandenburg, 1977); faculty in STEM disciplines were rated lower than those in

the humanities (Kember & Leung, 2011); and medium or large section courses received lower ratings than small section courses (Feldman, 1978; Franklin et al., 1991; Miles & House, 2015). Some studies have even found that the content of a course may influence evaluation results (e.g., quantitative courses studied by Uttl & Smibert, 2017) as well as variables such as the timing of the course (e.g., early mornings for an introductory college physics class by Tobin, 2017). It is not easy to adjust for these biases, because students draw upon multiple factors when completing evaluations. Indeed, Boring, Ottoboni, and Stark (2016) argue that student ratings are more sensitive to students' gender bias and grade expectations than they are to teaching effectiveness (Ray, 2018).

National standards for measuring teaching effectiveness recommend using data from multiple sources. An ideal approach is to create a triangulation strategy by using at least three sources of data. Triangulating the sources of information balances the strengths and weaknesses of each measure and provides a more accurate reflection of teaching effectiveness. A variety of methods used across the nation are described later in the paper.

## IMPROVING STUDENT RATINGS OF TEACHING

Student ratings of teaching do allow instructors to learn from those in their classes, and is often the only way to hear directly from those in the course. We concur with the following statement from Stark and Freishtat (2014), "student ratings of teaching are valuable when they ask the right questions, report response rates and score distributions, and are balanced by a variety of other sources and methods to evaluate teaching" (p. 2). Student ratings of teaching should not ask students how much they have learned in the course because people are poor at evaluating their own learning and it is difficult for students to know what they do not know. Lastly, it is difficult for a student to judge the effectiveness of any instructional practice except by comparing it with others that they have already experienced (Wieman, 2015). When utilizing student ratings average scores should not be used, instead those reviewing this data should look at the distributions (Linse, 2017).

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## RATING QUESTIONS

Creating or modifying the instrument(s) used in evaluating teaching needs to begin with discussions among faculty and administration to determine what qualities are essential to being an "effective teacher" across all disciplines. These multidisciplinary considerations should be based on experience and grounded in supporting research and literature. Creating a shared definition is an essential first step in evaluating quality teaching (Gibbs, 1995). When developing or modifying student ratings of teaching instruments institutions should be able to: 1) select the aspects that are most important, according to their educational vision and policy, thereby developing student rating instruments that are consistent with their own preferences; and 2) all stakeholders (i.e., administrators, instructors, and students) should be involved in the definition of these characteristics (Penny, 2003; Spooren, Brockx, & Mortelmans, 2013). Utilizing a core set of questions allows for comparisons across disciplines and provides an avenue for cross-campus comparisons (e.g., 4 Likert-type and 2 open-ended questions), but additional customized questions should be added to best fit the campus, department, and/or course.

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## NECESSARY COMPONENTS FOR STUDENT RATINGS OF TEACHING

To obtain the best results from student ratings of teaching data the evaluation instruments should include four different components: 1) questions about the course, 2) questions about the instructor, 3) questions about how the student prepared for the course, and perhaps most important, 4) students should be strongly encouraged to leave comments on the course (Goodman, 2015). In order to elicit the most useful information for improving teaching effectiveness, all of these components should have a clear distinction from one another so that students, faculty, and administrators know which element they are evaluating. See Lindahl and Unger (2010) for proposed changes that would begin to address what Fish (2005) referred to as "casual cruelty" in student comments on teaching evaluations.

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## IMPROVING RESPONSE RATES

With an increasing number of survey requests going out to students today, those that arrive last might find the students prone to survey fatigue, consequently contributing to lower response rates (Groves, Presser, & Dipko, 2004). Many campus offices and departments administer surveys to students throughout the semester, but student ratings of teaching are often the last ones students receive. How students receive the evaluations is also an important consideration as there is variation in online and paper-based response rates (e.g., Stanny & Arruda, 2017). Overall response rates should be 50% in larger courses and 75-80% in smaller courses (e.g., graduate) or higher for the course. Lower response rates may lead to additional concerns of reliability (e.g., Kalender, 2015), including nonresponse bias (Bacon, Johnson, & Stewart, 2016).

A variety of strategies are available to increase response rates including:

- incentives (points, note card for exam, or treats) - this particular strategy is sometimes controversial and should be left to the discretion of the faculty member,
- dedicated time in class for completion,
- encouragement by the faculty (e.g., if faculty members show genuine interest in student ratings, students will be more motivated to participate)
- reminders with clear instructions concerning participation (via email, LMS, or in class), and
- informing the students how the evaluations will be used to improve instruction (highlighting their important role as raters) (Spooren et al., 2013).

Students will gain additional motivation to complete the questionnaires once they see their comments are taken seriously and incorporated into the lecturers' future material. Even when you have to explain what you are not changing and why, this opens communication lines and allows them to see that their feedback is valued.

## MULTIPLE MEASURES APPROACH



National standards for measuring teaching effectiveness recommend using data from multiple sources. The best approach is to create a triangulation strategy, using three or more sources of evidence, this allows the strengths and weaknesses of each source to balance each other out (Appling, Naumann, & Berk, 2001). They can also provide a more accurate, reliable, and comprehensive picture of teaching effectiveness (Berk, 2005). When possible one should use strategies to gain feedback from students, peers, and self-evaluation to create a comprehensive evaluation.

While most departments do not employ multiple strategies, they all seem to agree that just using student ratings does not provide the information needed to evaluate teaching effectiveness or provide the information needed for promotion and tenure decisions. Weimer (2015) said it best when he summarized the problem this way:

...feedback on end-of-course rating instruments offers a view of your teaching. It's not a 360-degree panorama, but rather something closer to the view provided by a small window. And if the instrument isn't very good, it's like looking through a dirty window. For years, most ratings experts have advised institutions and individuals to collect data from multiple sources and in different ways. We don't need just one view. We should be looking at our teaching from every window in the house. (Work for a realistic perspective on the results section, para. 5)

Teaching is a scholarly activity, and to prepare for a course requires several elements. Faculty must review the literature, select resources, create content outline, prepare a syllabus, design learning activities, integrate instructional technology, and construct evaluation measures (Webb & McEnerney, 1995). If teaching performance is to be recognized and rewarded as scholarship, teaching should be judged by the same high standards applied to other forms of scholarship: peer review.

Peer review of teaching is composed of two activities: peer observation of in-class teaching performance and peer review of the written documents used in a course. Both forms of peer review should be included in a comprehensive system, where possible. Peer ratings of teaching performance and materials is the most complementary to student ratings. It covers those aspects of teaching that students are not in a position to evaluate. However, peer ratings should not be used for personnel decisions (Braskamp & Ory, 1994). There are differing definitions of peers depending on the institution, these could include those within a department, college, school, teaching and learning specialists or other peers that the department and faculty agree upon.

## RECOMMENDATIONS: ENHANCED STRATEGIES FOR EVALUATING TEACHING

In order to create a positive climate that is conducive to improving teaching effectiveness, it is imperative that faculty understand the purpose of teaching evaluations. Additionally, they need access to professional developmental tools that will allow them to continue their professional growth and improvement as teachers.

Student ratings of teaching alone do not lead to better teaching. For this reason student ratings should be embedded within a more holistic approach to the evaluation of teaching. This involves

determining which combination of sources (three or more) should be used for both continued improvement and growth and which will be used to evaluate the achievement of baseline standards.

Whatever methods are chosen it is imperative to define the use of these methods and to appropriately design, execute, and report the results. The accuracy of faculty evaluation decisions hinges on the integrity of the process and the reliability and validity of the evidence you collect (Braskamp & Ory, 1994). Begin with the end goal of improving teaching and learning in mind and then develop the strategies that will most effectively achieve the goal (Research Corporation for Science Advancement, 2015).

Evaluating teaching to promote a climate that fosters and rewards better teaching requires long-term commitment and shaping the culture in the department and college. Since most departments have not adopted a comprehensive approach using multiple measures, this paper includes a number of different alternatives that can be deployed. Below is a menu of strategies starting with the simpler options ranging to the more complex. The appendix to this document includes resources to aid in the implementation of these strategies.

- Course development or improvement
  - Attend a training or workshop to help with course design or improvement with the focus on engaging students in significant learning experiences (Goodman, n.d.).
  - Talk with an instructional designer to determine other ways to improve the course design.
  - Sit in on other classes with similar subject matter to learn from each other.
  
- Self-reflection and self-improvement
  - Attend a training or workshop around instructor personal improvement (e.g., digital fluency workshop at UMSL; ET@MO workshops at MU).
  - Self-evaluation - 82% of four-year colleges and universities reported using self-evaluations to measure teaching performance (Carnegie Foundation for the Advancement of Teaching, 1994). Tools such as a structured form and guiding questions are suggested (Seldin, 1999b); these forms can be used on a per course basis each semester to provide a structured reflection. These results could be incorporated into the Teaching Dossier, described below.
  - Video for self-reflection - instructors should be encouraged to systemically evaluate the behaviors observed using a rating scale or checklist (Brinko, 1993; Perlberg, 1983; Seldin, 1998). This would be even more helpful if an instructor can receive feedback from a peer, mentor, or consultant (Braskamp & Ory, 1994). If faculty are really committed to improving their teaching, a video is one of the best sources of

evidence for formative decisions, interpreted either alone or, preferably, with peer input (Berk, 2005).

- Malouff, Reid, Wilkes, and Emmerton (2015) outline a 14-step process for improving teaching through goal setting (step 1), self-evaluation of the course (step 2), reflection on the students' evaluations (steps 3-10), peer review (step 11), and developing an action plan (steps 12-14).
- Peer review of teaching materials requires a different type of scale to rate the quality of the course syllabus, instructional plans, texts, reading assignments, handouts, homework, and tests/projects (Braskamp & Ory, 1994).
- Student Classroom Assessment Techniques (CATs) – Formative classroom assessment can help us identify the effects of our teaching on learning. This is a timely way to help instructors identify gaps between what they teach and what students learn and enable them to adjust their teaching to make learning more efficient and effective. A few examples of these assessments are: 1) one-minute papers, 2) one-sentence summaries, 3) critical incident questionnaires, 4) focus groups, and 5) mid-year mini surveys. Use of CATs promotes reflective practice. It is important to balance the positive and negative comments and try to link negative commentary to issues of student learning. New users of classroom assessment techniques might find it helpful to discuss the critical comments with an experienced colleague (York University, 2002). See Angelo and Cross (1993) for a list of 50 CATs that instructors may find useful.
- Peer observation of teaching - requires a rating scale covering instructor's content knowledge, delivery, teaching methods, and learning activities (Berk, 2009; Berk, Naumann, & Appling, 2004).
  - To create the best outcomes the instructor and observer should meet prior to the class to discuss the objectives and strategies of the class, materials to be used, and to clarify expectations of the observation. Then, a post-observation meeting allows an opportunity for constructive feedback and assistance in the development of a plan for improvement.
  - One of the most valuable forms of observation is peer-pairing where two instructors provide each other with feedback on their teaching on a rotating basis, each evaluating the other for a period of time. Each learns from the other and may learn as much in the observing role as when being observed (York University, 2002).
- Student interviews
  - Quality control circles - The instructional version of the “circle” involves assembling a group of volunteer students to meet regularly (e.g., bi-weekly) to discuss teaching strategies, identify any areas of concern, and find ways to continuously improve. The

members of the circle can also report the results of the meeting to create open communication. This method can be extremely effective for making changes in instruction. However, faculty must be open to student comments and be willing to work on continuous improvement (Berk, 2005).

- Classroom group interviews - Classroom group interviews involves the entire class, but is conducted by someone other than the instructor, usually a colleague in the same department, a graduate TA, or a faculty development or student services professional. The interviewer uses a structured questionnaire to probe the strengths and weaknesses of the course and teaching activities (Braskamp & Ory, 1994).
- 360 degree assessment - Five of the best sources you could use are teacher mentor, peer ratings and video with self/peer, student ratings, student interviews, and self-ratings. By having all five of these sources one can fairly accurately determine their strengths and opportunities for improvement. Data from the different sources may be collected at different times during the semester (Berk, 2009).
- Teaching dossier - A teaching dossier can provide the framework for a systematic program of reflective analysis and peer collaboration leading to improvement of teaching and student learning. This gives the instructor a platform to describe their teaching philosophy, review their teaching goals and objectives, assess the effectiveness of their classroom practice and the strategies they use to animate their pedagogical values, and identify areas of strength and opportunities for improvement. A dossier should present a selection of information organized in a way that gives a comprehensive and accurate summary of teaching activities and effectiveness (York University, 2002).

## CLOSING THOUGHTS

The faculty must perceive that effective teaching is valued as much as other areas (i.e., research) and that it is rewarded (Morehead & Shedd, 1997). Understanding the roles and expectations of instructors in regard to teaching and learning is a central issue in establishing evaluation criteria (Johnson & Ryan, 2000). Defining expectations of faculty in relation to institutional and unit goals will require ongoing efforts by faculty and administrators to clearly identify and mutually develop expectations. An important element is that the effects can be different depending on the nature of the faculty involved. For example, a large ratio of NTT faculty with 80% teaching can be impacted differently than the more traditional T/TT faculty where teaching may only be 40% of their work.

Institutions should expect faculty members within a scholarly unit to collaborate in the creation of a mentoring community committed to the continuous improvement of teaching and responsible student learning (Cross, 1991). Within such a mentoring community, faculty members, individually and collectively, experience a mandate for collegial conversation, a peer discussion of the appropriateness of various evaluation criteria for specific kinds of evaluations within their particular discipline.



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- Student evaluations
  - Mid-semester feedback (Three sample forms below)
    - [Form A](#)
    - [Form B](#)
    - [Form C](#)
- Course development or improvement
  - [Course Design Institute](#) is held at UMSL, open to all campuses
  - [Course improvement flowchart](#) – page 16 within the document
  - [ET@MO](#) is at MU and has instructional designers and some funding opportunities for redesign
- Self-reflection and Self-improvement
  - [Postsecondary Instructional Practices Survey](#)
  - [Teaching Practices Inventory](#)
  - Video self-analysis
    - [Self-guided module for analyzing videos and rubric](#)
    - [How video self-analysis helped others](#)
- Peer review of teaching materials
  - [Syllabus rubric](#)
  - [Peer syllabus review form](#)
- [Classroom Assessment](#)
- Peer observation of teaching
  - [Classroom observation protocol](#)
  - Observation form examples
    - [Course instruction review form](#)
    - [Peer observation of teaching record](#)
- [Peer review](#)
  - [Guide for peer evaluators](#)
  - [CAFNR's peer review of teaching](#)
- Student interviews
  - [Quality control circles](#)
  - [Classroom group interviews](#)
- [360 Degree Assessment](#)
- [Teaching Dossier](#)
- Analyzing course evaluations
  - [Making sense of course evaluations](#)
  - [Written comments](#)
  - [Qualitative example](#)
- Campus contacts
  - [MU Teaching for Learning Center](#)
  - [UMKC Faculty Center for Excellence in Teaching](#)
  - [S&T Center for Advancing Faculty Excellence](#)
  - [UMSL Center for Teaching and Learning](#)

## GOOD AND WELFARE OF THE BOARD

There are no materials for this information item.