# June 2017 UofM Board of Trustees Meeting

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| **Schedule** | Tuesday, June 06, 2017, 01:00 PM CDT |
| **Venue** | University Center Ballroom, Rooms 320A - C, 499 University Drive, Memphis, TN 38152 |
| **Organizer** | Melanie Murry |

## Agenda

# 1. Call to Order

# 2. Roll Call and Declaration of Quorum

# 3. Opening Remarks

# 4. Minutes of the Last Meeting

For Approval

Presented by Melanie Murry

BOARD OF TRUSTEES

MINUTES OF INAUGURAL BOARD MEETING
March 17, 2017
Memphis, Tennessee

The Inaugural Meeting of The University of Memphis Board of Trustees was held at 2:30 p.m. CST, on Friday, March 17, 2017, on the campus of the University of Memphis in Memphis, Tennessee.

## I. CALL TO ORDER/ROLL CALL/DECLARATION OF QUORUM

President M. David Rudd called the meeting to order, welcomed the attendees and recognized Governor Bill Haslam. Governor Haslam noted the importance of this first meeting of the Board, thanked the new Board members for their service and commitment, and encouraged everyone to continue thinking of ways to move the University forward while working collaboratively with the other member institutions of the State university system.

University Counsel Melanie Murry called the roll. The following members were present and provided a brief introduction: G. Douglas Edwards, Alan B. Graf, Jr., Cato Johnson, R. Brad Martin, David A. North, Carol L. Roberts, Susan L. Springfield and Katharine Traylor Schaffzin. Jared Moses, President of The University of Memphis Student Government Association, was in attendance for the unselected student trustee position.

A quorum was present. Trustee Marvin Ellison was unable to attend the meeting. Members of the administrative staff and media representatives were present. The meeting was also webcast for the convenience of the University community, the general public and the media.

## II. ELECTION OF CHAIR

President Rudd opened the floor for nominations for Board Chair. Trustee Doug Edwards nominated and moved that Alan Graf be elected as Board Chair. His motion was properly seconded. There being no other nominees or discussion, a roll call vote was taken and Trustee Graf was duly elected by a unanimous vote.

President Rudd congratulated Trustee Graf on his election and turned control of the meeting over to Chair Graf. Chair Graf acknowledged the confidence placed in him to lead the Board and thanked the Board for their trust.

## III. ADOPTION OF BYLAWS

It was moved by Trustee Johnson and properly seconded that the Board review and approve the bylaws as drafted and presented in the meeting materials by reviewing and voting on each article separately. A roll call vote was taken and the motion was passed unanimously.

**Article I – Organization**
Trustee Schaffzin moved as follows:

> Article I, Section IV(a), second sentence, be revised to state: "The Chair and Vice-Chair shall be elected by a vote of a majority of the voting members of the Board membership and shall serve a two (2) year term until successors are elected or a vacancy occurs."
>
> Article I, Section V(c), first sentence, be revised to state: "The Provost is the chief academic officer of the University and is appointed by the President, subject to Board approval, and serves at the pleasure of the President."
>
> Article I, Section V(f), last sentence, be revised to state: "The Chief Internal Auditor shall report directly to the Board's Audit Committee and shall have direct and unrestricted access to the Chair of the Audit Committee and other Audit Committee members."

The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**Article II – Powers and Duties**
Trustee Schaffzin moved as follows:

> Article II, Section I(c) be revised to state: "Prescribe curricula and requirements for diplomas and degrees in the interest of maintaining alignment across state higher education to promote student success, postsecondary completion, and advancement of a master plan of the Tennessee Higher Education Commission;"
>
> Article II, Section I(f) be revised to state: "Grant tenure and promotion to eligible members of the faculty upon the positive recommendation of the President;"

The motion was properly seconded. Question from Trustee Martin regarding number of promotions the Board would be required to approve. President Rudd and Provost Karen Weddle-West discussed the average number of promotions to be approved each year as well as the process. A roll call vote was taken and the motion was passed unanimously.

**Article III – Meetings**
Trustee Schaffzin moved as follows:

> Article III, Section II(a) be revised to state: "Subject to the notice requirement contained in these bylaws, special and emergency meetings of the Board may be called at any time by the Chair, a majority of the members of the Board, or by the President of the University."

The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**Article IV – Committees**
Trustee Schaffzin moved as follows:

> Article IV, Section I(b), be revised to state: "The Board Chair shall appoint the members of each standing committee. The chairs and vice-chairs of each standing committee shall be selected from among the members of the Board appointed to each standing committee by a vote of the majority of the members of the Board present. Each standing committee shall develop a committee charter detailing the committee's purpose and primary responsibilities, which shall be subject to the approval of the Board."

The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**Article V – Bylaws**
Trustee Edwards moved to accept the bylaws as drafted and presented in the meeting materials. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**Article VI – Indemnification**
Trustee Johnson moved to accept the bylaws as drafted and presented in the meeting materials. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

## IV. ELECTION OF VICE CHAIR AND SELECTION OF ACTING BOARD SECRETARY

Chair Graf opened the floor for nominations for Vice Chair. Trustee North nominated and moved that Trustee Brad Martin be elected to the role of Vice Chair. The motion was properly seconded. There being no other nominees or discussion, a roll call vote was taken and the motion was passed unanimously.

Trustee Johnson moved that University Counsel Melanie Murry serve as Acting Board Secretary until such time as the Board determines its permanent selection. The motion was properly seconded. There being no other nominees or discussion, a roll call vote was taken and the motion was passed unanimously.

## V. SELECTION OF ELECTED MEMBER OF EXECUTIVE COMMITTEE

Chair Graf moved that Trustee Cato Johnson serve as the third member of the executive committee. The motion was properly seconded. There being no other nominees or discussion, a roll call vote was taken and the motion was passed unanimously.

## VI. STUDENT TRUSTEE SELECTION PROCESS

President Rudd recommended that the Board accept the process as recommended by the Student Government Association. SGA President Jared Moses explained the process recommended by the SGA for selection of the Student Trustee.

Trustee Springfield moved that the Board approve President Rudd's recommendation allowing the Student Government Association to develop and implement a process for selection of the

Student Trustee. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

## VII. ADOPTION OF BOARD POLICIES

Chair Graf recognized University Counsel Melanie Murry to discuss the Conflicts of Interest policy and Board Committees policy.

**Conflicts of Interest policy**

After discussion by Counsel Murry, Trustee Roberts moved that the Board adopt the Conflicts of Interest policy as included in the meeting materials. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**Board Policy on Committees**

After discussion by Counsel Murry, Trustee Schaffzin made suggested changes regarding subsection II(a) committee composition, revision of subsection II(c) to comply with the bylaws changes, and subsection II(d) to include provisions regarding appointment of committee chair and vice chair.

After clarification of Trustee Schaffzin's suggested changes and discussion involving Trustees Edwards, Martin and Johnson regarding committee membership and term limits, Trustee Schaffzin moved that the policy on Board Committees be adopted with the following revisions:

> Section II(a) to read: "Each standing committee shall be appointed by the Board Chair and Vice Chair. The Trustees shall be the only voting members of the committee with the other non-voting members to be established by the committee charter."
>
> Sections II(b) and II(c) deleted in their entirety.

The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

## VIII. ADOPTION OF COMMITTEES AND CHARTERS

Chair Graf recognized President Rudd to discuss the recommended committees. President Rudd recommended three initial standing committees: Academic, Research and Student Success; Governance and Finance; and Audit committee.

Trustee Johnson moved that the Board establish an Academic, Research and Student Success committee and accept the proposed charter. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

Trustee Springfield moved that the Board establish a Governance and Finance committee and accept the proposed charter. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

Trustee Johnson moved that the Board establish an Audit committee and accept the proposed charter. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**IX. TENURE AND PROMOTION RECOMMENDATIONS**

Chair Graf recognized Provost Karen Weddle-West to discuss tenure and promotion recommendations. Provost Weddle-West discussed the tenure and promotion process and the factors used in the evaluative process. Provost Weddle-West recommended Dr. Kantaylieniere Hill-Clarke, Dean of the College of Education and Holder of the Louise and Robert McRae Jr. Professorship in School-Based Clinical Practice, Dr. Anne Hogan, Dean of the College of Communication and Fine Arts, and a slate of thirty-seven (37) faculty members in specified departments, schools or colleges for tenure.

Trustee Roberts moved that Dr. Kantaylieniere Hill-Clarke and Dr. Anne Hogan be approved for and granted tenure. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

Trustee Schaffzin moved that the slate of candidates with the exception of Professor Daniel Schaffzin be approved with Professor Daniel Schaffzin to be approved separately. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

Trustee Schaffzin explained that she would be abstaining from the vote on Professor Daniel Schaffzin who is her husband. Trustee Johnson moved to approve the tenure and promotion recommendation for Professor Daniel Schaffzin. The motion was properly seconded. A roll call vote was taken and the motion was passed with seven (7) ayes and one (1) abstention.

**X. APPROVAL OF DNP AND PhD in NURSING**

Chair Graf recognized Provost Weddle-West to discuss the Doctor of Nurse Practice (DNP) and the Ph.D in Nursing. Provost Weddle-West discussed both the DNP and PhD in Nursing programs and the University's ability to meet the needs of the healthcare industry.

Trustee Johnson moved that the board approve the DNP and PhD in Nursing proposals. The motion was properly seconded. Trustees Edwards and Johnson both applauded the Provost and the University for its commitment to nursing and the healthcare industry. A roll call vote was taken and the motion was passed unanimously.

**XI. FINANCING FOR FOOTBALL PRACTICE FACILITY**

Chair Graf recognized President Rudd to discuss financing for a football practice facility. President Rudd recommended that he be allowed to sign a letter of intent and explore alternative financing options for the construction of an indoor football practice facility.

Trustee Johnson moved to approve President Rudd's recommendation as made and detailed in the meeting materials. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**XII. DELEGATION OF AUTHORITY TO THE PRESIDENT**

Chair Graff recognized Counsel Murry to discuss an Interim Delegation of Authority to President. Counsel Murry discussed the allowance by law of a delegation of authority to the President. The President discussed that the delegation is an ongoing process and that he will keep a log of issues to bring to the Board. Counsel Murry recommended an interim delegation to the

President until the Board details a permanent delegation via the Governance committee, that the President remain in contact with the Board Chair as appropriate regarding any decisions made as part of the delegation, and that an interim report of actions taken be provided to the Board.

Trustee Springfield moved that the Board adopt the resolution providing for a delegation of authority to the President as detailed in the meeting materials. The motion was properly seconded. A roll call vote was taken and the motion was passed unanimously.

**XIII. OTHER BUSINESS**

There was no further business to come before the Board.

**XIV. ADJOURNMENT**

The meeting was adjourned at 3:34 pm.

Respectfully Submitted,

Melanie Murry

Melanie S. Murry, Acting Secretary

**University of Memphis Board of Trustees Bylaws**

**Article I – Organization**

I. Authority

a. The University of Memphis ("University") is a public university established by the laws of the State of Tennessee. The University is governed by its local governing Board of Trustees ("Board") as established by T.C.A. § 49-8-101.

b. The Board of Trustees of the University is vested with the power and authority to govern the University and to exercise all powers and authority as set forth in T.C.A. § 49-8-101 et seq. and the laws of the State of Tennessee.

II. Responsibility of Board

a. The Board shall be responsible for the management and governance of the University, as allowed by and subject to limitations imposed by applicable federal and state law and certain powers and duties maintained by the Tennessee Higher Education Commission.

III. Membership

a. The membership of the Board shall consist of ten (10) members of which nine (9) members shall be voting members and one (1) member shall be a nonvoting member.

b. Of the nine (9) voting members, at least six (6) members shall be residents of the state of Tennessee.

c. Eight (8) of the voting Board members will be appointed by the Governor of the State of Tennessee with at least three (3) being alumni of the University.

d. A University faculty member shall serve as one (1) voting Board member to be selected by the University Faculty Senate.

e. The nonvoting member shall be a student representative to be appointed by the Board.

f. The initial terms of the members appointed by the Governor to the Board shall be three (3), four (4), and six (6) years. Three (3) members shall serve a three-year term; three (3) members shall serve a four-year term; and two (2) members shall serve a six-year term. As the initial terms of the initial board members expire, successors shall be appointed for six-year terms. The University faculty member to be appointed by the Faculty Senate shall serve a two (2) year term and the nonvoting student member shall serve a one (1) year term.

g. Whenever any vacancy shall occur in the membership of the Board of Trustees among those appointed by the Governor, it shall be the duty of the Secretary of the Board to inform the Governor of the existence of such vacancy, and the Governor shall appoint a person to fill the unexpired term. Whenever any vacancy occurs among those elected by the Board or the Faculty Senate, it shall be the duty of the Secretary of the Board to inform the respective party of the vacancy, and the Board or Faculty Senate shall elect a person to fill the unexpired term.

h. Any person who has served two full terms in succession as a member of the Board shall, for a period of four (4) years, be ineligible for election or appointment to the Board.

i. No member of the General Assembly or officer or employee of the State of Tennessee or any member of a governing body for an institution of higher education shall be eligible for election or appointment as a trustee. Other than the faculty member to be appointed by the University Faculty Senate, no employee of any public institution of higher education shall be eligible for election or appointment as a trustee.

j. A Board member may be removed for a material violation of the Board's Code of Ethics by a two-thirds (2/3) vote of the Board membership.

IV. Officers of the Board

a. Chair and Vice Chair: The officers of the Board or Trustees shall be a Chair and a Vice Chair to perform such duties as may, from time to time, be prescribed by the Board and by these bylaws. The Chair and Vice-Chair shall be elected by a vote of a majority of the voting members of the Board membership and shall serve a two (2) year term until successors are elected or a vacancy occurs. In the event of a vacancy before expiration of the term, a successor shall be elected to fill the unexpired term at the next meeting of the Board following creation of the vacancy.

V. Officers of the University

a. Officers of the University: The officers of the University designated to support Board activities are the President, Provost, Vice President of Business and Finance, a Secretary, a Chief Internal Auditor and such other officers and assistant officers as the Board determines may be necessary or convenient to conduct its business or which the President appoints or selects by delegation of authority by the Board. The officers shall have such powers and duties as set out in these Bylaws, and as may be prescribed by the Board and/or by law.

b. President of the University: The President is the executive and governing officer of the University and is appointed by and serves at the pleasure of the Board. Subject to the direction and control of the Board, the President shall supervise, direct and control the affairs of the University. The President shall, from time to time, report to the Board all matters within the President's knowledge affecting the University that should be brought to the attention of the Board.

c. Provost of the University: The Provost is the chief academic officer of the University and is appointed by the President, subject to Board approval, and serves at the pleasure of the President. The Provost shall be the second ranking officer of the University and, in the absence or incapacity of the President, shall assume the duties and responsibilities of that office.

d. Vice President of Business and Finance: The Vice President of Business and Finance shall be the Chief Financial Officer and treasurer of the University. The Vice President of Business and Finance shall be appointed by the President, subject to Board approval, and shall report directly to the President. The Vice President of Business and Finance shall be responsible for the operating and capital budgets, accounting and auditing, insurance and risk management, and such other financial responsibilities as required by the bylaws.

e. Secretary: The Secretary of the Board shall be appointed by the President of the University, subject to Board approval. The Secretary serves as a liaison between the Board and the University administration and is responsible for supporting the Board and its committees, including the giving of required notices of meetings of the Board, preparing the agenda for

Board meetings, and the preparation of minutes of meetings of the Board. The Secretary shall perform such other duties as assigned by the Board.

f. Chief Internal Auditor: The Board of Trustees shall appoint the Chief Internal Auditor for the University, in compliance with these bylaws, who shall perform the duties required by the Higher Education Accountability Act of 2004, T.C.A. § 49-14-101 et seq. and who shall serve at the pleasure of the Board. The Chief Internal Auditor shall report directly to the Board's Audit Committee and shall have direct and unrestricted access to the Chair of the Audit Committee and other Audit Committee members.

**Article II – Powers and Duties**

I. The Board has the power to:
   a. Select and employ the chief executive officers of the University and to confirm the appointment of administrative personnel, teachers, and other employees of the University and to fix their salaries and terms of office;
   b. Assume general responsibility for the operation of the University, delegating to the President such powers and duties as are necessary and appropriate for the efficient administration of the University and its programs;
   c. Prescribe curricula and requirements for diplomas and degrees in the interest of maintaining alignment across state higher education to promote student success, postsecondary completion, and advancement of a master plan of the Tennessee Higher Education Commission;
   d. Establish reasonable and appropriate rules and regulations defining residency of students for the purpose of determining whether out-of-state tuition shall be charged a student enrolling at the University;
   e. Establish policies and regulations regarding the campus life of the University, including, but not limited to, the conduct of students, student housing, parking, and safety;
   f. Grant tenure and promotion to eligible members of the faculty upon the positive recommendation of the President;Approve the operating budgets and set the fiscal policies for the schools and programs under its control;
   g. Receive donations of money, securities, and property from any source on behalf of the University, which gifts shall be used in accordance with the conditions set by the donor;
   h. With prior approval of the state school bond authority, borrow money for the purpose of erecting buildings, purchasing real estate, or cooperating with agencies of the United States, and to issue evidences of indebtedness therefor which shall be exempt from taxation but which shall not constitute indebtedness of the State of Tennessee;
   i. Purchase land subject to the terms and conditions of state regulations, to condemn land, to erect buildings, and to equip them for the University subject to the requirements of the state building commission and to the terms and conditions of legislative appropriations. The Board shall be vested with title to property so purchased or acquired;
   j. Manage and initiate capital and real estate transactions provided that such transactions are within the scope of a master plan approved by the Tennessee Higher Education Commission;

k. Perform and exercise all other powers, not otherwise prescribed by law, necessary to promote the sound development of the University within the parameters of state law.

II. In exercising its powers, the Board's governance duties include:
a. Determining the mission of the University and ensuring that the mission is kept current and aligned with the goals and mission of public higher education in Tennessee;

b. Ensuring the University remains in compliance with state transfer and articulation provisions;

c. Providing insight and guidance to the University's strategic direction and charging the President with leading the strategic planning process;

d. Ensuring the University's fiscal integrity; overseeing the University's financial resources and other assets; reviewing and approving annual University budgets; and preserving and protecting the University's assets for posterity;

e. Ensuring and protecting, within the context of faculty shared governance, the educational quality of the University and its academic programs; and preserving and protecting the University's autonomy, academic freedom and the public purposes of higher education;

f. Engaging regularly, in concert with senior administration, with the University's major constituencies;

g. Refraining from directing or interfering with any employee, officer or agent under the direct or indirect supervision of the President of the University; and

h. Always acting as a body with no individual member speaking for the Board unless specifically authorized to do so by the Board.

III. Delegation
a. The Board may delegate and provide for the further delegation of any and all powers and duties to the President or appropriate committees, subject to limitations expressly set forth in law.

**Article III – Meetings**

I. Regular Meetings
a. The Board shall meet at least four times a year at such times as specified by the Chair, and on such additional dates and at such times as specified by the Chair or a majority of the Trustees then in office. The Board may adjourn any regular meeting to any date that it may set for adjournment.

II. Special and Emergency Meetings
a. Subject to the notice requirement contained in these bylaws, special and emergency meetings of the Board may be called at any time by the Chair, a majority of the members of the Board, or by the President of the University.

b. The call for every special or emergency meeting shall state the business to be considered and the business transacted shall be confined to the objects stated in the call. The Board may adjourn any special meeting to any date that it may set for adjournment.

III. Place of Meetings

a. All regular public meetings, special public meetings and committee meetings are to be held at a location owned or controlled by the University, or at the nearest practical location. Emergency meetings necessitating immediate action may be held at other locations or through electronic means.

IV. Notices

a. Regular Meetings: At least five (5) days' written notice of the stated meetings of the Board shall be sent by the Secretary to all Trustees. The written notice may be delivered by regular mail, electronic mail, or facsimile transmission and shall be posted for public notice.

b. Special and Emergency Meetings: Special and emergency meetings of the Board may be called on less than five (5) days' notice and, if urgent, by telephone, facsimile transmission, or electronic mail to each Board member, who must be advised of the purpose(s) of the meeting.

c. Public Notice: Notice of all regular and special public meetings and committee meetings shall be given in a manner reasonably calculated to give interested persons actual notice of the time and place of the meeting and principal subjects anticipated to be considered at the meeting. Notice of an emergency public meeting shall be such as is appropriate to the circumstance(s).

V. Attendance by Electronic Means

a. Trustees may conduct, participate and vote in any meeting, board or committee, through the use of a conference telephone or similar electronic communications equipment that permits all persons participating in the meeting to simultaneously communicate with each other during the meeting. Such participation in the meeting shall constitute presence in person at the meeting.

VI. Quorum

a. The Board must have a quorum to conduct business. A quorum for the conduct of business by the Board of Trustees shall consist of five (5) voting members currently in office.

b. The action of a majority of the voting members of the Board present at any regular or special meeting of the Board shall be the action of the Board, except as may be otherwise provided by these Bylaws.

VII. Agenda

a. An agenda for every regular meeting of the Board shall be prepared by the Chair and President, with the assistance of the Secretary. The agenda shall list in outline form each matter to be considered at the meeting. When feasible, a copy of the agenda and copies of all reports and other material to be presented shall accompany the notice of the meeting, but when not feasible, a copy shall be provided to the Trustees before the meeting date.

b. Matters not appearing on the agenda of a stated meeting may be considered only upon an affirmative vote which shall represent a majority of the entire Board.

VIII. Conduct of Business

a. General parliamentary rules shall be observed in conducting the business of the Board of Trustees except as they may be modified by rules and regulations adopted by the Board.

b. The Chair shall preside when present at meetings of the Board. In the Chair's absence, the Vice-Chair shall preside at meetings of the Board and otherwise perform the duties of the Chair.

c. All members of the Board of Trustees may vote on all matters coming before the Board for consideration but no member may vote by proxy or mail.

d. A record vote of the Board of Trustees shall be required on all motions providing for any revision of the bylaws, the adoption of a new bylaw or the repeal of an existing bylaw. On any other motion, a record vote shall be taken if required by law or if a Board member present demands a record vote before the announcement of a vote otherwise taken

IX. Public Access

a. Meetings of the Board and its committees, as appropriate, shall be open to the public except as authorized by a statutory or judicially recognized exception to the Tennessee Open Meetings Act.

b. Meetings of the Board shall be made available for viewing by the public over the Internet by streaming video accessible from the University's web site. Archived videos of the board meetings shall also be available to the public through the University's web site

**Article IV – Committees**

I. Standing and Ad Hoc Committees

a. The Board shall establish by Board policy such standing and ad hoc committees as it deems appropriate to discharge its responsibilities. As required by state law, at least one standing committee shall have the functions of the audit committee.

b. The Board Chair shall appoint the members of each standing committee. The chairs and vice-chairs of each standing committee shall be selected from among the members of the Board appointed to each standing committee by a vote of the majority of the members of the Board present. Each standing committee shall develop a committee charter detailing the committee's purpose and primary responsibilities, which shall be subject to the approval of the Board.

c. Standing committees may be authorized to act on behalf of the Board and shall be governed by any applicable provisions of these bylaws or Board policy. However, unless specifically delegated or as otherwise provided in these bylaws, authority to act on all matters is reserved to the Board and the duty of each committee shall be to consider and to make recommendations to the Board upon matters referred to it.

d. Ad-hoc committees shall be appointed by the Board Chair upon authority of the Board with such powers, duties, and period of service as the Board Chair may determine, provided that no ad-hoc committee shall be created to act upon any matter under the purview of a standing committee. The Chairs of any ad-hoc committees shall be appointed by the Board Chair and shall perform their duties in consultation with the University President. The duty of any ad hoc committee is to consider and to make recommendations to the Board upon matters referred to it.

II. Meetings of Committees

a. All standing committees shall meet as defined by Board policy and as reasonably necessary to carry out their responsibilities. Ad hoc committees shall meet as necessary.

**Article V – Bylaws**

I. These bylaws shall be effective upon adoption and shall supersede all bylaws previously adopted by the Board.

II. Amendment of Bylaws: These bylaws may be changed by amendment, by adoption of a new bylaw or by repeal of an existing bylaw at any regular meeting of the Board of Trustees, or at a special meeting called for that purpose. For purposes of Article V, a quorum shall constitute seven (7) voting members of the Board and a majority vote of record shall be required for action to be effective. A copy of the amendment or new bylaw to be offered or notation of the bylaw to be repealed shall be furnished to each Board member in writing at least ten (10) days in advance of the meeting.

**Article VI – Indemnification**

I. For purposes of civil liability for actions and omissions taken as Trustees of the Board, each Trustee is a state employee pursuant to T.C.A. Section 8-42-101(3)(B). Notwithstanding the foregoing, the Board may procure and maintain, in amounts consistent with prevailing standards, directors' and officers' insurance coverage and general liability insurance against liabilities and damages arising from the actions or omissions of the Board. Should the Board procure such insurance, the Board shall have the University and the State of Tennessee named as additional insureds on any policy.

**University of Memphis Board of Trustees - Board Committees**

The University of Memphis Board of Trustees is responsible for the governance and strategic direction of the University. As provided in the Board Bylaws, the Board may establish standing and ad-hoc committees as it deems appropriate and necessary to fulfill these responsibilities. This Board policy establishes the committees of the Board, defining their membership and duties.

**I. Establishment of Committees**

The Board may establish standing committees. Each standing committee shall develop, and periodically review, a committee charter detailing the committee's purpose, primary responsibilities and composition, which shall be subject to the approval of the Board. In the event of a conflict between any charter and the Bylaws, the Bylaws shall control.

As authorized by the Board of Trustees' Bylaws, the Board may establish ad-hoc committees from time to time, as it deems necessary.

**II. Committee Membership**

a. Each standing committee shall be appointed by the Board Chair and Vice Chair. The Trustees shall be the only voting members of the committee with the other non-voting members to be established by the committee charter.

b. A Trustee shall normally serve at least two years but no more than four years on a standing committee before being considered for selection to a different committee. Insofar as practical, Trustee membership on the standing committees shall be rotated.

c. Each committee shall have a chair and vice chair, appointed by the Board Chair, who shall serve for two-year terms. No Trustee may serve more than two consecutive terms as chair of a committee.

d. Members of ad-hoc committees shall be appointed by the Board Chair upon authority of the Board.

e. Members of committees shall hold office until the appointment of their successors. Any vacancies on the standing committees shall be filled by appointment of the Board Chair.

**III. Meetings**

a. All standing committees shall meet as necessary for the conduct of business or as otherwise designated in the committee charter.

b. Ad hoc committees shall meet as necessary.

c. Committee meetings may be called by the Chair of the Board, the President, or the committee chair.

d. The Chair of the Board of Trustees, the President of the University, and the Secretary of the Board of Trustees shall be entitled to attend the meetings of each committee and to participate in all discussions of such committee; provided, however, unless named as members of a specific committee, those officers shall not have voting rights nor shall their attendance at a meeting count toward the presence of a quorum.

e. When feasible, all committee members shall receive at least five (5) days written notice of the meeting, including the purpose of the meeting. The written notice may be delivered by regular mail, electronic mail, or facsimile transmission. If written notice is not feasible, by reason of urgency or other exigent circumstances, notice may be given by telephone.

f. When feasible, a copy of the agenda and related materials shall accompany notice of the meeting.

g. Matters not appearing on the agenda of a standing or ad-hoc committee meeting may be considered only upon an affirmative vote of the majority of the committee.

h. At the discretion of the committee chairs, committees may meet jointly. However, only the voting members of the particular committee responsible for the discussed action shall vote on an agenda item requiring action by that committee.

**IV. Quorum**

A majority of the Trustee members of a committee shall be a quorum for the transaction of business. A member shall be deemed present at a meeting of the committee if that member participates in the meeting through the use of a conference telephone or similar electronic communications equipment that permits all persons participating in the meeting to simultaneously communicate with each other. The attendance of non-voting committee members and invited persons who are not committee members at a committee meeting shall not count toward the presence of a quorum. In the absence of a quorum, those attending may adjourn the meeting until a quorum is present.

**V. Reporting**

Each committee established by the Board shall report its activities, and its findings and recommendations, to the Board of Trustees, the Board Chair, the President of the University and/or the Governance Committee, as appropriate and as dictated by the Board. Copies of the minutes of each meeting shall be filed with the Secretary of the Board.

**VI. Administrative Support**

The appropriate University division head will serve as a liaison to the committee having responsibilities specific to the division. Each committee will be provided staff support by a member of the administration.

**VII. Public Access**

Meetings of the committees, as appropriate, shall be noticed and open to the public except as authorized by a statutory or judicially recognized exception to the Tennessee Open Meetings Act.

# 5. Student Trustee

For Approval

Presented by M. David Rudd

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Item: **Appointment of the Student Trustee**

Recommendation: Approval

Presented by: M. David Rudd, President

**Background Information**:

In accordance with the University of Memphis Board of Trustees Bylaws, and the action by the Board on March 17, 2017 giving the Student Government Association the authority to develop a process by which they would vet student nominees and make recommendations to the President of candidates to serve as the Student Trustee, I recommend Taylor Mayberry as our selection for Student Trustee during the 2017-18 academic year.

Taylor Mayberry is a 2013 graduate of Germantown High School in Germantown, TN. Taylor is currently the President of the Student Nurses Association and serves as the Secretary of Health Care for the Tennessee Intercollegiate State Legislature. As a member of the Student Government Association, in 2016-2017 she served as Chief Justice of the Student Government Court.

**Recommendation:**
The President recommends Taylor Mayberry to be approved as Student Trustee. Her one-year term will be effective immediately and continue through May 31, 2018.

# 6. President's Interim Action Report

Presented by M. David Rudd

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Item: **President's Interim Action Report**

Recommendation: Information

Presented by: M. David Rudd, President

**Background Information**:
In accordance with the Interim Delegation of Authority to the President approved on March 17, 2017, the following actions have been taken to ensure the efficient operation of the University and its programs:

1. Approval of the addition and/or revision of University policies and procedures from the divisions of Academic Affairs, Business and Finance, Information Technology, External Relations and Research as of May 10, 2017. A listing of the policies are included in the meeting materials.

2. Approval of contract additions and/or changes from the State Building Commission for University maintenance and construction projects. A listing of the projects and costs are included in the meeting materials.

3. Hiring of the Vice President of Student Affairs, Dr. Darrell C. Ray.

Policies Reviewed as May 10, 2017

| | | | |
|---|---|---|---|
| **ADEMIC AFFAIRS** | 1245 | Withdrawal from the University | No major changes |
| | 1248 | Privacy of Education Records | No major changes, clarified directory information definition |
| | 1273 | Academic and Registration Calendar | Deleted references to TBR calendar, combined TBR policies |
| | 1279 | Curriculum Development and Revision | Deleted references to TBR, deleted proposal and formats, updated wording |
| | 1282 | Insurance for International Students | |
| | 1289 | Faculty Promotions | Deleted references to TBR, updated link to Faculty handbook |
| | 1290 | Tenure | Replace TBR with BOT |
| | 1457 | Space Planning and Assignments | Removed TBR replaced w/THEC |
| | 1511 | Recruitment, Application, and Selection of Faculty | Deleted TBR and updated language |
| | 1606 | Academic Freedom | Deleted references to TBR, updated link to Faculty handbook |
| | 1669 | Faculty Authored Educational Material | Deleted TBR |
| **BUSINESS and FINANCE** | 1657 | Lease/Rental of University Property | PRB approved |
| | 1714 | Red Flag | PRB approved |
| | 1440 | University Vehicles | PRB approved w/required changes |
| | 1241 | University Holiday | Deleted TBR references |
| | 1242 | Performance Appraisal of Staff Employees | PRB approved |
| | 1262 | Timekeeping and Leave Reporting | Deleted TBR references |
| | 1293 | Occupational Health and Safety | PRB approved |
| | 1296 | Shipping & Receiving of Hazardous Materials | No changes needed |
| New policy | 1837 | Employment of Minors | PRB approved |
| New policy | 1807 | Alternate Work Arrangement | PRB approved |
| | 1303 | Authorization of Financial Transactions | Deleted TBR references, changed responsible office, updated policy statement |
| | 1311 | Purchase of Meals | Deleted TBR references, added new sections, corrected grammar, and updated terminology |
| | 1328 | Moving Allowance | Moved “Responsible Office” from Accounting Office to Human Resources, deleted “Contents” section, rearranged information |
| | 1341 | Disbursement of Salary Payments | No changes |
| | 1365 | University Records Management Program | Deleted TBR reference and added definitions, updated terminology |
| | 1368 | Identification of Buildings & Facilities | PRB approved |
| | 1382 | Separation from Employment | PRB approved |
| | 1469 | Charitable Giving Campaign | Deleted TBR references |
| | 1490 | Extra Compensation & Outside Employment | No changes |
| | 1493 | Summer Compensation for Nine Month Faculty | Removed TBR references |
| | 1495 | Advertising and Hiring for Staff Positions | PRB approved |
| | 1505 | Workplace Violence Prevention | Deleted TBR references |
| | 1515 | Compensation | PRB approved |
| | 1527 | Leave Transfer between State Institutions | Deleted TBR references |
| | 1531 | Emergency Closings | Deleted TBR references |
| | 1532 | Crisis Management | Deleted TBR references |
| | 1541 | Employee Personnel Records | Deleted TBR references |
| | 1544 | Sick Leave | PRB approved |
| New Policy | 1812 | Bereavement Leave | PRB approved |
| | 1563 | Drug-Free Campus and Alcohol Abuse Prevention | PRB approved |
| | 1564 | Grievance Process and Conflict Resolution | PRB approved |
| | 1569 | Family, Medical, and Service Member Leave | PRB approved |
| | 1574 | Sick Leave Transfer Between Employees | |
| | 1575 | Longevity | Deleted TBR references |
| | 1609 | Sick Leave Banks - Faculty and Staff | PRB approved |

| | | | |
|---|---|---|---|
| | 1622 | Hazardous Waste | No changes needed |
| | 1623 | Campus Identification Card | Updated terminology |
| | 1676 | Certification of Effort | Updated citation in policy statement, changed responsible office |
| | 1679 | Special Event Services | Updated terminology |
| | 1680 | Bank Accounts | PRB approved |
| | 1688 | Wireless Communication | Changed the responsible office, corrected grammar, removed “Contents” section |
| | 1711 | Drug Testing for Childcare Workers | PRB approved |
| | 1719 | Charges to Sponsored Agreements | Updated the policy statement, updated responsible office, corrected grammar |
| | 1720 | Cost Transfers | Updated the policy statement, updated responsible office, corrected grammar |
| | 1722 | Service Centers | Updated the policy statement, updated responsible office, corrected grammar and titles |
| | 1723 | Sponsored Agreement Cost Sharing | Clarified policy statement, updated responsible office, corrected grammar |
| | 1724 | Institutional Base Salary | Deleted TBR references, updated policy statement |
| | 1819 | Installment Payment Plan | PRB approved |
| | 1734 | Cash Handling | Deleted TBR references, updated terminology, corrected grammar, added new requirements, threshold amount and links PRB approved |
| | 1738 | Limited Tobacco - Use Campus | Corrected grammar, updated department name |
| | 1753 | Employee Debt to the University | Removed TBR references |
| | 1759 | Hazardous Material Disposal | No changes needed |
| | 1760 | Timely Warning of Reported Crimes | Revised policy statement, added definitions, and updated language |
| | 1762 | Payment Card Industry (PCI) | PRB approved |
| | 1768 | Budget Policy and Procedure | PRB approved |
| | 1770 | Facilities Grounds Alterations & Improvements | PRB approved |
| | 1772 | Equipment Inventory | PRB approved |
| | 1776 | Investment Policy | PRB approved |
| | 1817 | Purchasing Card | PRB approved |
| | 1827 | ADA Accommodations | PRB approved |
| | 1777 | Lost or Stolen Property | PRB approved |
| | 1824 | Student Fees and Enrollment | PRB approved |
| | 1832 | Tuition Assistance for Employees and Dependents | PRB approved |
| | 1835 | Campus Planning and Design | PRB approved |
| | 1837 | Employment of Minors | PRB approved |
| **INFORMATION TECHNOLOGY** | 1691 | Data Security | PRB approved |
| **STUDENT AFFAIRS** | | | |
| | 1480 | Disability Access for Students | PRB approved |
| | 1841 | Registered Student Organizations | PRB approved |
| New policy | 1848 | Student Use of Service and Emotional Assistance Animals on Campus and in University Housing | PRB approved |
| | | | |
| **EXTERNAL RELATIONS** | 1581 | Publicity and Mass Media | Corrected punctuation, updated titles, added requirement that events must utilize centralized scheduling software |
| | 1580 | External Publications and Advertising | Updated division and position titles, removed TBR reference and corrected email address |
| | 1419 | Use of University Seal and Logos | Updated brand standards manual to guidelines, revised definition of logo and updated contact information |
| | 1672 | University Websites | Updated responsible office and official, links, website for brand standards guide and removed required content reference |
| **RESEARCH** | 1607 | Intellectual Property | Non-substantive, corrected University title and typos |

Policies Reviewed as May 10, 2017

| | | | |
|---|---|---|---|
| | 1450 | Sponsored Programs, Grants Contracts and Agreements | Non-substantive changes, updated responsible official |
| | 1451 | Research Misconduct | PRB approved |
| | 1452 | Vaccination of Faculty, Staff, and Students Exposed to Medical Hazards | PRB approved |
| | 1725 | Faculty Incentive Compensation | Non-substantive changes, updated responsible office and deleted TBR references |
| | 1742 | Human Subjects Protections | Updated responsible office and links, corrected definitions, regulations language was added |

**The University of Memphis**
**Summary of State Building Commission and State Buidling Commission Executive Sub-Committee Actions**
**December 2016 through March 2017**

## State Building Commission

| Date | SBC Number | Project | | Amount | Source | SBC Action |
|---|---|---|---|---|---|---|
| 3/9/2017 | 166/007-13-2011 | Centennial Place Housing - Parking area | $ | 462,893.98 | Auxiliary | Acknowledge change order over 10% of original contract |
| 4/13/2017 | 166/007-13-2016 | Student Housing Roof and Brick Repair | $ | 1,400,000 | Auxiliary | Approved adding the construction funds to the project after planning |
| 4/13/2017 | 166/007-03-2016 | Land Bridge and Parking Garage | $ | 36,600,000 | TSSBA / Gifts | Approval of early design phase |
| 4/13/2017 | 166/007-01-2017 | Resurface Memorial Track | $ | 135,000 | Plant funds / Gifts | Approval of funding and scope |
| 5/11/2017 | 166/007-02-2017 | Getwell Entry Gate | $ | 180,000 | Plant funds | Agenda item for approval of funding and scope |

## SBC Executive Sub-Committee

| Date | SBC Number | Project | Amount | Source | SBC Executive sub-committee Action |
|---|---|---|---|---|---|
| 3/21/2016 | 16-03-007 | Drain easement Patterson and Norriswood | na | na | Approved |
| 3/21/2016 | 16-03-006 | Pedestrian easement Patterson and Norriswood | na | na | Approved |
| 3/21/2016 | 16-03-008,9,10 | Sewer easement Houston and Goodman | na | na | Approved |
| 3/21/2016 | 16,03,005 | Traffice easement Goodlett and Park | na | na | Approved |

## Construction Contracts Awarded

| SBC Number | Project | | Amount | Source | Vendor |
|---|---|---|---|---|---|
| 166/007-03-2015A | Electric Utility Updates | $ | 2,250,000 | Capital Maintenance | Shelby Electric Company Inc. |
| 166/007-04-2016 | Lambuth Wilder Chiller Replacement | $ | 134,250 | Clean Tennessee grant | OSB Services, LLC |
| 166/007-01-14A | CFA Museum HVAC Boiler Replacement | $ | 112,525 | Plant funds | Metro Mechanical Contractors |

**The University of Memphis**
**Summary of Current State Building Commission Projects and Status**
**May-17**

| Project | SBC Number | | Funding | Source | Status |
|---|---|---|---|---|---|
| Defense Audit Restoration | 166/007-03-2017 | $ | 94,000 | plant funds | Design |
| Memorial Track Resurfacing | 166/007-01-2017 | $ | 135,000 | plant funds / gift | Design |
| Student Housing Roof and Brick Repair- Rawls and Smith | 166/007-09-2016 | $ | 1,400,000 | Auxiliary | Design |
| Baseball Addition to Fedex Park for team room | 166/007-08-2016 | $ | 450,000 | Gifts | Design |
| McWherter Library chiller Replacement | 166/007-07-2016 | $ | 485,000 | Grant / Plant funds | Design |
| Advanced Manufacturing Research Lab - Preplanning | 166/007-06-2016 | $ | 35,000 | Plant funds | Design |
| Building Envelope Repairs -several academic buildings | 166/007-05-2016 | $ | 3,000,000 | Capital Maintenance | Bid |
| Lambuth Wilder Chiller Replacement | 166/007-04-2016 | $ | 250,000 | Facility fees | Construction |
| Land Bridge and Parking Garage | 166/007-03-2016 | $ | 36,600,000 | Debt Service / Auxiliary | Design |
| Deloach Avenue Restoration - Rental Property water damage | 166/007-02-2016 | $ | 180,000 | Insurance | Close-out |
| Energy Conservation - LED lighting | 166/007-01-2016 | $ | 10,000,000 | Empower TN loan | Proposal Submitted |
| Fogelman College of Business and Economics Updates - classrooms | 166/007-07-2015 | $ | 383,000 | Departmental | Close-out |
| Hyde Hall Boiler Replacement | 166/007-05-2015 | $ | 188,485 | Grant / Plant funds | Close-out |
| Surface Parking Expansion - south of railroad tracks | 166/007-04-2015 | $ | 2,000,000 | Auxiliary | Close-out |
| Electric and Gas Utility Updates - New electrical loop | 166/007-03-2015 | $ | 3,000,000 | Capital Maintenance | Construction |
| McWherter Library Maintenance - HVAC controls | 166/007-01-2015 | $ | 399,000 | Facility fees | Close-out |
| Demolition-Buildings 43 and 44, Park Avenue Campus | 166/007-23-2014 | $ | 60,000 | Plant funds | Close-out |
| Student Recreation Facility Construction | 166/007-22-2014 | $ | 62,000,000 | Debt Service | Reprogram |
| Lambuth Elevators and Classrooms - Student Union and Recreation | 166/007-19-2014 | $ | 895,000 | Lambuth general | Close-out |
| Emergency Operations Generator - Physical Plant | 166/007-18-2014 | $ | 250,000 | Plant funds | Close-out |
| Campus Parking Expansion - Park Avenue | 166/007-17-2014 | $ | 1,970,000 | Auxiliary | Close-out |
| Chemistry Building Repairs - Structural on penthouse | 166/007-08-2014 | $ | 215,000 | Facility fees | Construction |
| Indoor Football Practice Facility | 166/007-04-2014 | $ | 19,000,000 | Gifts | Design |
| Basketball Training Center Construction | 166/007-03-2014 | $ | 20,000,000 | Gifts | Construction |
| Wilder Tower Renovations - Confucious | 166/007-02-2014 | $ | 500,000 | Gifts | Canceled |
| CFA Museum HVAC Modifications | 166/007-01-2014 | $ | 423,000 | URP | Construction |
| Building Code and Safety Updates | 166/007-07-2013 | $ | 8,000,000 | Capital Maintenance | Construction |
| Academic Buildings HVAC Corrections - Music building | 166/007-06-2013 | $ | 5,639,674 | Capital Maintenance | Construction |
| Business and Economics Finance Lab | 166/007-05-2013 | $ | 408,000 | Departmental | Close-out |
| Women’s Softball Training Facility - Practice and team room | 166/007-02-2013 | $ | 1,150,000 | Athletics | Close-out |
| Various Buildings HVAC Updates - Patterson, Browning | 166/007-04-2012 | $ | 6,350,000 | Capital Maintenance | Design |
| New Student Housing - Centennial Place | 166/007-13-2011 | $ | 54,000,000 | Auxiliary Debt | Construction |
| Railroad Pedestrian Improvements | 166/007-09-2011 | $ | 1,800,000 | Grant / Plant funds | Close-out |
| Various Roof Replacements - Heating and Cooling plant to be done | 166/007-05-2011 | $ | 5,600,000 | Capital Maintenance | Design |
| Accessibility (ADA) Adaptations | 166/007-08-2010 | $ | 263,000 | State ADA | Design |
| Access and Security Updates - Exterior door replacements and card readers | 166/007-03-2008 | $ | 4,210,000 | Capital Maintenance | Construction |

**The University of Memphis**
**Summary of Current State Building Commission Projects and Status**
**May-17**

| Project | SBC Number | | Funding | Source | Status |
|---|---|---|---|---|---|
| Community Health Building | 166/007-07-2007 | $ | 60,003,484 | Capital Outlay / gifts | Close-out |

# Darrell C. Ray, PhD

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## EDUCATION & TRAINING

| | | | |
|---|---|---|---|
| **Doctor of Philosophy** | University of Georgia | Counseling & Student Affairs Admin. | August 2003 |
| **Master of Arts** | University of Alabama | Higher Education Admin. | May 1997 |
| **Bachelor of Arts** | University of Alabama | Criminal Justice | May 1996 |

- National Resource Center for FYE Inaugural Institute on Student Veteran Success (April 2014)
- Mississippi State University Legal Issues in Higher Education Conference (2012, 2013, 2014)
- The Sloan Consortium Essentials of Online Teaching Certificate (November 2013)
- NASPA Institute for Aspiring Chief Student Affairs Officers (January 2013)
- Advancement Resources Art & Science of Donor Development (Oct. 2012)

## EXPERIENCE

### Louisiana State University and A & M College — Sept 2006 – Present

*Louisiana State University is a research-extensive, flagship university serving approximately 30,000 students across 14 colleges and schools. Ranked among the top 75 public institutions, LSU is one of 30 institutions designated with space, sea, and land-grant status.*

**Assistant Vice President for Student Affairs** — July 2008 - Present

**Key Accomplishments**

- Created First Year Experience (2008), and Veteran & Military Student Services (2013) administrative units this included designing inaugural initiatives, budget development, fundraising, and supervision.
- Select initiatives created: Tiger Transition Team (peer mentoring program), Bengal Book Group (common reading program), and programming for specific student subpopulations (out of state students, transfer students, and off campus first year students).
- Restructured the LSU Family Association to expand mission, services, and increased membership, which has led to over 5 million in external funds generated since 2008.
- Established academic collaborations with the School of Social Work and the Graphic Design department to serve as an internship site.
- Conference planning committees for the NODA Region 6 conference (Baton Rouge, March 2011) and NASPA Student Affairs Fundraising & External Relations national conference (Baton Rouge, July 2013).

**Administrative Responsibilities**

- Provide leadership for First Year Experience, Orientation, Parent & Family Programs, the LSU Family Association and Veteran & Military Student Services.
- Currently development structure to establish Transfer Student Programs as an administrative unit.
- Manage budget oversight (~4 million) and direct fundraising and development efforts. Budget responsibilities include state funded, self-generated, and foundation accounts.
- Oversee assessment, strategic planning, and communication strategy development.
- Coordinate staff development, training, and professional growth plans for all staff supervised.
- SACS Reaffirmation Committee (2012 – 2014).
  - Coordinated data collection and authoring institutional response for Core Requirement 2.10
- University Facilities Development & Design Committee – Division Representative (2011 – 2013)
- Coordinated the division graduate assistantship selection and interview processes.
- Served on the division Fundraising & Development Leadership Team

**Grants & External Funding**

- 2014 – Principal Investigator, Petroleum Institute, Abu Dhabi, UAE ($843,000) (Accepted)
  - Project Title: Providing Human Resources Assistance in Student Life
- 2014 – Principal Investigator, SEC Academic Collaboration Grant Program ($23,000) (Unfunded)
  - Project Title: SEC Student Affairs Collaborative
- 2011 – Principal Investigator, The Suder Foundation, Dallas, TX ($850,000) (Finalist - Unfunded)
  - Project Title: First Scholars Planning Grant

**Select Service to LSU**

- LSU System Task Force on Title IX & Sexual Misconduct (2016 – present)
  - Co-Chair for subgroup on Pregnant & Parenting Policies
- LSU Adjunct Judicial Hearing Officer (2015 – present)
- NCAA Internal Study Committee (2012 – 2013) - Student Services Sub-Committee
- University-Wide Retention Committee (2010 – 2012) - Sub-Committee Co-Chair student attrition
- LSU Academic Affairs Committee on Student Diversity (2010 – 2011)
- Black Male Leadership Initiative Core Planning Committee (2009 – 2012)
- College of Agriculture Residential College Research Team (2009 – 2011)
- Undergraduate Admissions Marketing Task Force (2008 – 2010)
- Enrollment Management Advisory Committee (2007-2009)

**Select Professional Service**

- Editorial Board for the College Student Affairs Journal (2015 – present)
- Editorial Board for the Journal of First Year Experience & Students in Transition (2014-2016)
- National Association of Student Personnel Administrators (NASPA) (2004 - Present)
  - NASPA Mid-Manager Institute Program Faculty (2016)
  - Regional Representative for the Knowledge Community on Student Affairs Development and External Relations (2008 – 2012)
  - Campus Mentor for the National Undergraduate Fellows Program (2009 – 2011)
  - National Conference Program Reviewer (2004 – Present)

**College of Human Sciences & Education** August 2007 – Present
**Adjunct Professor of Higher Education Administration**

- Provide instruction for courses in Master's program. Courses taught include:
  - College Students in the US
  - Student Development Theory
  - Special Topics Seminar: Understanding the First Year Experience
  - Practicum & Internship in Higher Education & Student Affairs
  - Law & Ethics in Higher Education
- Serve on College committees as requested, Faculty Learning Community on Active & Collaborative Learning, and graduate student recruitment efforts.
- Developed and taught courses for LSU Online Higher Education Administration program.

**Dissertation Committee Membership**

Teats, B. (In progress). *The HUGE Project: A case study surrounding the development of the holistic undergraduate growth and experience program*.

Whitmore, J. (2014). *Black Male Leaders: An Examination of Hegemonic Masculinity and Race Consciousness of University Presidents.*

Maurin, K. (2012). *Negotiating cultural transitions: Contemporary student veterans and Louisiana institutions of higher education.*

Champagne, R. (University of New Orleans - In progress). *More than Just a Retention Issue: A* *phenomenological study of the transition of first –year students who participate in an extended orientation program.*

Baker, D. (In progress). *An examination of the philanthropic behaviors of female faculty at a large public university.*

**Thesis Committee Membership**

Allen, A. (2013). *What about the black greeks? Supporting NPHC's at predominantly White institutions.*

Garland, J (2013). *Membership based fundraising within higher education: A strategic marketing management perspective.*

**Associate Dean of Students &** Sept. 2006 – July 2008
**Director of the Center for Student Leadership & Involvement**
**Key Accomplishments**

- Created Parent & Family Programs (2007) administrative unit which included developing outreach and communications initiatives, staff selection, budget development, designing fundraising strategy.
- Restructured processes within Student Government to expand operations.
- Initiated planning for the "Geaux Lead" 4 day leadership retreat.
- Restructured and expand the scope of "Bengal Bound" the university's fall welcome week.

**Administrative Responsibilities**

- Provide leadership for the Center for Student Leadership & Involvement, Office of Orientation, advisor to Student Government, and created Parent & Family Programs (2007).
- Managed budget oversight (~6.1 mil.). Budgets include state funded, self-generated, endowed accounts, and student fee accounts.
- Oversaw staff development, program assessment &evaluation, strategic planning, and maintained relationships with campus constituents.
- Oversaw operations, training, and outreach for all registered student organizations (350).
- Led coordinating efforts for campus-wide leadership development activities.
- Coordinated training workshops and present educational programs for faculty, staff, and students.

**Select Service to LSU**

- Coordinating Committee for Leadership Development Academic Minor – in conjunction with the School of Human Resource Education & Workforce Development.
- Advised student interns in the Leadership Development minor.
- LSU Student Union – Union Board.
- LSU Traditions Council.
- Summer Reading Program book selection committee.

## The Art Institute of Atlanta

Feb. 2004 – Sept. 2006

*The Art Institutes are a system of 40 accredited, for-profit colleges, specializing in the creative and applied arts owned and operated by Education Management Corporation. The Art Institute of Atlanta serves approximately 3,300 students through 20 degree programs and 11 diploma programs.*

**Director of Student Development**
**Administrative Duties:**

- Coordinated all leadership development activities and annual leadership academy.
- Coordinated all new student orientation programs.
- Advised the College Ambassadors program.
- Served on judicial panels for violations of College policies and student handbook.
- Developed policies and procedures within the Office of Student Affairs.

- Responded to emergency situations in an on-call rotation.
- Served on the college-wide Student Success Committee to review administrative processes and procedures that impact retention and graduation.
- Administrative Representative to the Visiting Artist Lecture Committee.
- Supervised Marketing Coordinator.
- College representative to the Board of Directors for the Perimeter Transportation Coalition – a community agency charged with addressing traffic issues in the metro area. Responsible for writing and administering annual transportation grant of approximately $60,000 for the college.

**Housing & Residence Life**

- Supervised Housing & Residence Life (5 full time staff, 20 students) and all operations, including monthly budget maintenance (4.1 million), staff development, property acquisition, vendor relations, publication design, judicial hearings and appeals, and responding to parent and student concerns.
- Negotiated leases with rental properties and coordinated vendor relations.

**Student Activities**

- Supervised Student Activities (1 full time staff)– event development, implementation, and assessment, budget projections and administration ($50,000), established student activities council, developed community service programs, and provided support to all student organizations.

## Argosy University/Atlanta — April 2004 – Oct 2006

School of Education and Human Development

*Argosy University is a system of accredited, for-profit colleges owned by Education Management Corporation with 28 campuses across the US and an online division.*

**Adjunct Professor**

- Provided instruction for Higher Education Administration courses. Courses taught: Organization & Administration of Higher, Curriculum Design in Higher Education, The American Community College, Staff Development in Higher Education (On-Line), & Comprehensive Planning & Implementation (On-Line).
- Participated in faculty development and training activities and served on various committees.
- Served as subject matter expert in the design of on-line courses on higher education administration. Responsibilities included designing lectures, assignments, and faculty supplements.
- Served on dissertation committees.

## The University of Georgia — Sept. 1997 – Feb. 2004

*Founded in 1785, the University of Georgia (UGA) was the first state-chartered university in the US. UGA is organized into 18 schools and colleges offering 140 degree programs. Serving over 34,000 students, the university is designated as a land, sea and space grant flagship- university.*

**Department of University Housing** — June 2001 – Feb. 2004
**Education Program Specialist**

Residence Life & Housing Responsibilities

- Supervised staff (23) and operations for the Myers Honors Residential Community. Duties included: staffing 24 hour desk, co-advised Community Council, provided support to Resident Assistant staff, and worked with constituents across campus to provide support services to students.

Housing Administrative Operations Responsibilities

- Coordinated summer housing processes including assignments, summer conferences, and the Freshman Summer College Experience program (3,400 bed spaces).

- Coordinated aspects of housing assignments during the academic year (5,800 beds) – including payment processing, assignments, and communication with parents and students.
- Conducted research on departmental policies, programs, administrative processes, and new initiatives and assisted in the coordination of departmental assessment efforts. Special projects included developing a communications plan, publication creation, drafting correspondence, managing overflow housing, researching new residence hall construction, analyzing the local apartment market, data analysis, returning student research, and the First Year Residency Requirement.
- Supported Director of University Housing on administrative and departmental operations.
- College of Education – courses taught Academic and Career Planning (Undergraduate) and co-taught College Student Ecology (Graduate Level).

**Department of Student Activities** Sept. 1997 – Aug. 2000
**Assistant Coordinator of Greek Life**

- Served as advisor to the National Pan- Hellenic Council (8 organizations).
- Coordinated budget (~$80,000), organized council activities, and annual step show competition.
- Supported chapter presidents and officers in chapter operations.
- Designed council publications, recruitment brochures, and booklets.
- Advised Greek Week Executive Committee.
- Worked with the Office of Judicial Programs to enforce and implement policy.
- Assisted in sorority recruitment processes including orientation, mediation, and emergency response.
- Developed leadership development programs, including an annual retreat Greek councils boards.
- Supervised masters level interns.
- Served as advisor to the Inter-fraternity Council (24 organizations), during which time was responsible for daily operations, budgets (approximating $50,000), and coordination of fraternity rush, rush brochures, and new member education seminars (1998-1999).

## PROFESSIONAL MEMBERSHIPS

*National Association of Student Personnel Administrators* (NASPA) (2004 - Present)
*Council for the Advancement and Support of Education* (CASE) (2011 – Present)
*National Orientation Directors Association* (NODA) (2006 – 2012)
*Association for the Study of Higher Education* (2007 – 2009)

## SELECT PUBLICATIONS

Ray, D. & Harris, V.T. (2014). Hate Speech and the college campus: Considerations for entry level student affairs practitioner. Race, Class, & Gender Journal. Vol. 21, No. 1-2.

Ray, D. (2013). Review of Renn, K.A. & Reason, R.D. (2012). *College Students in the US: Characteristics, experiences, & outcomes*. Jossey-Bass Publishers. College Student Affairs Journal. (Vol. 31, No. 2).

Ray, D. (2013). Review of Hamrick, F., Rumann, C.B., & Associates. (2013). *Called to Serve: A handbook on student veterans and higher education*. Jossey-Bass Publishers. Journal of College Orientation & Students in Transition. Vol. 21, No. 1.

Ray, D. & Korduner, M. (2012). Developing a First-Year Transition Camp: A "How To" Guide to Get Started. The Journal of College Orientation and Transition, Vol. 19. No. 2.

Ray, D. (2009). Review of Troxel, W.G. & Cutright, M. (Eds.). (2008). *Exploring the evidence: Initiatives in the first college year.* (Monograph No. 49). Columbia, SC: University of South Carolina, National Resource Center for the First Year Experiences and Students in Transition. Journal of College Orientation & Students in Transition.

Ray, D. (2008). Review of *Shedding light on sophomores: An exploration of the second college year.* (Monograph No. 47). (2007). Columbia, SC: University of South Carolina, National Resource Center for the First Year Experiences and Students in Transition. Journal of College Orientation & Students in Transition, Vol. 15. No. 2.

Ray, D. (2006). Review of Skipper, T.L. (2005). *Student development in the first college year: A primer for college educators.* Columbia, SC: University of South Carolina, National Resource Center for the First-Year Experience and Students in Transition. Journal of College Orientation and Transition, Vol. 13, No. 2.

Ray, D. (2004). Review of Janosik, S.M., Creamer, D.G., Hirt, J.B., Winston, R.B., Saunders, S.A., & Cooper, D.L. (2003). *Supervising New Professionals in Student Affairs.* New York: Brunner-Routledge. Journal of College Student Development, Vol. 45, No 4.

Ray, D. (2004). An examination of the role of race and autonomy level in the moral orientation of male greek students. Journal of College and Character. Vol. 2. http://www.collegevalues.org

Ray, D. (2003). Review of Nist, S. & Holschuh, J. P. (2002). *College Rules: How to study, survive, and succeed in college.* Berkeley, CA. Ten Speed Press. In the Journal of College Orientation and Transition 10(2), 81-82.

**SELECT PRESENTATIONS**

Ray, D. (March 2015). *Navigating New Territory: Establishing a Veteran Services Office.* National Association of Student Personnel Administrators Conference in New Orleans, LA.

Ray, D. (March 2015). *Navigating Programs Needs and Professional Satisfaction: The Many Paths of the Adjunct Faculty.* National Association of Student Personnel Administrators Conference in New Orleans, LA.

Ray, D. (March 2015). *When I Grow Up: Navigating Early Career Transitions in Student Affairs.* National Association of Student Personnel Administrators Conference in New Orleans, LA.

Ray, D. & Garland, J. (March 2014). *Establishing Fundraising Efforts with Parents.* Presented National Association of Student Personnel Administrators Conference in Baltimore, MD.

Hernandez, C., Ray, D., et al. (March 2014). *AVP Development: Understanding and Navigating the Unique Role.* Preconference Session. Presented National Association of Student Personnel Administrators Conference in Baltimore, MD.

Hecht-Macchio, A., Ray, D., et al. (March 2013). *AVP Development: Understanding and Navigating the Unique Role.* Preconference Session. Presented National Association of Student Personnel Administrators Conference in Orlando, FL.

Garrison, B., Ray, D., et al. (July 2012). *Does Choosing to Live in a Discipline-Based Residential College Make a Difference in the Engagement of University Freshmen?* International Conference on the First-Year Experience in Vancouver, British Columbia, Canada

Ray, D. & Boyles, P. (March 2012). *Influencing the Future: How to Instituting Fundraising Practices.* Presented at the National Association of Student Personnel Administrators in Phoenix, AZ.

Norman, E., Ray, D., et al. (March 2012). *Paths to Deandom: Changing the Dean of Students Wayfinding.* Presented at the National Association of Student Personnel Administrators in Phoenix, AZ.

Ray, D., Korduner, M., & Boyd, W. (March 2011). *Purposeful Transition: Developing a First Year Transition Program*. Presented at the National Association of Student Personnel Administrators in Philadelphia, PA.

Ray, D. & Korduner, M. (February 2011). *Developing a First Year Transition Camp*. Preconference Session. Presented at the Annual Conference on the First Year Experience Conference in Atlanta, GA,

Ray, D., Norman, E., Wallace, M., & White, K. (March 2010). *Planning your Career in Student Affairs*. Presented at the National Association of Student Personnel Administrators conference in Chicago, IL.

Ray, D. & Boyles, P. (March 2010). *Creating a Legacy: Fundraising in Student Affairs*. Presented at the National Association of Student Personnel Administrators conference in Chicago, IL.

Ray, D. & Boyles, P. (March 2009). *Learning the Art: The Basics of Fundraising in Student Affairs*. Pre-conference Session. Presented at the National Association of Student Personnel Administrators Conference in Seattle, WA.

Ray, D. (February 2009). *Extending the Family: Developing a Family Association*. Presented at the Annual Conference on the First Year Experience Conference in Orlando, FL.

Ray, D. (February 2008). *The Blueprint for University Welcome Weeks*. Presented at the Annual First Year Experience Conference in San Francisco, CA.

Ray, D. (February 2007). *Connecting Large Campuses for First Year Students*. Presented at the Annual First Year Experience Conference in Dallas, Texas.

Ray, D. (February 2003). *Using Institutional Initiatives to Promote African American Student Adaptation to College*. Presented at the Annual First Year Experience Conference in Atlanta, Georgia

Ray, D. (February 1999). *Effective strategies for advising NPHC*. Presented at the Southeastern Interfraternity Conference in Atlanta, Georgia

Ray, D. (February 1998). *Understanding Greek Life*. Presented at the Southeastern African American Leadership Conference in Athens, Georgia

**COMMUNITY INVOLVEMENT:**

Volunteers of America – Greater Baton Rouge Board of Directors (2007 – 2010)
The University of Alabama National Alumni Association (1999 – Present)
The University of Georgia National Alumni Association (2003 – Present)
Alpha Phi Alpha Fraternity, Inc. (1993 – Present)

**HONORARIES**

Kappa Delta Epsilon – Honor Fraternity for Educators (Inducted 2001)
The Order of Omega Greek Honorary (Inducted 1995)
The Jasons – University of Alabama Senior Men's Honorary (Inducted 1995)

# 7. Report and Recommendations of the Governance and Finance Committee

# 7.1. Governance and Finance Committee Charter Revision

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance Committee**

Item: **Committee Charter Revision**

Recommendation: Approval

Presented by: Melanie Murry, University Counsel and Acting Board Secretary

**Background**:
The Governance and Finance Committee was established and charter approved during the Board meeting on March 17, 2017. The charter as originally approved established a Governance Committee but an Executive Committee was established during the Board meeting and a third member was elected to serve on the committee by the Board. The charter has been amended to reflect the establishment of the Executive committee and its membership.

**Committee Recommendation:**
The Governance and Finance Committee met on June 6, 2017, and approved the proposed changes to its Committee Charter establishing an Executive Committee and its membership.

## Governance and Finance Committee

### Purpose

The Governance and Finance Committee ("GFC" or "Committee") provides oversight for the University's finance, business, administration, and facilities activities. The Committee also ensures the integrity of the board and enhances board performance. The Committee advises the Board on the state of the University's financial operations, budget, student fees, personnel policies, and facilities. The Committee serves to ensure the University operates within available resources, and in compliance with applicable federal and state laws and University policies in a manner supportive of the University's strategic plan.

### Authority and Responsibilities

The Committee is responsible for formulating and recommending action or necessary policies in all matters relating to finance, business, administration, receipt of donations, facilities and fiscal oversight. Specifically, the Committee shall have responsibility to provide oversight in the following areas and recommend for approval the following actions to the Board:

1. University's annual operating and capital budgets.
2. Student Tuition and fee rates.
3. Fiscal procedures and rules for maintaining bank accounts, draw vouchers and checks for expenditures through disbursing officers.
4. Debt issuances.
5. Facilities Master Plan.
6. Lease, purchase and disposal of real estate.
7. Personnel policy matters requiring Board approval.
8. Oversee presidential personnel matters, including the annual evaluation;
9. Exercise all powers and authority of the full Board on an as needed basis between regular Board meetings for time-sensitive matters, subject to limitations imposed by the Board;
10. Periodically review the Bylaws and recommend needed amendments;
11. Develop and implement a process for evaluating the effectiveness of Board and committee meetings;
12. Develop an effective orientation and ongoing education process for the Board; and
13. Identify the expertise and experience needed for Board membership for recommendation to the President and Governor.

It is the expectation of the Board that the full Board will consider and make decisions regarding all significant matters before the Board. However, an Executive Committee is established as part of the Committee and is empowered to act for the full Board between regular Board meetings on an as needed basis for time-sensitive matters, subject only to such restrictions or limitations as the Board may from time to time specify, except that the following matters shall be reserved to the full Board for approval: (i) Board and committee officer selection, (ii) changes in the mission and purposes of the University, (iii) presidential selection, evaluation and termination, (iv) amendments to the Bylaws, (v) debt issuances, (vi) sale or other disposition of real property, (vii) the University's annual operating budget and (viii) the University's Facilities Master Plan. All actions taken by the Executive Committee pursuant to this authority shall be reported at the next meeting of the full Board, or when deemed sufficiently important by the Board Chair and the University President, such actions shall be reported to the Board within thirty (30) days after such action is taken, or at a meeting of the Board if a meeting is held within that period of time.

**Composition of the Committee**

The Governance and Finance Committee shall be comprised of at least the Board Chair and Vice-Chair. The President and Vice President of Business and Finance of the University shall be ex officio, non-voting members of the committee.  The Executive Committee shall only consist of the Board Chair, Vice-Chair and a third member elected by the full Board of Trustees.

# 7.2. Board Polices

# 7.2.1. Code of Ethics Policy

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance Committee**

Item: **Code of Ethics Policy**

Recommendation: Approval

Presented by: Melanie Murry, University Counsel and Acting Board Secretary

**Background:**
The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) is the regional body for the accreditation of degree-granting higher education institutions in the southern United States. SACSCOC accreditation standards require the university to have policies that address procedures whereby members can be dismissed for appropriate reasons by a fair process SACSCOC standards 3.2.3 and 3.2.5.

With the establishment of an institutional governing board, the Focus on College and University Success Act (FOCUS Act) requires each state university board to establish and adopt a code of ethics that apply to and govern the conduct of all appointment members of the Board. TCA § 49-8-204. The FOCUS Act additionally outlines the process by which the Board of Trustees may remove any appointed member for a material violation of the Code of Ethics which is outline in the policy.

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended approval of the Code of Ethics Policy as detailed in the meeting materials.

**The University of Memphis Board of Trustees – Code of Ethics**

Each member of the Board of Trustees is responsible for ethical conduct consistent with this Code of Ethics and with the University's bylaws. The Code of Ethics is a statement of belief in each trustee's fiduciary duty to act ethically, professionally, and in compliance with any applicable laws and regulations in all dealings within the University.

I. **Governance**

a. **Public Trust.** The General Assembly of the State of Tennessee has vested the management and governance of each state university in the institution's state university board, subject to certain powers and duties maintained by the Tennessee higher education commission.[1] Trustees hold a position of public trust and are expected to carry out their governance responsibilities in an honest, ethical and diligent manner.

b. **Time Commitment.** In undertaking the duties of the position, a Trustee shall make the commitment of time necessary to carry out the Trustee's governance responsibilities. A Trustee must regularly attend and actively participate in board and committee meetings and special assignments.

c. **Duty of Care.** Trustees must discharge their duties, including duties as a member of a committee, in good faith, with the care an ordinarily prudent person in a like position would exercise under similar circumstances, and in a manner the Trustee reasonably believes to be in the best interest of the University. Trustees shall promote a culture of constructive debate about major initiatives and transactions and shall require management to provide information necessary to carry out the Trustees' duty of care to act in the best interest of the University. Trustees shall maintain confidentiality, as allowed by law, regarding Board or administrative decisions or future actions.

d. **Trustee Authority.** Except as otherwise provided by law or bylaw, Trustees shall have no legal authority to act outside of Board meetings. Trustees shall avoid acting as a spokesperson for the entire Board unless specifically authorized to do so.

**II. Conflicts of Interest**

a. **Conflicts of Interest Policy.** Trustees shall abide by the Conflicts of Interest Policy for the University Board of Trustees, as amended from time to time. Upon appointment and annually thereafter, Trustees shall file a financial disclosure form as required by the Conflicts of Interest Policy. The Audit Committee of the Board shall monitor compliance with the Conflicts of Interest Policy for Trustees.

b. **Personal Benefit or Gain.** Trustees shall not use the authority, title, prestige, or other attribute of the office for personal benefit or gain for themselves, for any relative, or for any other person which would be inconsistent with the public interest. Per state law, it is unlawful for a Trustee, or Trustee's "immediate family[2]," to be financially interested in any contract or transaction affecting the interests of the University, or to procure, or be a party in any way to procuring the appointment of any relative to any position of financial trust or profit connected with the University.[3]

c. **Prohibition against Receiving Gifts, Money, or Anything of Value.** No Trustee shall accept or receive, directly or indirectly, from any person, firm, or corporation to whom any contract for the purchase of goods or services for the state may be awarded, by rebate, gifts, or otherwise, any money or anything of value whatsoever, or any promise, obligation,

[1] Tenn. Code Ann. § 49-8-101(a)(2)(B)
[2] "Immediate family" means spouse, dependent children or stepchildren, or relatives related by blood or marriage.
[3] Tenn. Code Ann. § 49-8-203(g).

or contract for future rewards or compensation.[4] Furthermore, Trustees shall not knowingly accept gifts, favors, or gratuities from other persons or entities, including other trustees, that might affect or might have the appearance of affecting a Trustee's judgment in impartially performing the duties of the office. This section is not intended to preclude acceptance of benefits that would otherwise inure to a University donor.

d. **Prohibition against Interfering with Work of University Employees.** Except for the purposes of inquiry or information, no trustee shall give direction or interfere with any employee, officer, or agent under the direct or indirect supervision of the chief executive officer of the University.[5]

**III. Compliance**

a. **Reporting violations.** Anyone who believes that he or she has information indicating that an appointed Trustee has violated the Code of Ethics shall make a written disclosure of the facts and circumstances to the Chair of the Board Governance Committee or in the alternative, to the University auditor. The Chair of the Board Governance Committee shall refer alleged violations of the Code of Ethics or the Conflict of Interest Policy for Trustees to the Audit Committee. The Audit Committee shall review the allegations and determine whether removal proceedings should be initiated against the Trustee for a material violation of the Code of Ethics.

b. **Hearing and Removal.** A Trustee may be removed from the Board for a material violation of the code of ethics by a two-thirds (2/3) majority vote of its membership. A Board vote to remove a Trustee shall only be taken after the accused Trustee has been afforded a due process contested case hearing in accordance with the Uniform Administrative Procedures Act and a finding has been made that the member did violate the board's code of ethics.[6]

c. **Certification.** Upon appointment and annually thereafter, Trustees shall be provided with the Code of Ethics and shall certify in writing that they have read the Code of Ethics and will comply with its provisions.

*Effective Date/Revisions:*

[4] Tenn. Code Ann. § 12-4-106(a)
[5] Tenn. Code Ann. § 49-8-203(h)
[6] Tenn. Code Ann. § 49-8-204(b)-(d)

# 7.2.2. Consent Agenda Policy

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance Committee**

Item: **Consent Agenda Policy**

Recommendation: Approval

Presented by: Melanie Murry, University Counsel and Acting Board Secretary

**Background:**
The purpose of the Consent Agenda Policy is to provide a process for use of a consent agenda during Board meetings. The use of a consent agenda will allow for efficiency in Board meetings by providing a process for items that do not need discussion or debate either because they are routine or have already been debated.

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended approval of the Consent Agenda Policy as detailed in the meeting materials.

## University of Memphis Board of Trustees – Consent Agenda

### Purpose

The purpose of this Policy is to provide a process for use of a consent agenda during The University of Memphis Board of Trustee meetings. A consent agenda is a tool to ensure efficient and effective Board meetings by providing a process for approval of routine and/or non-controversial decision items that come before the Board.

### Policy

The Board Chair, in consultation with the President, the Secretary, or a committee chair, may designate items to be presented to the Board on a consent agenda for approval by unanimous consent of the Board. Only items that are routine or non-controversial in nature may be designated for unanimous consent.

Items designated for unanimous consent shall be separately identified on the Board agenda as a consent agenda and shall be voted on by a single motion. Full information about each item on the consent agenda shall be provided to the Board in advance of the meeting. Requests for clarification or other questions about an item on the consent agenda must be presented to the Secretary before the meeting.

Any member of the Board may remove an item from the consent agenda by notifying the Secretary in writing prior to the meeting. No vote is required with respect to such removal. Items not removed may be adopted by unanimous consent of the Board without further discussion. Removed items may be separately considered and voted on by the Board.

Examples of items which may be placed on a consent agenda include: (1) approval of Board and committee minutes; (2) committee and staff reports; (3) the sale of gift property at or above the appraised value; (4) and negotiated employee contracts.

The following is a non-exclusive list of items that shall not be placed on a consent agenda: (1) amendment of the Bylaws, adoption of new Bylaws, or repeal of existing Bylaws; (2) the annual operating budget, including student tuition and fee proposals for which Board approval is required; (3) funding requests for capital outlay and capital maintenance projects; (4) revenue or institutionally funded capital projects; and (5) any other item on which a roll-call vote is required.

# 7.2.3. Presidential Review and Evaluation Policy

For Approval

The University of Memphis Board of Trustees
Agenda Item

| | |
|---|---|
| Date: | June 6, 2017 |
| Committee: | **Governance & Finance Committee** |
| Item: | **Presidential Review and Evaluation Policy** |
| Recommendation: | Approval |
| Presented by: | Melanie Murry, University Counsel and Acting Board Secretary |

**Background**:

The Board of Trustees is responsible for the selection and supervision of the President and the Presidential Review and Evaluation Policy meets that obligation. SACSCOC, the University's governing body, also requires periodic review of the president at least every three years. A formal evaluation also provides the Board an opportunity for reflection on the health of the University and the leadership demonstrated by the President.

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended approval of the Presidential Review and Evaluation Policy.

## Presidential Review and Evaluation (PRE)

The purpose of the Presidential Review and Evaluation is to provide the President with regular support and feedback on performance by identifying areas of strength and opportunities for further professional development. The PRE serves to increase communication between the Board and the President and to clarify the Board's expectations of the President. The PRE also provides the Board an opportunity for reflection on the health of the institution and the leadership demonstrated by the President. Finally, a formal PRE meets the Board's responsibility for the selection and supervision of the President, as set forth in the University of Memphis' Board of Trustees' Bylaws, and ensures the public that he/she is meeting accountability expectations.

**Annual Evaluation**.
The Board of Trustees will evaluate the University President on an annual basis. The evaluation period will be July 1 through June 30.

In June of each year, the President shall provide the Board Chair with a written self-assessment of his or her performance that shall include the following:

1. Progress on meeting any established goals with accompanying data and metrics.
2. Assessment of the strategic directions as described in the university's strategic plan.
3. Assessment of the overall academic quality of the University, including institutional achievements and accomplishments.
4. Assessment of the financial status of the University.
5. Identification of significant institutional challenges faced over the course of the review year that affected progress toward goals and the President's assessment of continuing or future challenges facing the University.
6. Goals proposed by the President for the following year.

At his or her discretion, the Board Chair may interview the senior administrative staff concerning the President's performance, as well as any faculty, staff, student or alumni leaders. The President and the Board Chair will meet to discuss the President's self-assessment, goals for the following evaluation year, along with any other information determined by the Board Chair. The Board Chair will prepare an evaluation of the President as well as a recommendation regarding compensation or other terms of employment that will be shared with the Governance and Finance Committee. In a previously scheduled or a called meeting, the Governance and Finance Committee shall approve or modify the Chair's assessment of the President's performance, the goals for the next evaluation cycle, and take appropriate action on any recommendations regarding compensation or other terms of employment. The Committee's action will then be submitted to the full Board of Trustees for approval or modification. The President shall be present at the meeting of the Governance and Finance Committee and the Board of Trustees to answer questions about his or her performance and the goals presented.

**Comprehensive Evaluation**
Option 1: The Governance and Finance Committee may, at its discretion, perform a more comprehensive performance evaluation of the President, including a 360 degree review. The comprehensive evaluation generally should occur during the second year of the Presidency and every three years thereafter, although the Board reserves the right to alter this schedule at its discretion. When a comprehensive evaluation is performed it is to be incorporated into the annual review process described above, with such adjustments to the schedule as may be necessary.

Option 2: Commencing in 2018 and every third year thereafter, or at such other interval as the Board deems appropriate, the Board shall engage an outside consultant to design and conduct a peer review assessment of the performance of the University, its President and its Board. Such peer review assessment shall be designed to compare the University with other comparable universities that represent the highest performing universities of comparable size and mission. The peer review process shall, among other things, solicit feedback from trustees, faculty, staff, students and the community. The peer review shall be conducted in a manner so that the confidentiality of individuals providing feedback is maintained as much as possible in accordance with the law. The peer review shall supplement, and not replace, the annual performance evaluation of the President.

Option 3: The comprehensive evaluation will be conducted periodically, with the specific timing to be determined by the Board Chair in consultation with the full Board. The comprehensive evaluation process will be overseen by a small group of Board members appointed by the Board Chair and external advisor(s) or consultant(s), if desired by the Board.

The Comprehensive Evaluation builds on the process of Annual Evaluation and in a year in which the Board conducts a comprehensive evaluation, it will replace the Annual Evaluation.

The comprehensive evaluation may involve contracting with an independent consultant who reviews prior annual evaluations key documents, and data about the University and its strategic directions and achievements. It may also include a 360 degree review and/or interviews of key stakeholders. The specific details for a comprehensive evaluation should be determined by the Board committee and the consultant assigned to conduct the comprehensive evaluation.

# 7.2.4. President Emeritus Policy

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance Committee**

Item: **President Emeritus Policy**

Recommendation: Approval

Presented by: Melanie Murry, University Legal Counsel and Acting Board Secretary

**Background:**
Tennessee Code Annotated § 8-36-714 provides for the Board of Trustees (BOT) to grant any former president of the University of Memphis the title of "president emeritus".

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended the approval and adoption of the President Emeritus Policy effective immediately as detailed in the meeting materials.

**University of Memphis Board of Trustees – President Emeritus**

The Board of Trustees of the University of Memphis may grant a retiring or retired University president, who performed outstanding and distinguished service, the title of President Emeritus. The title must be approved by a majority vote of the Board of Trustees. A retiring or retired University president may decline to accept and/or use the title of President Emeritus.

The Board of Trustees and/or the current University President may call upon the President Emeritus to provide counsel or serve in various volunteer roles and/or capacities in support of the University.

The title of President Emeritus confers no entitlement to compensation, benefits, authority, rights, privileges or resources. Presidents Emeriti do not exercise any of the authority or administrative functions associated with holding a leadership position at the University.

The Board of Trustees retains the authority to withdraw a President Emeritus title at its discretion and as it deems necessary and appropriate.

*Effective Date/Revisions:*

_________________________
Tenn. Code Ann. § 8-36-714

# 7.3. Recommendation of Dr. Shirley C. Raines as President Emeritus

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance Committee**

Item: **Dr. Shirley C. Raines as President Emeritus**

Recommendation: Approval

Presented by: Melanie Murry, University Counsel and Acting Board Secretary

**Background:**
Tennessee Code Annotated § 8-36-714 provides that the Board of Trustees (BOT) may grant to any former president of the University of Memphis the title of "president emeritus". Similar to what is provided to faculty who receive the honorary title of "faculty emeritus", the law does not require any compensation for the designation. The President Emeritus policy was provided to the Governance and Finance Committee for approval in its committee meeting. Under TBR policy, Dr. Raines was granted the title of President Emeritus and the University wishes to retain that designation without compensation.

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended approval of granting Dr. Shirley C. Raines the title of President Emeritus pursuant to Board of Trustees policy contained in the meeting materials.

# 7.4. Tuition and Fees

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance**

Item: **Tuition and Fee Recommendation**

Recommendation: Approval

Presented by: M. David Rudd, President

**Background**:

A significant responsibility of the Board of Trustees is to establish tuition and mandatory fees each year. This responsibility is statutorily specified as follows:

Tennessee Higher Education Commission (THEC) has binding in-state undergraduate tuition-setting authority. Institutions may increase in-state undergraduate tuition and fees within the percentage adjustment ranges approved annually by THEC, but shall not exceed the maximum in the ranges. The FY18 tuition increase binding range set by THEC is 0% to 4% for instate tuition (maintenance fee) and mandatory fees combined.

The University is requesting the following:

**Tuition and Fee Increases**

2.6% Undergraduate, Graduate and Law hourly maintenance tuition rate
0% - Out of State premium
0% - Mandatory Fees
0% - Non Mandatory Fees

**Undergraduate UM Global rate of $350 per credit hour** (for four pilot programs)

**Committee Recommendation:**

The Governance and Finance Committee met June 6, 2017, and recommended approval of the proposed tuition and fee recommendations as presented in the meeting materials.


THE UNIVERSITY OF MEMPHIS | Board of Trustees

# Approval of Tuition and Fees

June 6, 2017

# Overview of Current Tuition and Fee Structure

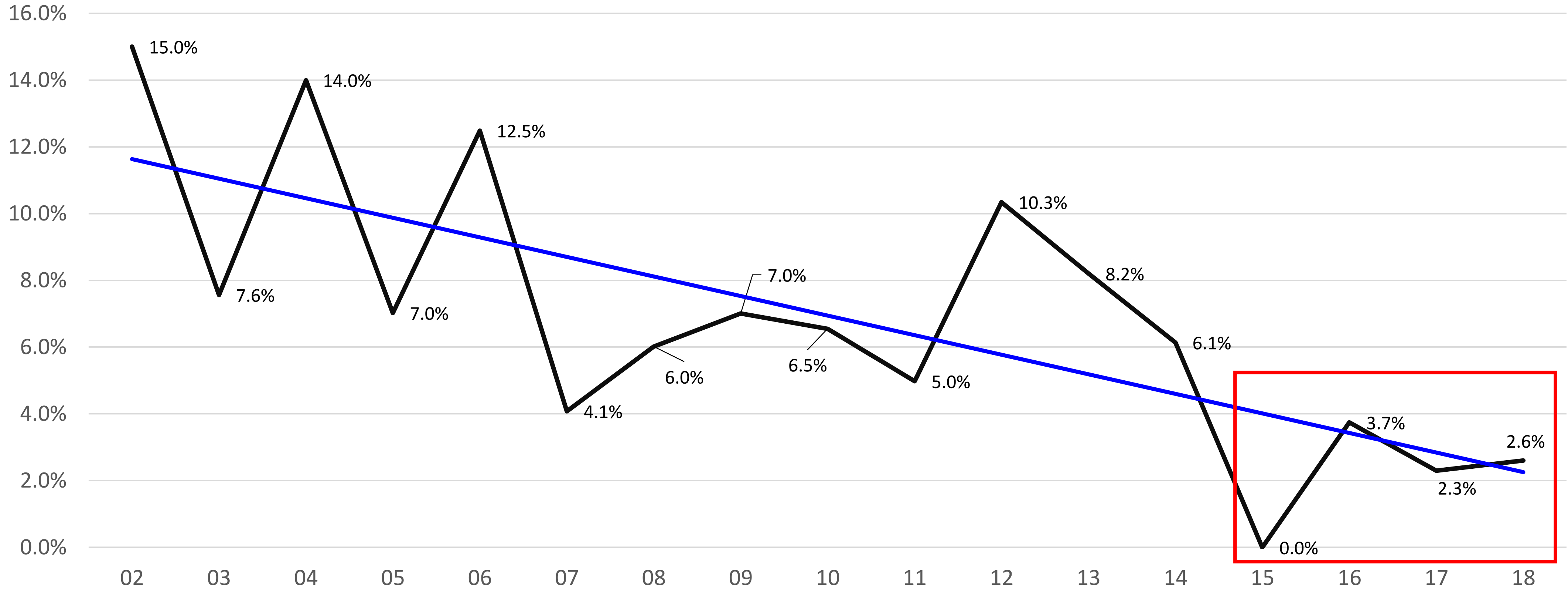
# Tuition and Fee Strategy

- Affordable and competitive tuition
- Provide a quality education in an environment that promotes student success and access
- Maintain revenue at a level sufficient to support critical activities and expanded  compliance requirements
- Recruiting and retaining employees at competitive salary rates.
- Maintaining safety and security with expanding University District development

# Historical Tuition % Change

THE UNIVERSITY OF MEMPHIS Board of Trustees

- 8.0% average increase previous 15 years
- 2.1% average increase over the last 4 years with proposed increase




Assumes student enrolled in 12 credit hours

# Fee Components

- Tuition
  - Charges paid by all students based on credit hours
  - Students pay a flat rate per hour for the first 12 hours of course credit
  - 80% discount for hours over 12

- Out of State (OOS) Tuition
  - Premium rate based on residency

- Mandatory Fees (Program Service Fee)
  - Charges paid by all students supporting student activities, athletics, cultural opportunities and other unique student programs.

- Non Mandatory & Incidental Fees
  - Charges paid only by students enrolled in specific courses or who incur additional expense such as Academic course fees, lab/material fees, or late payment fees.

# Tuition
# &
# Mandatory Fees

# Tuition Decision Framework

Step 1

Funding of Salary Increase

+

Funding for Fixed Cost Increases

+

Funding for Specific  Needs

=

***Incremental Funding Need***

Step 2

Translate this ***Total Funding Need*** into

***Level of Increase Needed in Student Revenues***

Step 3

Translate ***Level of Increase Needed in Student Revenues*** Into

***Hourly Maintenance Fee Rates***

# Funding for 3% Salary Pool

| Cost of 3% Salary Pool * | State Funding | UofM's share | Tuition Increase Needed |
|---|---|---|---|
| $5,400,000 | $3,509,700 | $1,890,300 | 1.2% |

* Cost of 3% Salary Pool includes associated benefit increases

# Indicated Student Revenue Increase

| | Percent | Amount |
|---|---|---|
| Institution Share - 3% Salary Pool | 1.2% | $ 1,900,000 |
| Scholarships & Waivers * | 0.7% | 1,000,000 |
| Strategic Initiatives | 0.7% | 1,050,000 |
| Total | 2.6% | $ 3,950,000 |

* Includes the scholarship and waiver increase associated with a 2.6% tuition increase, as well as investments in need based scholarships

# Proposed Tuition Rates

| Proposed Tuition Rates | Instate Tuition | OOS Tuition | Mandatory Fees | Non-Mandatory Fees |
|---|---|---|---|---|
| Undergraduate Tuition | 2.6% | 0% | 0% | 0% |
| | | | | |
| Graduate Tuition | 2.6% | 0% | 0% | 0% |
| | | | | |
| Law Tuition | 2.6% | 0% | 0% | 0% |

# UM Global Pilot (per credit hour)

THE UNIVERSITY OF MEMPHIS | Board of Trustees

Request approval to continue Pilot rate:

| | |
|---|---|
| Undergraduate UM Global rate | $350 |

- UM Global pilot rate is available to students who are enrolled exclusively in UM online courses
- Pilot includes four undergraduate programs. (Healthcare Leadership, Public Relations, Management, & Nursing)
- This is flat rate pilot program
    - Eliminate $100 per hour online fee
    - Eliminate eRate (reduced out of state tuition for online only students)
    - Similar to programs currently in place at Arizona State & Colorado State
    - Piloting to determine the impact of a simplified reduced rate structure
    - Full rate per credit hour is $420 for instate and $480 for out of state

# Annual Student Impact from tuition rate increase

## Full time students

| Level | Hours | 16/17 Tuition AND Mandatory Fees | Proposed 17/18 Tuition AND Mandatory Fees | Proposed Annual Increase | % |
|---|---|---|---|---|---|
| Undergraduate | 15 | $9,497.00 | $9,701.00 | $204.00 | 2.1% |
| Graduate | 10 | $11,443.00 | $11,703.00 | $260.00 | 2.3% |
| Law | 11 | $18,603.00 | $19,037.00 | $434.00 | 2.3% |
| UG UofM Online | 15 | $12,360.00 | $12,600.00 | $240.00 | 1.9% |
| GR UofM Online | 10 | $11,800.00 | $12,060.00 | $260.00 | 2.2% |
| UG Uof M Global | 15 | $10,500.00 | $10,500.00 | $0.00 | 0.0% |
| UG TN eCampus | 15 | $13,110.00 | $13,440.00 | $330.00 | 2.5% |
| GR TN eCampus | 10 | $12,300.00 | $12,620.00 | $320.00 | 2.6% |

# Tennessee & Funding Peers Tuition and Fees Comparisons

THE UNIVERSITY OF MEMPHIS | Board of Trustees

| FY 2016-17 Rates | | | | | | |
|---|---|---|---|---|---|---|
| **Resident Undergrad** | **Annual Tuition & Fees 2016-17** | **Annual Peer Tuition & Fees 2016-17** | **+/- %** | **TN Rank*** | **Peer Max** | **Peer Min** |
| **APSU** | $7,995 | $8,032 | -0.5% | 8 | $9,516 | $5,775 |
| **ETSU** | $8,599 | $7,667 | 12.1% | 5 | $9,882 | $5,775 |
| **MTSU** | $8,590 | $8,498 | 1.1% | 7 | $11,300 | $6,193 |
| **TSU** | $7,567 | $8,314 | -9.0% | 8 | $10,686 | $5,775 |
| **TTU** | $8,551 | $7,706 | 11.0% | 5 | $9,842 | $5,775 |
| **UM** | $9,497 | $10,197 | -6.9% | 10 | $13,130 | $6,410 |
| **UTC** | $8,544 | $7,429 | 15.0% | 3 | $9,516 | $5,775 |
| **UTK** | $12,668 | $10,632 | 19.1% | 3 | $15,722 | $6,380 |
| **UTM** | $8,783 | $9,109 | -3.6% | 7 | $14,890 | $6,951 |

Comparison to TN public institutions as well as the UofM THEC funding peers

*TN Rank: Institutions ranking between 8 and 16 are more affordable compared to their peers

Source: THEC Public data

# 7.5. Housing Rates

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance**

Item: **Housing Rates Recommendation**

Recommendation: Approval

Presented by**:** Jeannie Smith, Interim Vice President Business and Finance

**Background**:
Student housing is a breakeven auxiliary operation. To cover increasing operating costs and future debt payments, we are proposing a 5% increase in housing rates.

The current Contract Cancellation Rate is $450. To improve retention rates in the residence halls from the Fall to Spring term, we are requesting a $300 increase in the Contract Cancellation Rate.

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended approval of a 5% housing rate increase and a $300 contract cancellation rate increase.


THE UNIVERSITY OF MEMPHIS | Board of Trustees

# Approval of Student Housing Rate

June 6, 2017

# Student Housing

- Housing is a stand alone Auxiliary
- $17M Budget
- Revenues fund:
  - 100% of operating costs
  - All debt service on $94M in bonds
  - All facilities maintenance and repairs
  - $500k annual allocation toward University services provided (FY16)
  - 5% Renewal and Replacement annual contribution
  - Working Capital and Contingency reserves

# Proposed Student Housing Rate Changes

THE UNIVERSITY OF MEMPHIS | Board of Trustees

**A 5% rate increase is proposed:**

**To cover the increasing operating costs and future debt payments.**

| Housing Rate | Current (per semester) | Proposed (per semester) | Increase (per semester) | Estimated Annual Incremental Revenue |
|---|---|---|---|---|
| Residence Halls | \$2,110 - \$3,120 | \$2,220 - \$3,280 | \$110 - \$160 | \$584,000 |
| Apartments | \$3,120 - \$4,400 | \$3,280 - \$4,620 | \$160 - \$220 | \$ 215,700 |
| Summer Sessions | \$850 - \$1,150 | \$890 - \$1,210 | \$40 - \$60 | \$ 10,000 |

| Prior Year Rate Increases | |
|---|---|
| FY 2017 | 3% |
| FY 2016 | 1% to 4% |
| FY 2015 | 0% to 2% |

# Student Housing

- University of Memphis does not have a mandatory on campus living requirement. Rate increases impact the 2,400 or 12% of University students choosing to live on campus.

- Housing operations are performing at a high level:
  - 95% Fall Occupancy
  - 87% Spring Occupancy

- We are competitive with off campus facilities

# Student Housing

- What we offer that off campus housing does not:
  - Professional full time staff members in each building
  - 45 undergraduate student Resident Advisors
  - Front desks in most buildings to aid with safety & security as well as customer service. Carpenter and Graduate Student Family Housing have gated access. (Over 100 undergraduate student desk assistants are employed.)
  - Programming opportunities to aid in personal, academic and community development
  - Structured faculty interactions through Living Learning Community collaborations & Resident Advisor programming
  - Evening & weekend opportunities for engagement and resources

# Proposed Contract Cancellation Rate Increase

THE UNIVERSITY OF MEMPHIS | Board of Trustees

| Housing Rate | Current | Proposed | Proposed Increase | Estimated Revenue Generated |
|---|---|---|---|---|
| Contract Cancellation Rate | $450 | $750 | $300 | $15,000 |

| Prior Year Rate Increases | |
|---|---|
| FY 2015 | $150 |

**Justification**:

Increase Rate to cancel spring portion of academic year housing contract. This change is focused on **improving retention** in residence halls for spring term.

# Proposed Student Housing Rate Changes

## Summary of Proposed Changes:

| Housing Rate | Current (per semester) | Proposed (per semester) | Increase (per semester) | Estimated Annual Incremental Revenue Generated |
|---|---|---|---|---|
| Residence Halls | $2,110 - $3,120 | $2,220 - $3,280 | $110 - $160 | $584,000 |
| Apartments | $3,120 - $4,400 | $3,280 - $4,620 | $160 - $220 | $ 215,700 |
| Summer Sessions | $850 - $1,150 | $890 - $1,210 | $40 - $60 | $ 10,000 |
| | | | | |
| Contract Cancellation Rate | $450 | $750 | $300 | $15,000 |
| | | | Total Revenue | $824,700 |

# Questions/Comments

# 7.6. Final Operating Budget for Fiscal Year 2017 and Fiscal Year 2018

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance**

Item: **FY2017-18 Proposed Budget and FY2016-17 Estimated Budget Recommendation**

Recommendation: Approval

Presented by**:** Jeannie Smith, Interim Vice President Business and Finance

**Background**:

Budget Control Policy (UM 1768) recognizes budgeting as the process whereby the plans of an institution are translated into an itemized, authorized, and systematic plan of operation, expressed in dollars, for a given period. This policy also recognizes that a budget is a plan and that circumstances may necessitate revisions or changes from time to time. In view of this, we will submit budgets for approval three times each fiscal year. At this time, both the FY2017-18 Proposed budget and FY2016-17 Estimated budget are presented for consideration.

The *Proposed Budget* is prepared in the spring for implementation each fiscal year on July 1. This budget is based on the level of state funds recommended in the Governor's proposed budget, as well as early estimates of factors such as enrollment projections, proposed tuition increases and research activities. This budget is considered the University's base (recurring) budget and is a balanced budget (revenues = expenditures). The *Proposed Budget* is submitted to the Board for approval prior to the start of the subsequent fiscal year.

The Proposed budget was developed with the following assumptions:

- State Appropriations as recommended in the Governor's Budget
- 2.5% tuition increase (proposed tuition increase of 2.6% will be reflected in revised budget if approved)
- Flat enrollment based on FY2017 enrollment levels
- Athletic support limit of $8,425,800 (equivalent to prior year approved TBR limit)
- 3% salary increase
- 5% Residence Life rate increase

The final budget submitted for each fiscal year is the *Estimated Budget.* This budget includes carryforward balances from prior years that represents available resources at the departmental level. Although these funds are available, we do not anticipate that all resources will be spent in the current fiscal year. The Estimated budget also includes final adjustments to the current year budget and is the budget against which final year-end actual amounts are compared. It is prepared, submitted, and considered by the Board at the same time as the *Proposed Budget* for the upcoming fiscal year.

**Committee Recommendation:**

The Governance and Finance Committee met June 6, 2017, and recommended approval of the FY2016-17 Estimated Budget and the FY2017-18 Proposed Budget and assumptions as presented in the meeting materials.

# FY2017-18 Proposed Budget

# and

# FY2016-17 Estimated Budget

# Executive Summary

The ***Proposed Budget*** is prepared in the spring for implementation each fiscal year on July 1. This budget is based on the level of state funds recommended in the Governor's proposed budget, as well as early estimates of factors such as enrollment projections, proposed tuition increases and research activities. This budget is considered the University's base (recurring) budget and is a balanced budget (revenues = expenditures). The ***Proposed Budget*** is submitted to the Board for approval prior to the start of the subsequent fiscal year.

The FY18 Proposed budget was developed with the following assumptions:

- State Appropriations as recommended in the Governor's Budget
- 2.5% tuition increase (proposed tuition increase of 2.6% will be reflected in revised budget if approved)
- Flat enrollment based on FY2017 enrollment levels
- Athletic support limit of $8,425,800 (equivalent to prior year approved TBR limit)
- 3% salary increase
- 5% Residence Life rate increase

The University of Memphis FY 2018 proposed budget revenues total $499.1 million. This total reflects revenue increases of $19 M from the FY2017 proposed budget.

**Total Revenues by Fund Type**

| Proposed Budget Revenues (Millions) | 2017 | 2018 | Change |
|---|---|---|---|
| Educational & General (E&G) * | $347.2 | $362.2 | $15.0 |
| Auxiliary Units | $24.3 | $26.5 | $2.2 |
| Total FY18 Proposed Unrestricted Budget | $371.5 | $388.7 | $17.2 |
| Restricted (Gifts, Grants & Contracts) | $108.6 | $110.4 | $1.8 |
| Total Proposed Unrestricted & Restricted Budget | $480.10 | $499.1 | $19.0 |

* E&G revenues include Athletics
Restricted Budget includes $68M in Financial Aid (primarily Hope & Pell)

<u>Unrestricted E&G Revenues</u>

Unrestricted Education and General funds (E&G) support the core operations of the university: instruction, research, public service, academic support, student services, institutional support, facilities operations, maintenance, scholarships, and fellowships. These operations are funded primarily through tuition and student fees, state appropriations, and other sources including gifts, grants and contracts, sales and services, and other miscellaneous revenues.

The E&G revenue increase is a result of:

$3.8M Tuition rate increase
$4.5M Enrollment increase from Fall 2016 (expected to be sustained)
$6.7M State appropriation increase

Following is a detail of the FY2018 state appropriation allocation for the University of Memphis:

**FY2018 State Appropriations**

| | | |
|---|---|---|
| **FY2018 Recurring State Appropriations** | | |
| State Appropriation - Operating Increase | | 2,731,700 |
| State share - 3% Salary Pool | | 3,509,700 |
| Funding for Health Insurance Increases | | 1,157,500 |
| Outcomes Formula Adjustment | | (736,800) |
| **Total Net Recurring State Appropriation Changes** | **$** | **6,662,100** |
| | | |
| **FY18 Commitments** | | |
| State share 3% Salary Pool | | (3,509,700) |
| Health Insurance cost increases | | (1,157,500) |
| **Total Discretionary Appropriations after commitments** | **$** | **1,994,900** |
| | | |
| **Capital Maintenance - One Time State Appropriations** | | |
| Roof Replacements | | 3,500,000 |
| Academic Buildings HVAC Updates | | 10,500,000 |
| **Total One Time State Appropriations** | **$** | **14,000,000** |
| | | |
| **Capital Outlay** | | |
| **Funding for the Music building** ($29M State & $15M Other) | **$** | **44,000,000** |

The proposed expenditure budget reflects E & G revenue growth as follows:

- $5.4M 3% Salary Pool was prorated across functions based on salary distribution
- $1.1M Health Insurance increase was prorated across functions based on salary distribution
- $4.5M Revenue fluctuation contingency
- $1.0M Scholarship and waiver increase associated with tuition increase
- $3.0M Strategic investment funds primarily budgeted in Instruction until allocation decisions finalized

Regarding strategic investment funds, the University community participated in a robust budget development process in the spring in order to identify critical needs and investment opportunities to further the University's mission. The governance structure of the new Strategic Resource Investment (SRI) budget model ensured university wide collaboration, transparency and alignment of resources with strategic initiatives and priorities. The SRI governance teams submitted to the Leadership Team, prioritized requests generated from the administrative and facility areas, while the colleges presented investment opportunities directly to the SRI Leadership team. At this point, no allocation decisions have been made regarding the investment of funds.

<u>Auxiliaries & Restricted</u>
Auxiliaries are self-supporting enterprises, which furnish services to students, faculty, and staff such as housing, bookstore, parking and food services. The auxiliary budget reflects anticipated housing occupancy and rate increases.

Restricted funds must be used in accordance with purposes established by an external party, primarily grants, contracts, gift funds and endowments. The restricted budget increase is related to anticipated grant, contract, and federal financial aid activity.

**Estimated (Final) Budget**

The final budget submitted for each fiscal year is the ***Estimated Budget.*** This budget includes carryforward balances from prior years that represents available resources at the departmental level. Although these funds are available, we do not anticipate that all resources will be spent in the current fiscal year. The Estimated budget also includes final adjustments to the current year budget and is the budget against which final year-end actual amounts are compared. It is prepared, submitted, and considered by the Board at the same time as the ***Proposed Budget*** for the upcoming fiscal year.

The FY2017 estimated operating budget reflects changes that have occurred since the revised budget in the fall. Estimated total revenues are $492.1 M, a 1.5% increase over the revised budget and the distribution of the current year increase is:

- $2.9M Unrestricted Educational and General
- $ -71k Unrestricted Auxiliary
- $4.6M Restricted

Educational and General (E&G) revenue increase is primarily a result of increased activities in Conference & Institutes, Campus Internship Programs, International Exchange Programs, UMFoundation Support to campus departments and an increase in Athletic revenue for the Football Bowl game which was budgeted in the latter half of the year. Auxiliaries had a slight decline in parking revenue and the change to restricted revenues was from increased Hope and Pell scholarship revenue and increased Grants/Restricted activity based on year to date actuals.

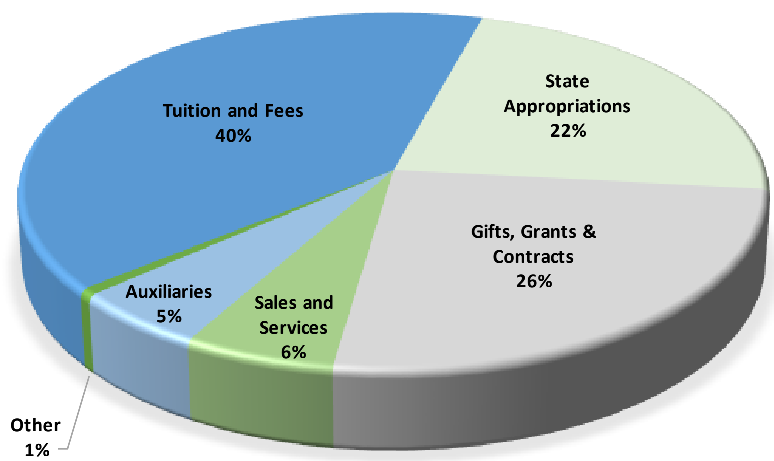
# Proposed 2017-18 Operating Budget

# University of Memphis
## Comparison FY2017 and FY2018 Proposed Revenue Budget

### **FY 2018 Proposed** Unrestricted and Restricted **Revenue**

**University of Memphis**
**FY2017-18 Proposed Revenue Budget**
**Unrestricted and Restricted**
**(In Millions)**

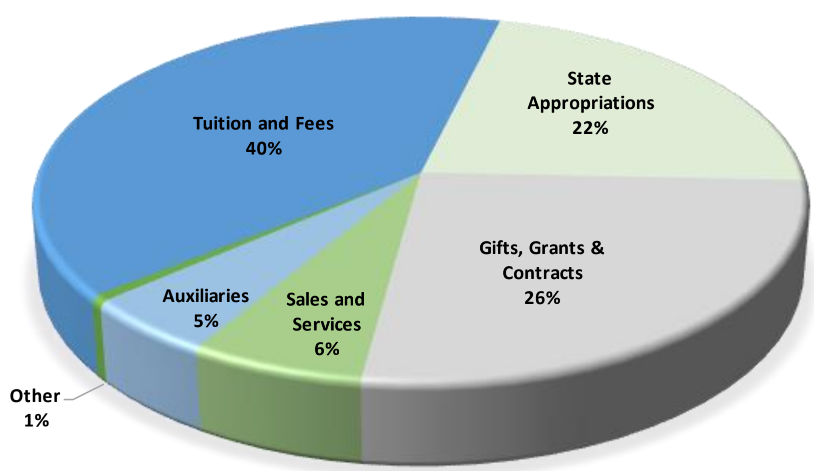
| | | |
|---|---|---|
| Tuition and Fees | $ | 200.3 |
| State Appropriations | | 111.9 |
| Gifts, Grants & Contracts | | 127.8 |
| Sales and Services | | 29.6 |
| Auxiliaries | | 26.5 |
| Other | | 3.0 |
| Total Revenue | $ | 499.1 |




### **FY 2017 Proposed** Unrestricted and Restricted **Revenue**

**University of Memphis**
**FY2016-17 Proposed Revenue Budget**
**Unrestricted & Restricted**
**(in Millions)**

| | | |
|---|---|---|
| Tuition and Fees | $ | 190.3 |
| State Appropriations | | 105.0 |
| Gifts, Grants & Contracts | | 127.1 |
| Sales and Services | | 30.8 |
| Auxiliaries | | 24.3 |
| Other | | 2.6 |
| Total Revenue | $ | 480.1 |



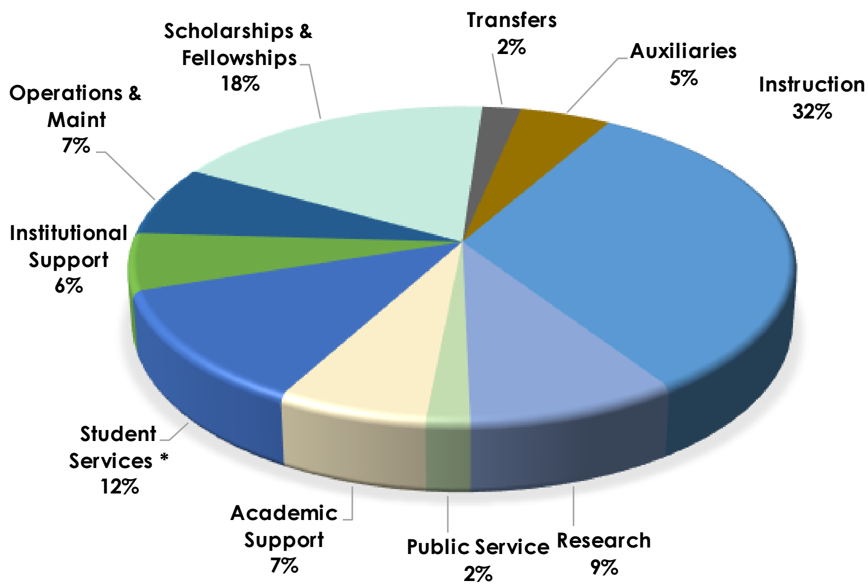
# University of Memphis

## Comparison FY2017 and FY2018 Proposed Expense Budget

| University of Memphis<br>FY2017-18 Proposed Expense Budget<br>Unrestricted and Restricted<br>(In Millions) | |
|---|---|
| Instruction | $ 166.2 |
| Research | 44.2 |
| Public Service | 11.1 |
| Academic Support | 31.4 |
| Student Services | 58.1 |
| Institutional Support | 29.1 |
| Operations & Maint | 35.9 |
| Scholarships & Fellowships | 86.6 |
| Transfers | 19.5 |
| Auxiliaries | 17.0 |
| Total Expense | $ 499.1 |

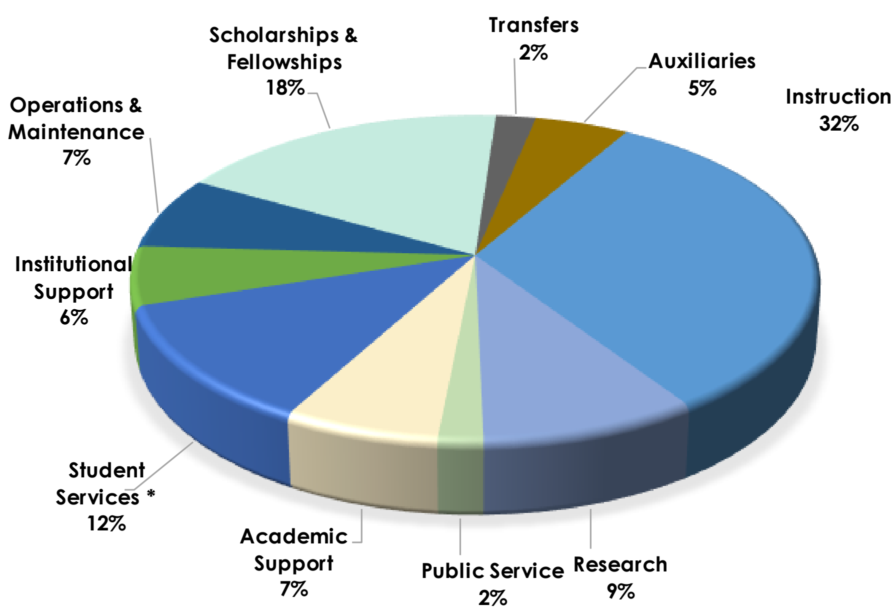
* Athletics is included in Student Services function

**FY 2018 Proposed** Unrestricted and Restricted **Expenses**




**FY 2017 Proposed** Unrestricted and Restricted **Expenses**

| University of Memphis<br>FY2016-17 Proposed Expense Budget<br>Unrestricted & Restricted<br>(in Millions) | |
|---|---|
| Instruction | $ 155.0 |
| Research | 43.4 |
| Public Service | 9.0 |
| Academic Support | 31.3 |
| Student Services | 57.7 |
| Institutional Support | 28.1 |
| Operations & Maint | 34.6 |
| Scholarships & Fellowships | 86.3 |
| Transfers | 10.4 |
| Auxiliaries | 24.3 |
| Total Expense | $ 480.1 |




* Athletics is included in Student Services function

# University of Memphis
## FY17 & FY18 Revenue and Expenditures Proposed Budget

| | Proposed FY2017 | Proposed FY2018 | Change Amount | Change % |
|---|---|---|---|---|
| Revenues | | | | |
| Educational & General | | | | |
| Tuition and Fees | $ 190,286,200 | $ 200,285,800 | $ 9,999,600 | 5.3% |
| State Appropriations | 102,249,100 | 109,037,700 | 6,788,600 | 6.6% |
| Unrestricted Grants and Contracts | 23,541,500 | 22,978,600 | (562,900) | -2.4% |
| Sales and Services | 30,815,700 | 29,621,600 | (1,194,100) | -3.9% |
| Other | 284,000 | 284,000 | - | 0.0% |
| Total Educational & General | $ 347,176,500 | $ 362,207,700 | $ 15,031,200 | 4.3% |
| | | | | |
| Auxiliary | $ 24,292,800 | $ 26,496,500 | $ 2,203,700 | 9.1% |
| Restricted | 108,598,800 | 110,423,200 | 1,824,400 | 1.7% |
| Total Revenues | $ 480,068,100 | $ 499,127,400 | $ 19,059,300 | 4.0% |
| | | | | |
| Expenditures and Transfers | | | | |
| Educational & General | | | | |
| Instruction | $ 149,506,600 | $ 161,434,400 | $ 11,927,800 | 8.0% |
| Research | 13,401,200 | 13,787,000 | 385,800 | 2.9% |
| Public Service | 5,665,400 | 6,051,600 | 386,200 | 6.8% |
| Academic Support | 30,959,500 | 30,972,800 | 13,300 | 0.0% |
| Student Services | 56,996,900 | 57,136,200 | 139,300 | 0.2% |
| Institutional Support | 27,984,000 | 29,041,500 | 1,057,500 | 3.8% |
| Operation & Maintenance | 34,564,300 | 35,937,300 | 1,373,000 | 4.0% |
| Scholarships and Fellowships | 17,686,800 | 17,873,400 | 186,600 | 1.1% |
| Transfers | 10,411,800 | 9,973,500 | (438,300) | -4.2% |
| Total Educational & General | $ 347,176,500 | $ 362,207,700 | $ 15,031,200 | 4.3% |
| | | | | |
| Auxiliary | $ 24,292,800 | $ 26,496,500 | $ 2,203,700 | 9.1% |
| Restricted | 108,598,800 | 110,423,200 | 1,824,400 | 1.7% |
| Total Expenditures and Transfers | $ 480,068,100 | $ 499,127,400 | $ 19,059,300 | 4.0% |

# University of Memphis
## Recap of Proposed Revenue & Expenditure Changes

**Revenue Change from FY17 Proposed to FY18 Proposed Budget**

| | | |
|---|---|---|
| Tuition and Fees | 9,999,600 | FY18 2.5% tuition increase, FY17 enrollment increase, component of the FY17 tuition increase not in previous proposed budget, and increase in online fee revenues |
| State Appropriations | 6,788,600 | State Appropriation Increase for operations, 3% salary pool & health insurance increases |
| Unrestricted Grants and Contracts | (562,900) | Reduction in unrestricted contract activity & Indirect Cost Recovery revenue decline |
| Sales and Services | (1,194,100) | Decline in athletic ticket sales, Conference Event Services revenues and Speech & Hearing Clinic revenue |
| Auxiliary | 2,203,700 | Student housing proposed fee increases, meal plans & occupancy Increase |
| Restricted Grants and Contracts | 1,824,400 | 3% salary pool, associated benefits and anticipated increase in Grants/Restricted Activity |
| Total Revenue Change | $ 19,059,300 | |

**Expenditure Change from FY17 Proposed to FY18 Proposed Budget**

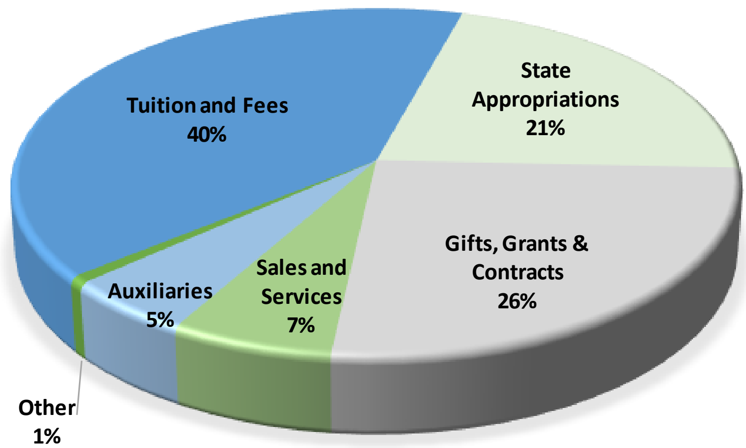
| | | |
|---|---|---|
| Instruction | 11,927,800 | Distribution of the 3% Salary Pool & benefit increases, FY17 allocations for Instruction, expenses funded from college online fee revenues, revenue contingency, and unallocated strategic investment funds from the Tuition increase & State Appropriations yet to be allocated |
| Research | 385,800 | Distribution of the 3% Salary Pool & benefit increases and computer allocation realignment |
| Public Service | 386,200 | Distribution of the 3% Salary Pool & benefit increases, computer allocation realignment, and reduction in Speech and Hearing operating budget |
| Academic Support | 13,300 | Net of the distribution of the 3% Salary Pool & benefit increases, computer allocation alignment, decrease in operating due to departmental revenue declines and budget reallocations to Instruction |
| Student Services | 139,300 | Net impact of the distribution of the 3% Salary Pool & benefit increases, computer allocation realignment, and reduced Athletics operating budget |
| Institutional Support | 1,057,500 | Distribution of the 3% Salary Pool & benefit increases, budget allocations for technology, enterprise software costs and operations cost increases (New Parent program and background checks), computer allocation realignment, and contingency for anticipated technology infrastructure costs in FY18 |
| Operation & Maintenance | 1,373,000 | Distribution of the 3% Salary Pool & benefit increases, budget allocations for additional Police Officers, Fire Safety Compliance requirement and contingency for anticipated infrastructure needs |
| Scholarships and Fellowships | 186,600 | Net of contingency for associated scholarship increases due to proposed tuition increase and reallocation of state waiver funds |
| Transfers | (438,300) | Change in reporting to reflect Auxiliary support for ITS & Student Affairs and slight decrease in Debt Service fee revenue |
| Auxiliary | 2,203,700 | Student housing fee increases, meal plans & occupancy Increases |
| Restricted Grants and Contracts | 1,824,400 | 3% salary pool and benefits and anticipated increase in grants/restricted activity |
| Total Expenditure Change | 19,059,300 | |

# Estimated (Final)
# 2016-17
# Operating Budget

# University of Memphis
## Comparison FY2017 Revised & FY2017 Estimated Revenue Budget

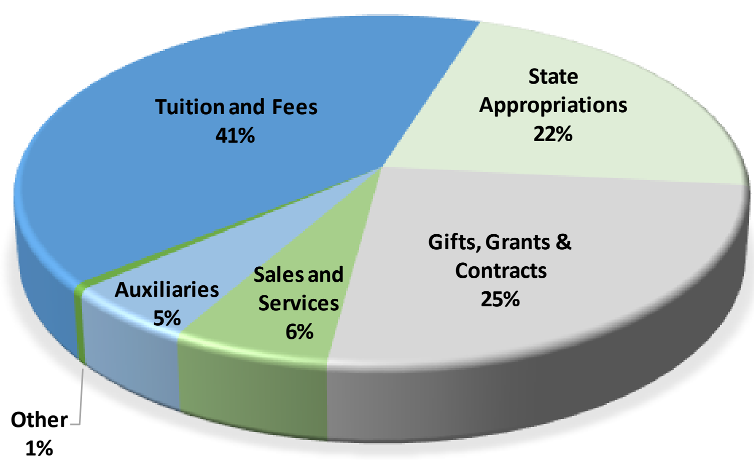
| University of Memphis FY2016-17 Estimated Revenue Budget Unrestricted and Restricted (In Millions) | | |
|---|---|---|
| Tuition and Fees | $ | 197.6 |
| State Appropriations | | 105.2 |
| Gifts, Grants & Contracts | | 128.4 |
| Sales and Services | | 32.0 |
| Auxiliaries | | 25.7 |
| Other | | 3.3 |
| Total Revenue | $ | 492.2 |

**FY 2017 Estimated** Unrestricted and Restricted **Revenues**




| University of Memphis FY2016-17 Revised Revenue Budget Unrestricted and Restricted (In Millions) | | |
|---|---|---|
| Tuition and Fees | $ | 197.6 |
| State Appropriations | | 105.2 |
| Gifts, Grants & Contracts | | 123.5 |
| Sales and Services | | 30.2 |
| Auxiliaries | | 25.7 |
| Other | | 2.5 |
| Total Revenue | $ | 484.7 |

**FY 2017 Revised** Unrestricted and Restricted **Revenues**



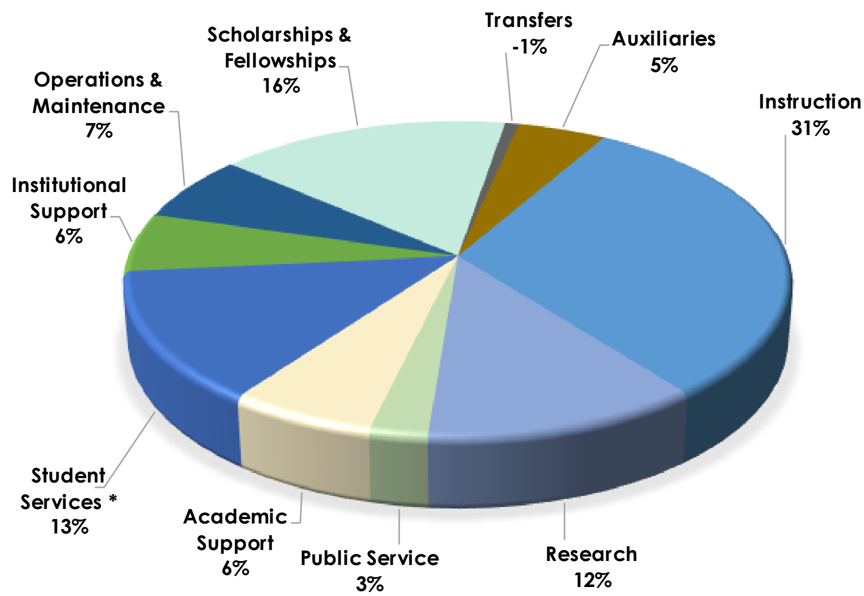
# University of Memphis

## Comparison FY2017 Revised & FY2017 Estimated Expense Budget

### FY 2017 Estimated Unrestricted and Restricted Expenses

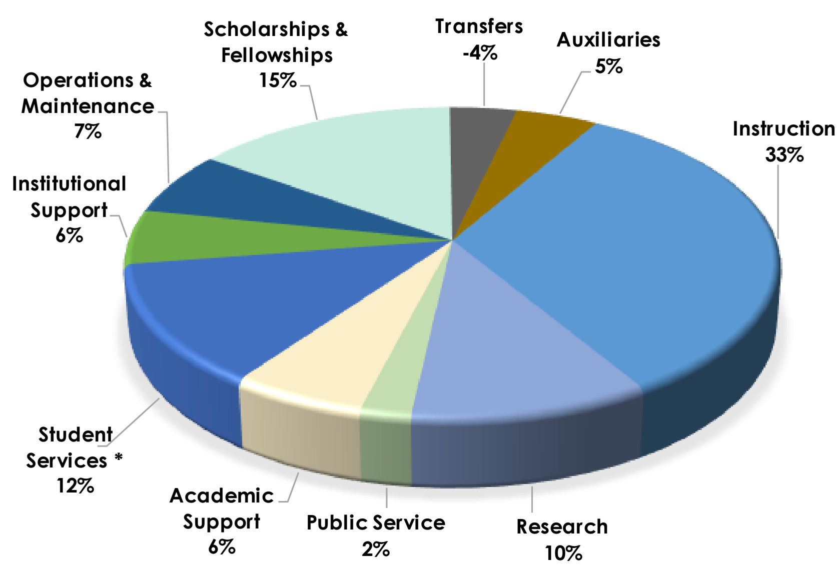
| University of Memphis<br>FY2016-17 Estimated Expense Budget<br>Unrestricted & Restricted<br>(in Millions) | |
|---|---|
| Instruction | $ 162.3 |
| Research | 61.5 |
| Public Service | 13.0 |
| Academic Support | 32.9 |
| Student Services | 69.8 |
| Institutional Support | 31.5 |
| Operations & Maint | 35.7 |
| Scholarships & Fellowships | 85.0 |
| Transfers | (4.1) |
| Auxiliaries | 25.7 |
| Total Expense | $ 513.3 |

* Athletics is included in Student Services function




### FY 2017 Revised Unrestricted and Restricted Expenses

| University of Memphis<br>FY2016-17 Revised Expense Budget<br>Unrestricted & Restricted<br>(in Millions) | |
|---|---|
| Instruction | $ 180.9 |
| Research | 57.3 |
| Public Service | 12.3 |
| Academic Support | 32.5 |
| Student Services | 69.1 |
| Institutional Support | 31.2 |
| Operations & Maint | 36.3 |
| Scholarships & Fellowships | 82.3 |
| Transfers | (20.8) |
| Auxiliaries | 25.7 |
| Total Expense | $ 506.8 |




* Athletics is included in Student Services function

# University of Memphis
## Revenue and Expenditures Revised FY17 to Estimated FY17 Budget

| | Revised FY2017 | Estimated FY2017 | Variance Amount | Variance % |
|---|---|---|---|---|
| Revenues | | | | |
| Educational & General | | | | |
| Tuition and Fees | $ 197,600,550 | $ 197,594,650 | $ (5,900) | 0.0% |
| State Appropriations | 102,422,500 | 102,422,500 | - | 0.0% |
| Unrestricted Grants and Contracts | 23,038,211 | 23,812,078 | 773,867 | 3.4% |
| Sales and Services | 30,201,765 | 32,019,863 | 1,818,098 | 6.0% |
| Other | 284,000 | 584,000 | 300,000 | 105.6% |
| Total Educational & General | $ 353,547,026 | $ 356,433,091 | $ 2,886,065 | 0.8% |
| Auxiliary | $ 25,728,200 | $ 25,657,000 | $ (71,200) | -0.3% |
| Restricted | 105,456,600 | 110,091,700 | 4,635,100 | 4.4% |
| Total Revenues | $ 484,731,826 | $ 492,181,791 | $ 7,449,965 | 1.5% |
| Expenditures and Transfers | | | | |
| Educational & General | | | | |
| Instruction | $ 176,393,400 | $ 157,525,200 | $ (18,868,200) | -10.7% |
| Research | 27,696,300 | 31,111,000 | 3,414,700 | 12.3% |
| Public Service | 7,318,500 | 7,933,500 | 615,000 | 8.4% |
| Academic Support | 32,064,100 | 32,434,900 | 370,800 | 1.2% |
| Student Services | 68,185,100 | 68,813,300 | 628,200 | 0.9% |
| Institutional Support | 31,151,400 | 31,426,800 | 275,400 | 0.9% |
| Operation & Maintenance | 36,348,600 | 35,738,200 | (610,400) | -1.7% |
| Scholarships and Fellowships | 17,257,000 | 16,624,800 | (632,200) | -3.7% |
| Transfers | (20,774,777) | (4,078,385) | 16,696,392 | -80.4% |
| Total Educational & General | $ 375,639,623 | $ 377,529,315 | $ 1,889,692 | 0.5% |
| Auxiliary | $ 25,728,200 | $ 25,657,000 | $ (71,200) | -0.3% |
| Restricted | 105,456,600 | 110,091,700 | 4,635,100 | 4.4% |
| Total Expenditures and Transfers | $ 506,824,423 | $ 513,278,015 | $ 6,453,592 | 1.3% |

*Note: The Revised and Estimated budget include prior year carry forward balances*

# University of Memphis
## Recap of Revised to Estimated Budget Revenue & Expenditure Changes

**Revenue Change from FY17 Revised to FY17 Estimated Budget**

| | | |
|---|---|---|
| Tuition and Fees | (5,900) | Net current year tuition and fee changes |
| Unrestricted Grants and Contracts | 773,867 | Residual balances on fixed fee awards and UMFoundation support to campus departments |
| Sales and Services | 1,818,098 | Increased activities in Conference & Institutes, Campus Internship Programs, International Exchange Programs budgeted in the later half of the year, and increase in Athletic revenue for football bowl game |
| Other | 300,000 | Increase in investment income |
| Auxiliary | (71,200) | Decrease in Parking revenue |
| Restricted Grants and Contracts | 4,635,100 | Increase in Hope & Pell scholarship revenue and estimated increase in grants/restricted activity based on year to date actuals |
| **Total Revenue Change** | **7,449,965** | |

**Expenditure Change from FY17 Revised to FY17 Estimated Budget**

| | | |
|---|---|---|
| Instruction | (18,868,200) | Budget allocations distributed after the Revised budget and transfer of anticipated available year end central funds to non current Plant funds for future year strategic investments |
| Research | 3,414,700 | Budget allocations for research initiatives, budget shifts in faculty salary splits from instruction to research, one-time cost shares and startup commitments |
| Public Service | 615,000 | Budget redistributions after Revised Budget for Center of Excellence MD2k activities and UofM Hosting NCUR (National Conference Undergraduate Research) |
| Academic Support | 370,800 | Shift of Academic Affairs staff salary savings after the Revised Budget |
| Student Services | 628,200 | Contingency funds for Student Services function |
| Institutional Support | 275,400 | Budget allocations distributed after the Revised Budget: legal contingency, allowance for bad debts, and marketing funds for UM Global |
| Operation & Maintenance | (610,400) | Transfer utility savings to plant funds for Performance Contract Debt and Utility Fluctuation / Energy Conservation reserve |
| Scholarships and Fellowships | (632,200) | Adjusted Scholarships to projected award levels |
| Transfers | 16,696,392 | Transfer of anticipated available year end central funds to non current plant funds for future year strategic investments |
| Auxiliary | (71,200) | Decrease in Parking operating budget associated with revenue decrease |
| Restricted Grants and Contracts | 4,635,100 | Increase in Hope & Pell scholarship activity and estimated Increase in grants/restricted activity based on year to date actuals |
| **Total Expenditure Change** | **6,453,592** | |

# Terminology

**Unrestricted funds**

The University retains full control over the use of these funds in achieving any of its authorized institutional purposes. (E.g. Tuition and fees, State appropriations and Auxiliary operations) Unrestricted is comprised of Educational & General (E&G) funds and Auxiliary funds.

**Educational & General (E&G)**

Core functions of the University necessary to support the teaching, research, and public service missions of the University, generally reported by both functional classifications and natural classifications. E&G includes operating budgets funded primarily by State Appropriations and Tuition & Fees. The E & G budget is what many refer to as the University Operating Budget.

**Auxiliary Enterprises**

Self-supporting (break-even) enterprises that furnish services to students, faculty, and staff. Examples include housing, parking, and food services.

**Restricted funds**

Externally restricted funds that may be used only for the purposes established by the provider (e.g. grants, contracts, centers of excellence, and chairs of excellence)

**Functional Classifications** (used in reporting expenditures)

- Instruction
- Research
- Public Service
- Academic Support
- Student Services
- Institutional Support
- Operation & Maintenance of Plant
- Scholarships and Fellowships

**Natural Classifications**

- Salaries
- Benefits
- Travel
- Operating
- Capital Outlay
- Transfers to Other Funds

**Proposed/Original/July Budget**

The Proposed Budget is prepared in the spring, for the upcoming fiscal year beginning July 1. This budget is considered the University's base recurring budget and is a balanced budget (revenues = expenses). The Proposed Budget is presented to the Board for consideration at the final board meeting of the fiscal year.

**Revised Budget**

The Revised budget is a revision to the Proposed Budget. It is prepared as of October 31 and reflects actual fall enrollments, other estimated cost and revenue adjustments and prior year closing balances. The Revised Budget includes carryforward balances from the prior year that represent available resources. These balances are budgeted at the departmental level. The Board considers the Revised Budget at the final board meeting of the calendar year.

**Estimated Budget (Final)**

The Estimated Budget is the final budget submitted for the current year operations. It is submitted at the final Board meeting of the fiscal year, at the same time as the Proposed Budget for the upcoming fiscal year. The estimated budget includes carryforward balances from the prior year that represent available resources at the departmental level. Although these funds are available, we do not anticipate that all resources will be spent in the current fiscal year. This is the final approved budget for the University and therefore contains the control totals against which final year-end amounts are compared.

# Financial Reporting

**Annual Financial Report**

- Based on Governmental Accounting Standards Board (GASB) with a Fiscal Year End of June 30th
- Includes University of Memphis Foundation (UMF) as a component unit. UMF is a separate legal entity, audited by an external audit firm.
- Completed by September/October each year
- Included in TN State Consolidated Financials

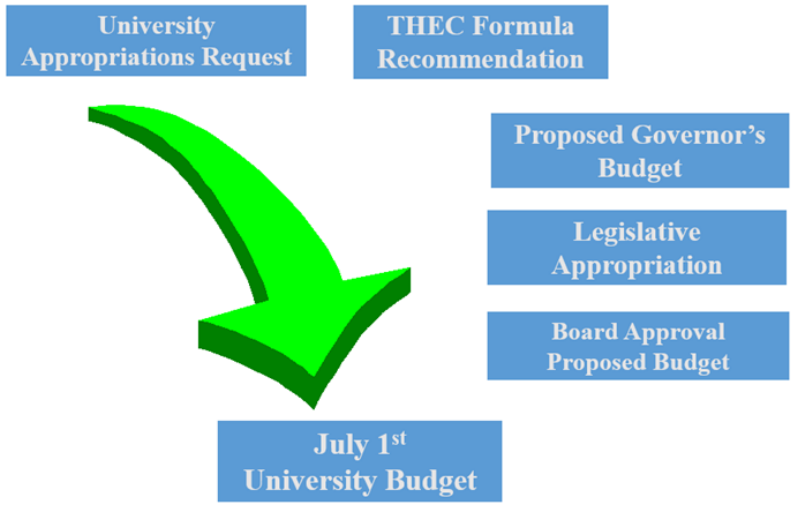
**Audit**

- Performed annually by the TN Comptroller of the Treasury (Division of State Audit)
- The University is included in the State A-133 Audit (non-federal entities expending federal funds)
- Includes the NCAA compliance audit
- Timeframe: May - January
- Report Released: Spring
- FY2015-2016 University of Memphis Audit Report
- FY2015-2016 State of Tennessee A-133 Audit

# University of Memphis Operating Budget Process

The University's budget process must integrate state policy as well as University of Memphis Board of Trustee policy and University strategic goals and objectives. This process begins in the fall of each year and includes a number of steps and constituents.

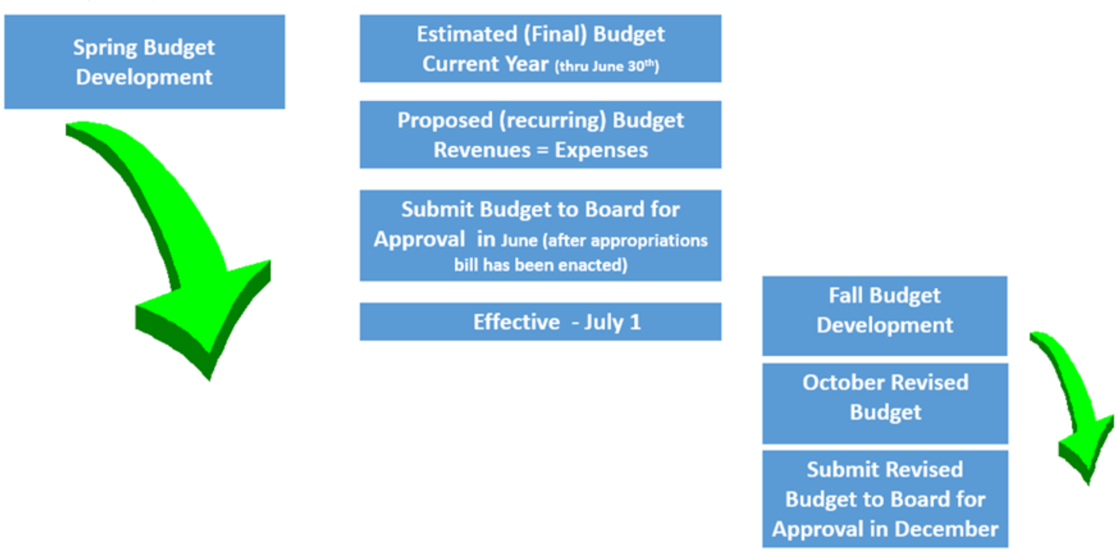
**State Funding Cycle**




Each fall, the Tennessee Higher Education Commission (THEC) submits a recommendation for state appropriation funding for all higher education institutions in Tennessee. This recommendation is then incorporated into the Governor's proposed budget in November and the State Legislature considers, amends, and approves the Governor's budget, typically in May.

Simultaneous to the annual legislative state appropriation process, the university develops the University budget proposal for the following fiscal year. Given the timing requirements for submission of the Proposed Budget to the State, as well as the final Legislative approval of the Governor's Budget, the University incorporates assumptions into the Proposed Budget related to anticipated State Appropriations.

**Annual Budget Cycle**



The University employs a budget planning and development process, incorporating sound fiscal procedures and a comprehensive approach, including a broad spectrum of university participation, and considers projections and potential impacts. The major factors that impact the budget include:

- Changes in state appropriation
- Proposed changes to tuition and fees
- Enrollment projections
- Anticipated salary or benefit increases
- Estimated nondiscretionary institutional costs such as changes in utilities, and other facility related expenditures
- Strategic priorities

University Leadership develops assumptions and strategic priorities that guide the budget process. This information is used as the budget development framework. THEC provides the coming fiscal year's budget recommendations regarding state appropriation and tuition expectations. Financial information is updated throughout the budget development and legislative cycle as the legislative session progresses and the state budget moves to a final status. Key financial stakeholders share information throughout the year regarding funding issues, financial performance, and alignment of budget priorities.

# UofM's Budget Redesign
# Strategic Resource Investment (SRI) Budget Development Model

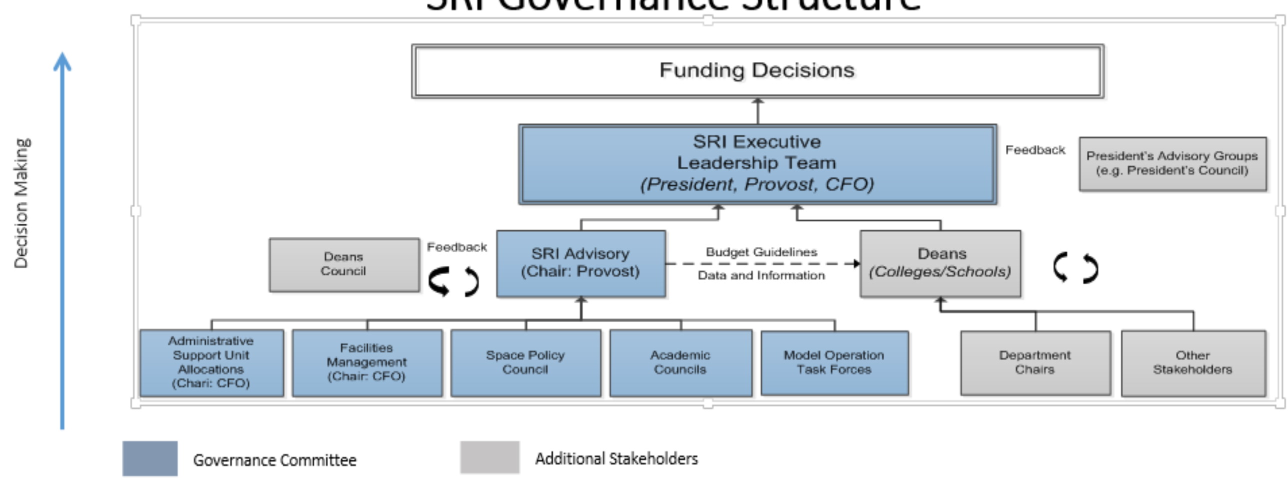
In 2013, the University of Memphis transitioned away from an incremental budget model to a hybrid Responsibility Centered Management (RCM) budget model with the following goals and principals.

- Enhance transparency regarding both revenues and the costs of operating our institution
- Support strong academic governance that promotes collaboration across units and builds on the strengths of the University.
- Present a complete view of the University budget that provides a clear connection between performance and incentives
- Empower college decision-making authority to promote academic excellence and institutional efficiency that is balanced by responsibility and accountability.
- Ensure the sustained strength of the University by aligning resources with University priorities to support academic excellence

The University refers to the UofM budget model as the Strategic Resource Investment (SRI) budget model. This process has been designed to support our academic priorities while creating a clear connection between performance and incentives. Academic units have become more involved in resource allocation discussions enabled by the additional transparency inherent in this approach. Efforts related to student success, recruitment and retention as well as the development of new programs have all emerged through this budgeting process.

During the SRI budget development process, colleges, schools, and other major budget units make budgetary requests based on institutional and unit priorities. Divisions present administrative, facility and college budget presentations in the spring. Established teams review and consolidate budget requests and make funding recommendations to the executive leadership team comprised of the President, Provost, and Vice President for Business and Finance. The Leadership Team makes budget decisions that are aligned to advance the University's strategic initiatives and plan. The Division of Business and Finance compiles the proposed consolidated budget that is submitted to the Board for review and approval at the final Board meeting of the fiscal year. Funding allocation decisions are also made throughout the year, incorporated into the Revised and Estimated budgets, and presented to the Board for approval.

## SRI Governance Structure



Academic leadership (Provost and Deans) and stakeholders from across campus have collaborated on a multi-year project to develop and continually refine the SRI model to provide a valuable budgeting resource tool. As we have gained experience with how best to use the information produced in the SRI model, we understand that the UofM SRI model is just one piece of our planning and decision making process, which must be placed within the context of the academic mission and strategic priorities.

# 7.7. Capital Budget Requests for Fiscal Year 2019

For Approval

The University of Memphis Board of Trustees
Agenda Item No. GVF17-013

**Date:** June 6, 2017

**Committee:** Governance and Finance Committee

**Item:** **Capital Budget Request for 2018-2019**

**Recommendation:** Approval

**Presented by:** Tony Poteet, Assistant Vice President for Campus Planning and Design

**Background**:

**Per Tennessee Higher Education Commission (THEC) Policy F4.0 Capital Projects**: As the coordinating body for higher education in Tennessee, THEC engages with institutions and governing boards on capital investment through its role to develop and approve recommendations for capital outlay and maintenance funding. THEC identifies capital investment needs and determines priorities for those investments for consideration by the Governor and the General Assembly as part of the annual appropriations act. Categories of projects submitted to THEC in the annual Capital Budget Request are as follows:

> **Capital Outlay**: In accordance with funding request guidelines annually disseminated by THEC staff, the Commission receives a prioritized list of capital outlay projects from each governing board for evaluation and scoring into a single prioritized list for the state. These projects either provide new space or major renovations (or a combination of both), and respond to: state goals for education, strategic plans, space guidelines, facility assessments, program plans, business plans, and/or external funding.
>
> **Capital Maintenance**: THEC shall receive a prioritized list of capital maintenance projects from each governing board. THEC staff makes project recommendations to the Commission's Board in accordance with a capital maintenance formula. The formula may include, but not be limited to, the age, gross Education & General (E&G) square footage, usage, and conditions of institutions facilities. Individual projects should reduce deferred maintenance and protect the assets of the state.
>
> **Disclosed Projects**: The reporting of disclosed capital projects to THEC should be performed at least quarterly and shall include all projects to be initiated in the following quarter that will have total expenditures on capital improvements exceeding $100,000 or capital maintenance exceeding $500,000. Disclosed projects are those funded by campus funds, bonds, gifts or other non-appropriated sources.

**Committee Recommendation:**

The Governance and Finance Committee met June 6, 2017, and approved a motion recommending the following action:  Approval of the Capital Budget Request for Fiscal Year 2018 – 2019 as submitted by staff.

Therefore, on the Governance and Finance Committee's recommendation, I move that the following motion be adopted.

**BOARD MOTION:  I move that the Board of Trustees approve the Capital Budget Request for Fiscal Year 2018 – 2019 as submitted by staff.**

Institution: **The University of Memphis 2018-2019**

| Class | Priority | Project Name | FY 17/18 | Existing | Future | Total Project |
|---|---|---|---|---|---|---|
| O | | Capital Outlay subtotal: | 38,000,000 | 0 | | 38,000,000 |
| M | | Capital Maintenance subtotal: | 111,950,000 | 0 | 0 | 111,950,000 |
| D | | Disclosures subtotal: | 0 | 0 | 0 | 0 |
| o | 1 | Lambuth Nursing Renovations Sprague / Spangler Hall | 11,000,000 | 0 | | 11,000,000 |
| o | 2 | Research Modernization | 27,000,000 | 0 | | 27,000,000 |
| | | | | 0 | | |
| m | 1 | Recreation Center Roof and Repairs | 3,500,000 | 0 | | 3,500,000 |
| m | 2 | Building Envelope Repairs | 3,500,000 | 0 | | 3,500,000 |
| m | 3 | Boilers and Hot Water Piping | 3,500,000 | 0 | | 3,500,000 |
| m | 4 | Building Code and Safety Upgrades | 3,500,000 | 0 | | 3,500,000 |
| m | 5 | Lambuth Various Maintenance | 3,500,000 | 0 | | 3,500,000 |
| m | 6 | Dunn, Fieldhouse HVAC | 4,550,000 | 0 | | 4,550,000 |
| m | 7 | Roof Replacment - Engineering, Brister, AOB, Honors, others | 4,000,000 | 0 | | 4,000,000 |
| m | 8 | Wilder Tower Completion | 4,900,000 | 0 | | 4,900,000 |
| m | 9 | Asbestos Abatement | 1,000,000 | 0 | | 1,000,000 |
| m | 10 | Deferred Maintenance Phase 2 | 20,000,000 | 0 | | 20,000,000 |
| m | 11 | Deferred Maintenance Phase 3 | 20,000,000 | 0 | | 20,000,000 |
| m | 12 | Deferred Maintenance Phase 4 | 20,000,000 | 0 | | 20,000,000 |
| m | 13 | Deferred Maintenance Phase 5 | 20,000,000 | 0 | | 20,000,000 |

UM CapitalBudgetRequest18-19.xls
DB71 List of Projects for Capital Budget Request

# DB70 form - Project Request

| | | |
|---|---|---|
| 1 **Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Lambuth Nursing Renovations | |
| **City/County:** | Jackson / Madison | |

**2 Fiscal Year:** 2017/ 2018

| 3 | | | New | | Reno/Maint |
|---|---|---|---|---|---|
| | x | Capital Outlay | | | |
| | | Capital Maintenance | 0 | Gross Sq.Ft. | 49,077 |
| | | Disclosure | 0 | Net Sq.Ft. | 29,446 |
| | X | Designer Required | 0.00 | Cost/Sq.Ft. | 175.00 |

**4 Project Description:**

Renovate Sprague Hall and Spangler Hall on the beautiful Lambuth campus for the Loewenburg School of Nursing. Scope of work includes completer interior adaptive re-use conversion from former residence halls. New space arrangement, building systems, finishes, elevator, etc. will be completed for reutilization to accommodate nursing program.

| 5 Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | Estimated Construction Cost: | | 8,588,475.00 |
| 8,589,000.00 | 8,589,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 8,589,000.00 | 8,589,000.00 | **Bid Target** | | | |
| 411,000.00 | 411,000.00 | Contingency: | 4.79 | 4.79 | percent |
| 9,000,000.00 | 9,000,000.00 | **M.A.C.C.** | | | |
| 678,383.00 | 678,383.00 | Fee: | 35/LogP-1.15 = | 6.03007196 | Renovation |
| 800,000.00 | 800,000.00 | Movable Equipment | | | |
| 50,000.00 | 50,000.00 | pre construction fees | | | |
| 250,000.00 | 250,000.00 | commissioning | | | |
| 221,617.00 | 221,617.00 | Administration & Miscellaneous | | | |
| 11,000,000.00 | 11,000,000.00 | **Total Cost** | | | |

| 6 Funding Request: | THIS REQUEST | |
|---|---|---|
| 11,000,000.00 | 11,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

| 7 Sources of Available Funding: | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| 0.00 | 0.00 | | |
| | 0.00 | | |
| plus This Request | 0.00 | | |
| 11,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

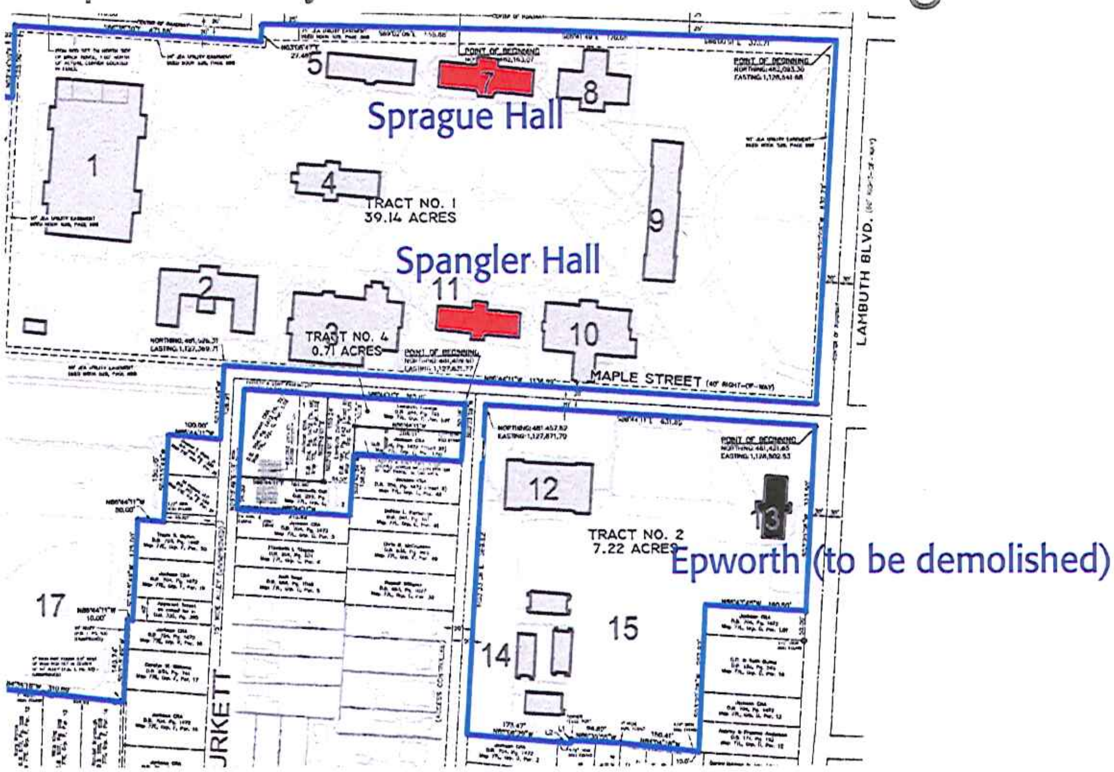
**9 Designer:** t b a

DB70
10:15 AM 4/26/2017 page 1 of 1

Lambuth Nursing Renovations.xlsx
DB70 Project Request

THE UNIVERSITY OF MEMPHIS | Board of Trustees

# Capital Outlay: Lambuth Nursing Renovations $11,000,000






50,000 S.F. New Labs, Classrooms, Offices

# DB70 form - Project Request

| | | |
|---|---|---|
| 1 **Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Research Modernization | |
| **City/County:** | Memphis / Shelby | |

2 **Fiscal Year:** 2017/ 2018

| 3 | | New | | Reno/Maint |
|---|---|---|---|---|
| x | Capital Outlay | | | |
| | Capital Maintenance | 0 | Gross Sq.Ft. | 120,000 |
| | Disclosure | 0 | Net Sq.Ft. | 80,000 |
| X | Designer Required | 0.00 | Cost/Sq.Ft. | 150.00 |

4 **Project Description:**

This project will modernize and expand research spatial facilities to support research in the Sciences, Engineering, Psychology, Physics, etc. The improved labs and support space will promote excellence in research, post-baccalaureate training and undergraduate education. Animal areas will be upgraded to meet accredation standards.

| 5 Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | | Estimated Construction Cost: | 18,000,000.00 |
| 18,000,000.00 | 18,000,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 3,000,000.00 | 3,000,000.00 | Built-in Equipment | | | |
| 21,000,000.00 | 21,000,000.00 | **Bid Target** | | | |
| 2,000,000.00 | 2,000,000.00 | Contingency: | 9.52 | 9.52 | percent |
| 23,000,000.00 | 23,000,000.00 | **M.A.C.C.** | | | |
| 1,619,919.00 | 1,619,919.00 | Fee: | 35/LogP-1.15 = | 5.63450314 | Renovation |
| 1,500,000.00 | 1,500,000.00 | Movable Equipment | | | |
| 100,000.00 | 100,000.00 | consultants | | | |
| 250,000.00 | 250,000.00 | Commissioning and pre-con | | | |
| 530,081.00 | 530,081.00 | Administration & Miscellaneous | | | |
| 27,000,000.00 | 27,000,000.00 | **Total Cost** | | | |

| 6 **Funding Request:** | THIS REQUEST | |
|---|---|---|
| 27,000,000.00 | 27,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| | | Local and Institutional Funds |

| 7 **Sources of Available Funding:** | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 27,000,000.00 | 0.00 | | |

8 **SBC Action:** If an existing project, SBC Project No.: 166/007-01-08

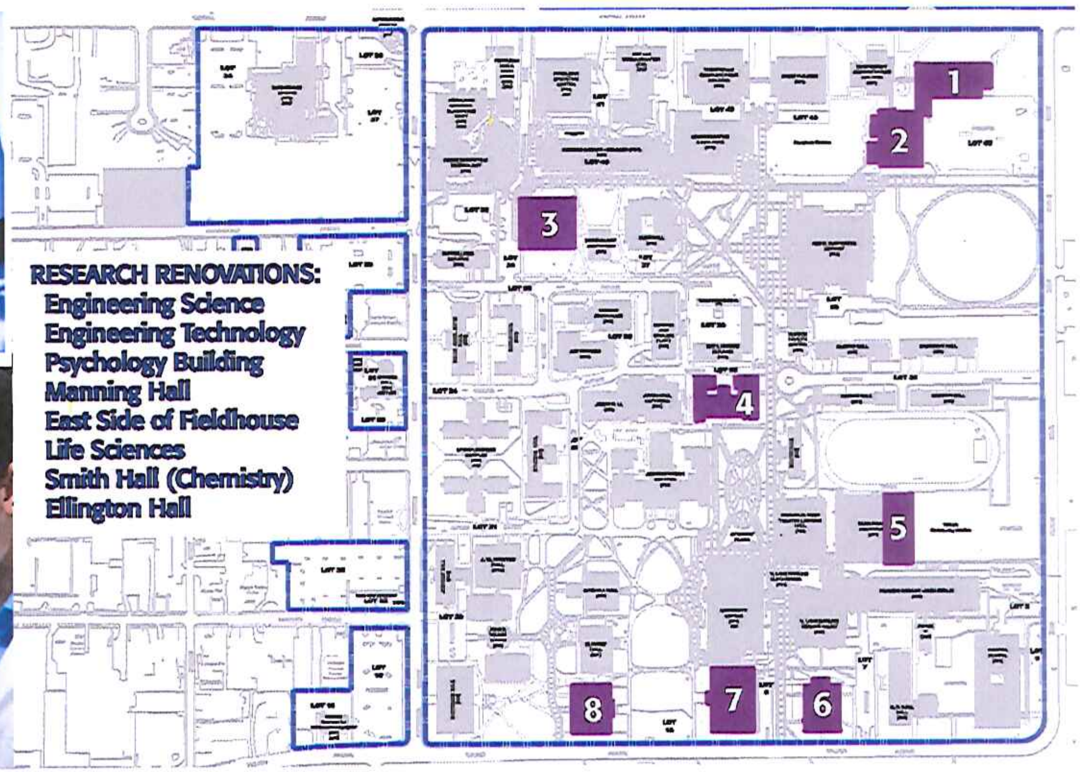
9 **Designer:** Fleming

DB70
10:38 AM 4/26/2017 page 1 of 1

Um Research Modernizationdb70.xlsx
DB70 Project Request

THE UNIVERSITY OF MEMPHIS | Board of Trustees

# Outlay: Research Modernization $26,150,000

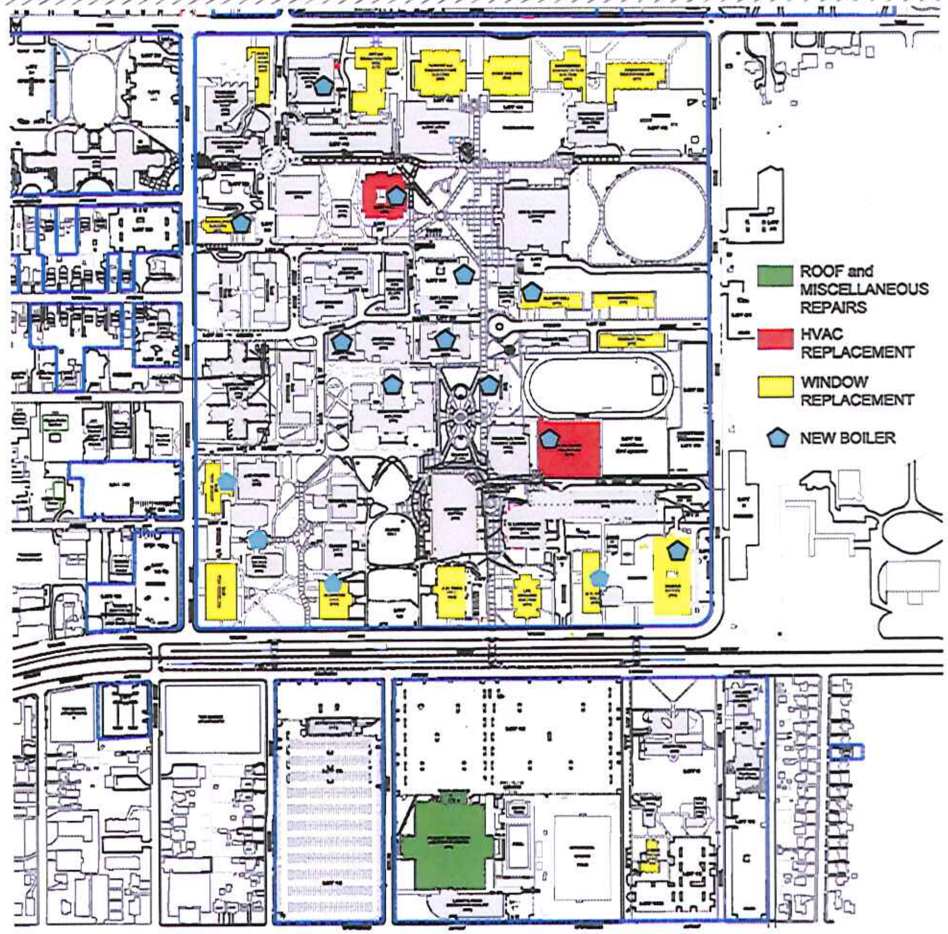



120,000 square feet renovations to existing space

THE UNIVERSITY OF MEMPHIS | Board of Trustees

# Capital Maintenance Request:

| | |
|---|---|
| • Recreation roof and repairs | $3,500,000 |
| • Building Envelope | $3,500,000 |
| • Local Boilers and Gas Piping | $3,500,000 |
| • Building Code and Safety | $3,500,000 |
| • Dunn, Field House HVAC | $4,550,000 |
| • Roofs – 7 Buildings | $3,500,000 |



# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Recreation Center Roof and Repairs | |
| **City/County:** | Memphis/Shelby | |

**2 Fiscal Year:** 2017/ 2018

| 3 | | New | | Reno/Maint |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will replace the roof on the existing Student Fitness and Recreation Center and will complete various deferred maintenance repairs in locker areas, gyms, etc. including systems and finishes.

**5**

| Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | Estimated Construction Cost: | | 0.00 |
| 2,837,000.00 | 2,837,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 2,837,000.00 | 2,837,000.00 | **Bid Target** | | | |
| 263,000.00 | 263,000.00 | Contingency: | 9.27 | 9.27 percent | |
| 3,100,000.00 | 3,100,000.00 | **M.A.C.C.** | | | |
| 253,914.00 | 253,914.00 | Fee: | 35/LogP-1.15 = | 6.55263620 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 0.00 | 0.00 | *first other* | | | |
| 0.00 | 0.00 | *second other* | | | |
| 146,086.00 | 146,086.00 | Administration & Miscellaneous | | | |
| 3,500,000.00 | 3,500,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 3,500,000.00 | 3,500,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 3,500,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** t b a

DB70
3:00 PM 4/26/2017 page 1 of 1

rereation roof and repairs.xlsx
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| 1 **Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Building Envelope Repairs 2 of 2 | |
| **City/County:** | Memphis / Shelby | |

2 **Fiscal Year:** 2007/ 2008

| 3 | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

4 **Project Description:**

This project will restore deteriorating brick and building façade elements on major campus education and general buildings. The work will include brick repairs, tuckpointing, limestone repair, concrete repair, window replacement, door replacement,caulking, etc.

5

| Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | Estimated Construction Cost: | | 0.00 |
| 2,800,000.00 | 2,800,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 2,800,000.00 | 2,800,000.00 | **Bid Target** | | | |
| 300,000.00 | 300,000.00 | Contingency: | 10.71 | 10.71 | percent |
| 3,100,000.00 | 3,100,000.00 | **M.A.C.C.** | | | |
| 253,914.00 | 253,914.00 | Fee: | 35/LogP-1.15 = | 6.55263620 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 40,000.00 | 40,000.00 | testing | | | |
| 0.00 | 0.00 | *second other* | | | |
| 106,086.00 | 106,086.00 | Administration & Miscellaneous | | | |
| 3,500,000.00 | 3,500,000.00 | **Total Cost** | | | |

6 **Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 3,500,000.00 | 3,500,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

7 **Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 3,500,000.00 | 0.00 | | |

8 **SBC Action:** If an existing project, SBC Project No.: n/a

9 **Designer:** TBA

DB70 (2)
3:01 PM 4/26/2017 page 1 of 1

07building envelope 2 0f 2.xls
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| 1 | **Department:** | Tennessee Board of Regents |
| | **Institution:** | The University of Memphis |
| | **Project:** | Boilers and Hot Water Piping |
| | **City/County:** | Memphis / Shelby |

**2 Fiscal Year:** 2015/ 2016

| 3 | | | New | | Reno/Maint |
|---|---|---|---|---|---|
| | | Capital Outlay | | | |
| | X | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| | | Disclosure | 0 | Net Sq.Ft. | 0 |
| | X | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will install condensing Boilers and Hot Water Piping for building heating in lieu of steam heat. The campus will transition from a central boiler plant to smaller low pressure hot water boilers and hot water for heating. Existing gas lines and new gas lines installed in this project will feed the boilers, and some buildings will manifold together via hot water piping for heating.

**5**

Estimated Construction Cost: 0.00

| Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| 0.00 | 0.00 | Building Construction | | | |
| 2,420,000.00 | 2,420,000.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 2,420,000.00 | 2,420,000.00 | **Bid Target** | | | |
| 230,000.00 | 230,000.00 | Contingency: | 9.50 | 9.50 percent | |
| 2,650,000.00 | 2,650,000.00 | **M.A.C.C.** | | | |
| 219,859.00 | 219,859.00 | Fee: | 35/LogP-1.15 = | 6.63727822 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 350,000.00 | 350,000.00 | commisioning | | | |
| 0.00 | 0.00 | *second other* | | | |
| 280,141.00 | 280,141.00 | Administration & Miscellaneous | | | |
| 3,500,000.00 | 3,500,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 3,500,000.00 | 3,500,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 3,500,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** t b a

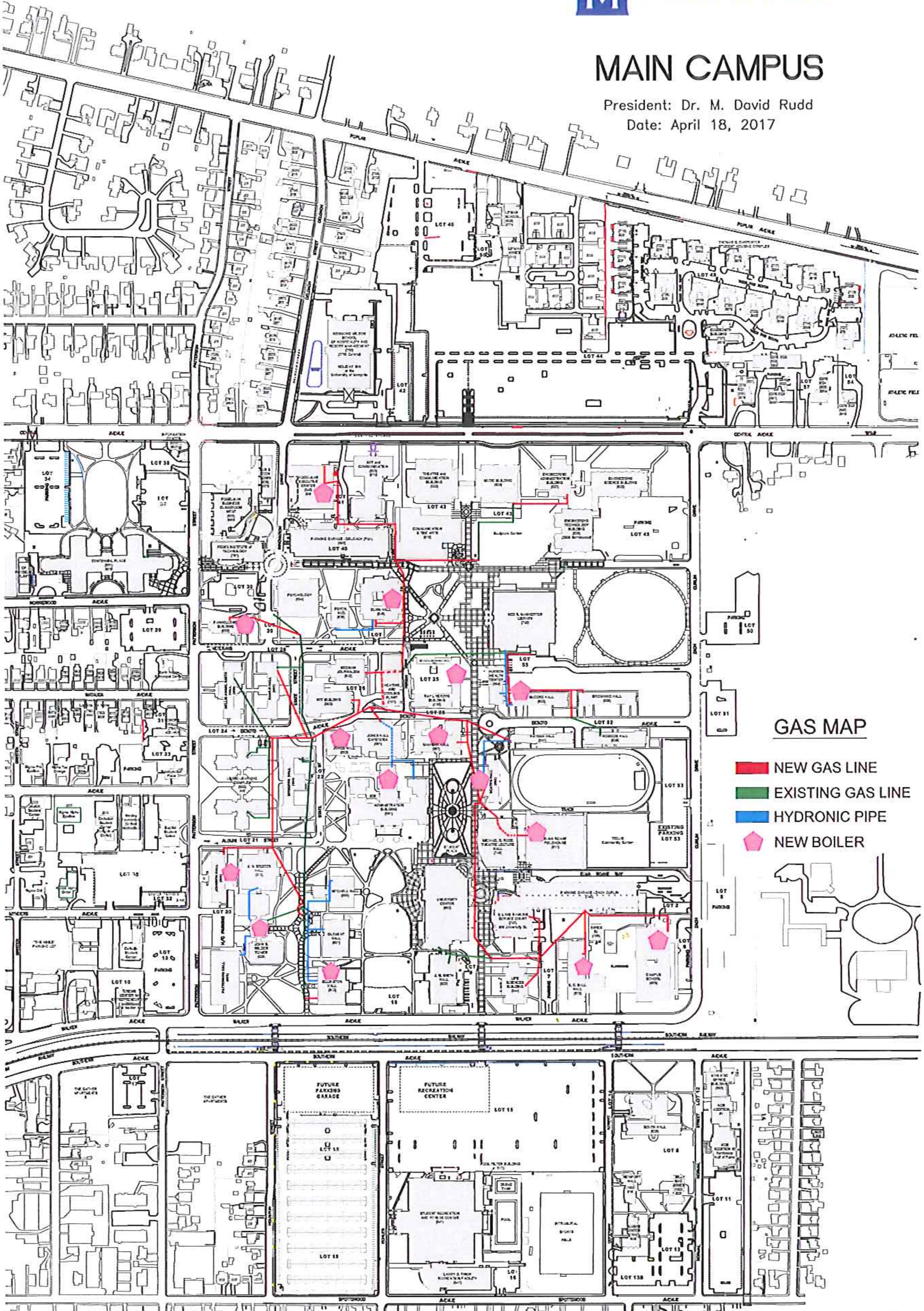
DB70
3:02 PM 4/26/2017 page 1 of 1

boilers and hot water piping.xlsx
DB70 Project Request

THE UNIVERSITY OF MEMPHIS

# MAIN CAMPUS

President: Dr. M. David Rudd
Date: April 18, 2017



# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Building Code and Safety Upgrades Phase 2 | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2012/ 2013

| 3 | | New | | Reno/Maint |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will correct building code and safety items by replacing life safety generators, main electrical panelboards, motor control centers, fire alarms and elevator modernization in several education and general campus facilities. The project will also install fire sprinkler systems, and modify outdated and unsafe restrooms in Scates hall.

| 5 Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | Estimated Construction Cost: | | 0.00 |
| 2,650,000.00 | 2,650,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 2,650,000.00 | 2,650,000.00 | **Bid Target** | | | |
| 250,000.00 | 250,000.00 | Contingency: | 9.43 | 9.43 percent | |
| 2,900,000.00 | 2,900,000.00 | **M.A.C.C.** | | | |
| 238,828.00 | 238,828.00 | Fee: | 35/LogP-1.15 = | 6.58836179 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 150,000.00 | 150,000.00 | commissioning | | | |
| 0.00 | 0.00 | *second other* | | | |
| 211,172.00 | 211,172.00 | Administration & Miscellaneous | | | |
| 3,500,000.00 | 3,500,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 3,500,000.00 | 3,500,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 3,500,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** t b a

DB70
3:03 PM 4/26/2017 page 1 of 1

07code and safety 2.xlsx
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| 1 | **Department:** | Tennessee Board of Regents |
| | **Institution:** | The University of Memphis |
| | **Project:** | Lambuth Various Maintenance |
| | **City/County:** | Jackson / Madison |

**2 Fiscal Year:** 2015/ 2016

| 3 | | | New | | Reno/Maint |
|---|---|---|---|---|---|
| | | Capital Outlay | | | |
| | X | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| | | Disclosure | 0 | Net Sq.Ft. | 0 |
| | X | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will correct various capital maintenance items at the Lambuth Campus. The items include roofing, brick repairs, HVAC and fresh air, elevators, drainage, lighting, energy management systems, chiller and boiler replacements. A secondary project will be required for items not completed under this request.

| 5 | Total Project | Allocation | | | | |
|---|---|---|---|---|---|---|
| | | | | Estimated Construction Cost: | | 0.00 |
| | 2,250,000.00 | 2,250,000.00 | Building Construction | | | |
| | 150,000.00 | 150,000.00 | Site & Utilities | | | |
| | 0.00 | 0.00 | Built-in Equipment | | | |
| | 2,400,000.00 | 2,400,000.00 | **Bid Target** | | | |
| | 250,000.00 | 250,000.00 | Contingency: | 10.42 | 10.42 | percent |
| | 2,650,000.00 | 2,650,000.00 | **M.A.C.C.** | | | |
| | 219,859.00 | 219,859.00 | Fee: | 35/LogP-1.15 = | 6.63727822 | Renovation |
| | 0.00 | 0.00 | Movable Equipment | | | |
| | 0.00 | 0.00 | *first other* | | | |
| | 0.00 | 0.00 | *second other* | | | |
| | 130,141.00 | 130,141.00 | Administration & Miscellaneous | | | |
| | 3,000,000.00 | 3,000,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 3,000,000.00 | 3,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 3,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

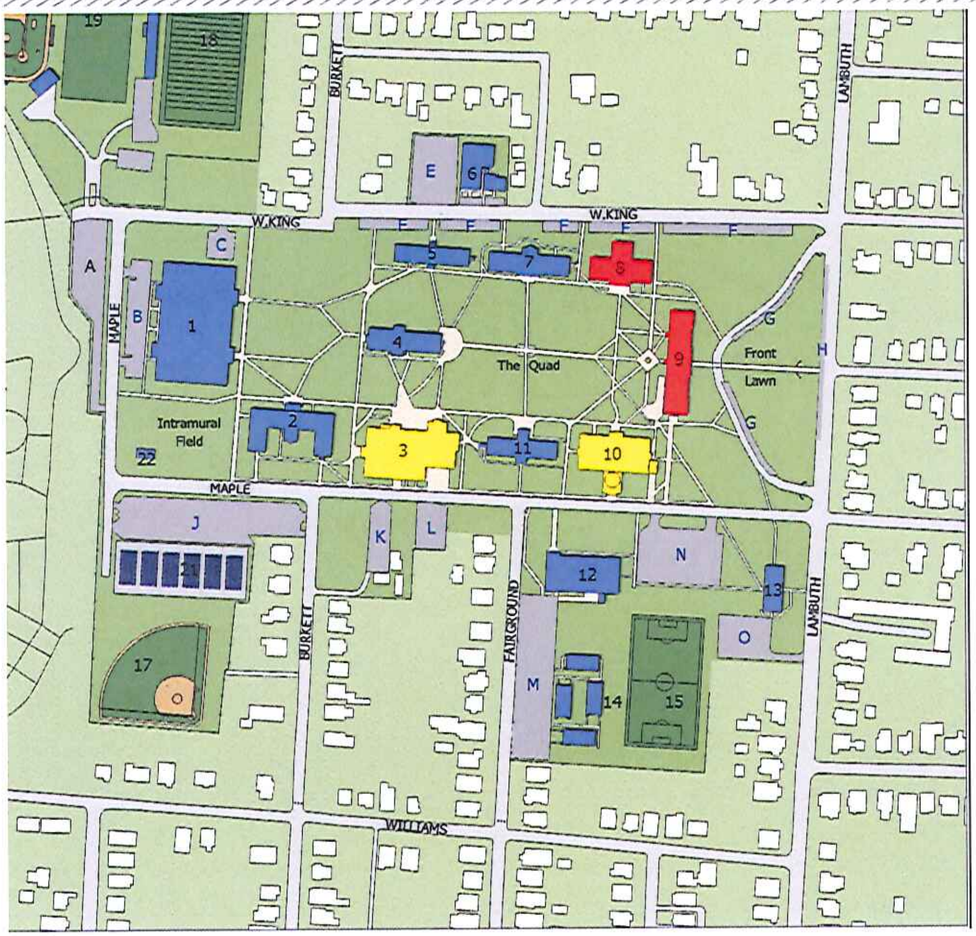
**9 Designer:** t b a

DB70
4:24 PM 4/26/2017 page 1 of 1

07 lambuth various maintenance.xlsx
DB70 Project Request

THE UNIVERSITY OF MEMPHIS | Board of Trustees

# Capital Maintenance:
# Lambuth Various Maintenance
# $3,500,000




## LAMBUTH CAMPUS MAP

Buildings

1 - Health, Wellness and Fitness Center
2 - Carney-Johnston Hall
3 - Wilder Student Union
4 - R.E. Womack Memorial Chapel
5 - Mary Girven Harris Hall
6 - Physical Plant
7 - E.W. Sprague Hall
8 - Gobbel Library
9 - Varnell-Jones Hall
10 - Joseph Reeves Hyde Hall
11 - George Ellis Spangler Hall
12 - Hamilton Performing Arts Center
13 - Epworth Hall
14 - Oxley Commons

ROOF and HVAC PROJECTS:

ROOF

HVAC

N

Map prepared by: Campus Planning + Design 2017

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Dunn and Fieldhouse HVAC | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2012/ 2013

| 3 | | New | | Reno/Maint |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 299,492 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 11.70 |

**4 Project Description:**

Replace major HVAC components and systems in two priority academic buildings, as well as other E and G buildings as funding permits.

| 5 | Total Project | Allocation | | | | |
|---|---|---|---|---|---|---|
| | | | | Estimated Construction Cost: | | 3,504,056.40 |
| | 3,500,000.00 | 3,500,000.00 | Building Construction | | | |
| | 0.00 | 0.00 | Site & Utilities | | | |
| | 0.00 | 0.00 | Built-in Equipment | | | |
| | 3,500,000.00 | 3,500,000.00 | **Bid Target** | | | |
| | 350,000.00 | 350,000.00 | Contingency: | 10.00 | 10.00 | percent |
| | 3,850,000.00 | 3,850,000.00 | **M.A.C.C.** | | | |
| | 309,886.00 | 309,886.00 | Fee: | 35/LogP-1.15 = | 6.43919655 | Renovation |
| | 0.00 | 0.00 | Movable Equipment | | | |
| | 300,000.00 | 300,000.00 | commissioning | | | |
| | 0.00 | 0.00 | *second other* | | | |
| | 90,114.00 | 90,114.00 | Administration & Miscellaneous | | | |
| | 4,550,000.00 | 4,550,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 4,550,000.00 | 4,550,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for | 0.00 | | |
| existing SBC project | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 4,550,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** t b a

DB70
3:04 PM 4/26/2017 page 1 of 1

07 Dunn and Fieldhouse hvac.xlsx
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | Roof Replacement 2018 | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2007/ 2008

**3**

| | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 148,872 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

Replace roofs on academic buildings with adhered EPDM membrane roofing. Include all associated parapet repairs, caulking, etc. for a watertight warranted system. Buildings include Engineering, Brister, AOB, Honors, Police and other E and G buildings as funding permits.

**5**

Estimated Construction Cost: 0.00

| Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| 3,100,000.00 | 3,100,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 3,100,000.00 | 3,100,000.00 | **Bid Target** | | | |
| 250,000.00 | 250,000.00 | Contingency: | 8.06 | 8.06 | percent |
| 3,350,000.00 | 3,350,000.00 | **M.A.C.C.** | | | |
| 272,672.00 | 272,672.00 | Fee: | 35/LogP-1.15 = | 6.51157363 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 120,000.00 | 120,000.00 | testing | | | |
| 0.00 | 0.00 | *second other* | | | |
| 257,328.00 | 257,328.00 | Administration & Miscellaneous | | | |
| 4,000,000.00 | 4,000,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 4,000,000.00 | 4,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 4,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
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roof replacement.xls
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | 07 Wilder Tower Completion | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2007/ 2008

| 3 | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 138,265 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 24.95 |

**4 Project Description:**

This project will complete floors 10 and 12 in the Wilder Tower (former library tower). These floors were bid as an alternate in the original renovation project but were not awarded due to funding limitations. The work will include access flooring, finishes and HVAC and electrical systems. Other major deferred maintenance items are also included.

**5**

Estimated Construction Cost: 3,449,711.75

| Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| 3,448,000.00 | 3,448,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 3,448,000.00 | 3,448,000.00 | **Bid Target** | | | |
| 352,000.00 | 352,000.00 | Contingency: | 10.21 | 10.21 percent | |
| 3,800,000.00 | 3,800,000.00 | **M.A.C.C.** | | | |
| 306,181.00 | 306,181.00 | Fee: | 35/LogP-1.15 = | 6.44592908 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 725,000.00 | 725,000.00 | commissioning balancing | | | |
| 68,819.00 | 68,819.00 | Administration & Miscellaneous | | | |
| 4,900,000.00 | 4,900,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 4,900,000.00 | 4,900,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 4,900,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
3:06 PM 4/26/2017 page 1 of 1

07 Wilder Tower Completion.xls
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | 07 Asbestos Abatement | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2007/ 2008

| 3 | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will abate asbestos containing materials (ACBM) from various buildings. These materials spray applied surfacing, thermal system insulation and floor tile are 35 to 55 years old and must be removed. The project will go a long way toward the goal of being an asbestos free campus by 2012.

| 5 Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | Estimated Construction Cost: | | 0.00 |
| 791,000.00 | 791,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 791,000.00 | 791,000.00 | **Bid Target** | | | |
| 79,000.00 | 79,000.00 | Contingency: | 9.99 | 9.99 percent | |
| 870,000.00 | 870,000.00 | **M.A.C.C.** | | | |
| 79,470.00 | 79,470.00 | Fee: | 35/LogP-1.15 = | 7.30762278 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 0.00 | 0.00 | *first other* | | | |
| 0.00 | 0.00 | *second other* | | | |
| 50,530.00 | 50,530.00 | Administration & Miscellaneous | | | |
| 1,000,000.00 | 1,000,000.00 | **Total Cost** | | | |

| 6 Funding Request: | THIS REQUEST | |
|---|---|---|
| 1,000,000.00 | 1,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 1,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
3:07 PM 4/26/2017 page 1 of 1

07 Asbestos Abatement.xls
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | 07 Deferred Maintenance Phase 2 | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2007/ 2008

| 3 | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will correct deferred maintenance items in several buildings. Projects include exterior shell repairs, interior finish replacements, building HVAC system replacements, safety and code upgrades, electrical system upgrades, plumbing upgrades and selected grounds upgrades. These projects are needed to support the mission of the University and protect the investment in facilities that the state has provided.

| 5 Total Project | Allocation | | Estimated Construction Cost: | | 0.00 |
|---|---|---|---|---|---|
| 16,500,000.00 | 16,500,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 16,500,000.00 | 16,500,000.00 | **Bid Target** | | | |
| 1,800,000.00 | 1,800,000.00 | Contingency: | 10.91 | 10.91 | percent |
| 18,300,000.00 | 18,300,000.00 | **M.A.C.C.** | | | |
| 1,309,826.00 | 1,309,826.00 | Fee: | 35/LogP-1.15 = | 5.72601719 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 300,000.00 | 300,000.00 | testing, consultants | | | |
| 0.00 | 0.00 | *second other* | | | |
| 90,174.00 | 90,174.00 | Administration & Miscellaneous | | | |
| 20,000,000.00 | 20,000,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 20,000,000.00 | 20,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 20,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
4:18 PM 5/9/2017 page 1 of 1

07 Deferred Maintenance ph 2.xls
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | 07 Deferred Maintenance Phase 3 | |
| **City/County:** | Memphis / Shelby | |
| **2 Fiscal Year:** | 2007/ 2008 | |

**3**

| | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| X | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| X | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will correct deferred maintenance items in several buildings. Projects include exterior shell repairs, interior finish replacements, building HVAC system replacements, safety and code upgrades, electrical system upgrades, plumbing upgrades and selected grounds upgrades. These projects are needed to support the mission of the University and protect the investment in facilities that the state has provided.

**5**

Estimated Construction Cost: 0.00

| Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| 16,500,000.00 | 16,500,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 16,500,000.00 | 16,500,000.00 | **Bid Target** | | | |
| 1,800,000.00 | 1,800,000.00 | Contingency: | 10.91 | 10.91 | percent |
| 18,300,000.00 | 18,300,000.00 | **M.A.C.C.** | | | |
| 1,309,826.00 | 1,309,826.00 | Fee: | 35/LogP-1.15 = | 5.72601719 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 300,000.00 | 300,000.00 | testing and consultants | | | |
| 0.00 | 0.00 | *second other* | | | |
| 90,174.00 | 90,174.00 | Administration & Miscellaneous | | | |
| 20,000,000.00 | 20,000,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 20,000,000.00 | 20,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 20,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
4:20 PM 5/9/2017 page 1 of 1

07Deferred Maintenance phase 3.xls
DB70 Project Request

# DB70 form - Project Request

| | | |
|---|---|---|
| **1 Department:** | Tennessee Board of Regents | 332.60 |
| **Institution:** | The University of Memphis | |
| **Project:** | 07 Deferred Maintenance Phase 4 | |
| **City/County:** | Memphis / Shelby | |

**2 Fiscal Year:** 2007/ 2008

| 3 | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will correct deferred maintenance items in several buildings. Projects include exterior shell repairs, interior finish replacements, building HVAC system replacements, safety and code upgrades, electrical system upgrades, plumbing upgrades and selected grounds upgrades. These projects are needed to support the mission of the University and protect the investment in facilities that the state has provided.

| 5 Total Project | Allocation | | | | Estimated Construction Cost: 0.00 |
|---|---|---|---|---|---|
| 16,500,000.00 | 16,500,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 16,500,000.00 | 16,500,000.00 | **Bid Target** | | | |
| 1,800,000.00 | 1,800,000.00 | Contingency: | 10.91 | 10.91 | percent |
| 18,300,000.00 | 18,300,000.00 | **M.A.C.C.** | | | |
| 1,309,826.00 | 1,309,826.00 | Fee: | 35/LogP-1.15 = | 5.72601719 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 300,000.00 | 300,000.00 | testing and consultants | | | |
| 0.00 | 0.00 | *second other* | | | |
| 90,174.00 | 90,174.00 | Administration & Miscellaneous | | | |
| 20,000,000.00 | 20,000,000.00 | **Total Cost** | | | |

| 6 Funding Request: | THIS REQUEST | |
|---|---|---|
| 20,000,000.00 | 20,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

| 7 Sources of Available Funding: | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 20,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
4:20 PM 5/9/2017 page 1 of 1

07Deferred Maintenance phase 4.xls
DB70 Project Request

# DB70 form - Project Request

| | | | |
|---|---|---|---|
| 1 Department: | Tennessee Board of Regents | 332.60 | |
| Institution: | The University of Memphis | | |
| Project: | 07 Deferred Maintenance Phase 5 | | |
| City/County: | Memphis / Shelby | | |

**2 Fiscal Year:** 2007/ 2008

| 3 | | New | | Renovation |
|---|---|---|---|---|
| [ ] | Capital Outlay | | | |
| [X] | Capital Maintenance | 0 | Gross Sq.Ft. | 0 |
| [ ] | Disclosure | 0 | Net Sq.Ft. | 0 |
| [X] | Designer Required | 0.00 | Cost/Sq.Ft. | 0.00 |

**4 Project Description:**

This project will correct deferred maintenance items in several buildings. Projects include exterior shell repairs, interior finish replacements, building HVAC system replacements, safety and code upgrades, electrical system upgrades, plumbing upgrades and selected grounds upgrades. These projects are needed to support the mission of the University and protect the investment in facilities that the state has provided.

| 5 Total Project | Allocation | | | | |
|---|---|---|---|---|---|
| | | | Estimated Construction Cost: | | 0.00 |
| 16,500,000.00 | 16,500,000.00 | Building Construction | | | |
| 0.00 | 0.00 | Site & Utilities | | | |
| 0.00 | 0.00 | Built-in Equipment | | | |
| 16,500,000.00 | 16,500,000.00 | **Bid Target** | | | |
| 1,800,000.00 | 1,800,000.00 | Contingency: | 10.91 | 10.91 | percent |
| 18,300,000.00 | 18,300,000.00 | **M.A.C.C.** | | | |
| 1,309,826.00 | 1,309,826.00 | Fee: | 35/LogP-1.15 = | 5.72601719 | Renovation |
| 0.00 | 0.00 | Movable Equipment | | | |
| 300,000.00 | 300,000.00 | testing and consultants | | | |
| 0.00 | 0.00 | *second other* | | | |
| 90,174.00 | 90,174.00 | Administration & Miscellaneous | | | |
| 20,000,000.00 | 20,000,000.00 | **Total Cost** | | | |

**6 Funding Request:**

| | THIS REQUEST | |
|---|---|---|
| 20,000,000.00 | 20,000,000.00 | STATE funds |
| 0.00 | 0.00 | FEDERAL funds |
| 0.00 | 0.00 | Local and Institutional Funds |

**7 Sources of Available Funding:**

| | | fund year | description |
|---|---|---|---|
| already approved for existing SBC project | 0.00 | | |
| | 0.00 | | |
| 0.00 | 0.00 | | |
| plus This Request | 0.00 | | |
| 20,000,000.00 | 0.00 | | |

**8 SBC Action:** If an existing project, SBC Project No.: n/a

**9 Designer:** TBA

DB70 (2)
4:20 PM 5/9/2017 page 1 of 1

07Deferred Maintenance phase 5.xls
DB70 Project Request

# 7.8. Salary Increase

For Approval

The University of Memphis Board of Trustees
Agenda Item

**Date:** June 6, 2017

**Committee:** Governance and Finance

**Item:** Salary Increase (3% salary pool)

**Recommendation:** Approval

**Presented by:** Jeannie Smith, Interim Vice President Business and Finance

**Background**:
The Legislature approved a three percent (3%) salary pool partially funded by State Appropriations to be used as salary adjustments effective July 1, 2017. For higher education institutions, the salary pool is to be distributed at the discretion of each institution.

Recommendation for distribution of the salary pool is as follows:
- 2% across-the-board (ATB) with 1% merit pool for **Tenured & Tenured Track Faculty**
- 3% ATB for **Non-Tenured Faculty & Adjunct Faculty**
- 3% ATB for **Staff (excludes temporary employees)**

Service date for eligibility is based on the employment dates below:
- **Staff:** Hired on or before December 31, 2016 and continuously employed until the date of payment.
- **Faculty**: Hired on or before the 2017 spring semester and continuously employed until the date of payment.

The budgetary impact of the 3% salary pool is as follows:
$5,400,000 - Cost of 3% salary pool (includes associated benefit increases)
<u>$3,509,700</u> - State Funding
$1,890,300 - University's Share of Cost (funded by proposed tuition increase)

**Committee Recommendation:**
The Governance and Finance Committee met June 6, 2017, and recommended the following compensation strategy for the 3% salary pool. Approve a 2% across-the-board increase with 1% merit pool for Tenured & Tenured Track Faculty; a 3% across-the-board increase for Non-Tenured Faculty & Adjunct Faculty; and a 3% across-the-board increase for Staff as recommended.


THE UNIVERSITY OF MEMPHIS | Board of Trustees

# 3% Salary Pool Recommendations

June 6, 2017

# Governor's Budget

- Three percent (3%) salary pool was approved by the Legislature and partially funded by State Appropriations
- Effective July 1, 2017
- For Higher Education, the salary pool is to be distributed at the discretion of each institution

# Funding for 3% Salary Pool

| Cost of 3% Salary Pool * | State Funding | UofM's share | Tuition Increase Needed |
|---|---|---|---|
| $5,400,000 | $3,509,700 | $1,890,300 | 1.2% |

* Cost of 3% Salary Pool includes associated benefit increases

# History of Salary Increases

**The University of Memphis**

**History of Salary Increases**

| Fiscal Year | Increase | Effective Date |
|---|---|---|
| 2004 | *none* | |
| 2005 | 3% ATB + Oct $70/yr service bonus *min $210* | 7/1-04; 10/1-04 |
| | Merit/Equity Pools-Faculty & Staff 1% | 1/1/2005 |
| 2006 | 3% ATB | 7/1/2005 |
| | Merit/Equity/Compression Pools-Faculty & Staff 2% | 1/1/2006 |
| 2007 | 2% ATB + One time Oct Bonus $350 (min 3 years) | 7/1-06; 10/06 |
| 2008 | 3% ATB | 7/1/2007 |
| | Merit Pool Faculty & Staff 2% | 1/1/2008 |
| 2009 | One-time Oct Bonus $400 (min 3 years) | 10/2008 |
| | Add'l Law School Adjustments | 09/2008 |
| 2010 | *none* | |
| 2011 | none | |
| 2012 | 3% ATB (min $750) | 7/1/2011 |
| | One time Oct Bonus $1000 (min 2 years) | 10/2011 |
| 2013 | *2.5% ATB (min $750)* | 7/1/2012 |
| 2014 | *1.5% ATB (min $250)* | 7/1/2013 |
| 2015 | none | |
| 2016 | *2.0% ATB* | 7/1/2015 |
| 2017 | One time Oct Bonus $750 (min 1 year) | 10/2016 |

*ATB=across-the-board*

*excludes promotions, reclassificati* 7.8. Salary Increase *ljustments*

# 3% Salary Pool Distribution & Effective Date

## Distribution:

- 2% across-the-board (ATB) with 1% merit pool for **Tenured & Tenured Track Faculty**
    - Merit methodology to be determined by each Dean
- 3% ATB for **Non-Tenured Faculty & Adjunct Faculty**
- 3% ATB for **Staff (excludes temporary employees)**

## Effective Date:

- July 1, 2017

## Service Date Eligibility:

- **Staff**: Hired on or before 12/31/2016 and continuously employed until the date of payment
  **Faculty:** Hired on or before the 2017 spring semester and continuously employed until the date of payment

# Questions/Comments

# 7.9. Split Life Insurance Plan

For Review

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Governance and Finance Committee**

Item: **Split Life Insurance Plan**

Recommendation: Review

Presented by: Melanie Murry, University Counsel and Acting Board Secretary

**Background:**

The University would like to pursue offering key personnel the option to participate in a Split Life Insurance Plan. The offering of these plans would allow for recruitment and retention of valued personnel as the University would be considered an attractive employer. The current proposal being evaluated provides for the University to “loan” a portion of the employee’s money which would be placed in a life insurance policy for the benefit of the employee. Upon death of the employee or termination of the policy, the loan amount would be returned to the University. The University, through the Attorney General’s office, has retained outside counsel to determine how the University could participate in the plan and evaluate the best options which would provide minimal risk. Currently the University is exploring options with the University Foundation.

SHUMAKER
Shumaker, Loop & Kendrick, LLP

**PROPOSED LOAN REGIME SPLIT-DOLLAR ARRANGEMENT**
**FOR**
**COACH MIKE NORVELL**

**EXECUTIVE SUMMARY**

*Prepared by Bennett H. Speyer, Esq., March 11, 2016*

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- University makes loans to pay premiums under high cash value life insurance policy with respect to which Coach is owner and insured ("Premium Loans"). The Premium Loans are an alternative to otherwise guaranteed compensation :
    - Illustration assumes Premium Loans of $500K/year for 5 years ($2.5M cumulatively)
    - Premium Loans are not taxable income to Coach --
        - Loans are interest-free; therefore, Coach taxed on "imputed interest income" which is determined based on federal long-term applicable federal rate ("AFR"). *For a March 2016 loan, long-term AFR is 2.33%; the related Illustration assumes a 3% long-term AFR.*
    - Premium Loans not due to University until death of insured and are repaid from policy death benefit (University has a "lien" on the policy known as a "collateral assignment"); remainder of death benefit paid income-tax free to Coach's beneficiaries.

- Coach's Post-Employment Withdrawal Options
    - Coach has option to take withdrawals from policy after termination of employment. The withdrawals are non-taxable ("return of basis" to the extent of the Premium Loans and then in the form of policy loans, which together reduce the death benefit).
    - University has right to approve withdrawal schedule to ensure that policy remains in force.

- Death of Insured
    - University receives repayment of Premium Loans
    - Remainder of death benefit paid income-tax free to Coach's designated beneficiaries

- "Win-Win" Arrangement
    - Coach --
        - Substantial pre-retirement income tax-free death benefit protection provided to Coach's family.
        - Substantially greater source of retirement income for Coach than could reasonably be expected from saving and investing guaranteed compensation on an after-tax basis. *See related Illustration*.
    - University --
        - Saves $7,250 in employment taxes annually (employer share of Medicare tax) based on annual funding rate of $500K.
        - Recoups up to $2.5M of amount paid out to Coach

SLK_TOL:#2690580-v1

# Employer Sponsored Split Dollar

## Overview

Split dollar life insurance is not a type of insurance, but rather a method for dividing the premiums, ownership interests, and benefits of a permanent life insurance policy between two parties. There are two basics forms of split dollar taxation: economic benefit regime and loan regime. Split dollar plans may be sponsored by an employer in a work setting, or an individual or trust in a private setting. This Guidepost discusses employer sponsored split dollar plans. A separate Guidepost is available that describes private split dollar plans.

## Details & Operations

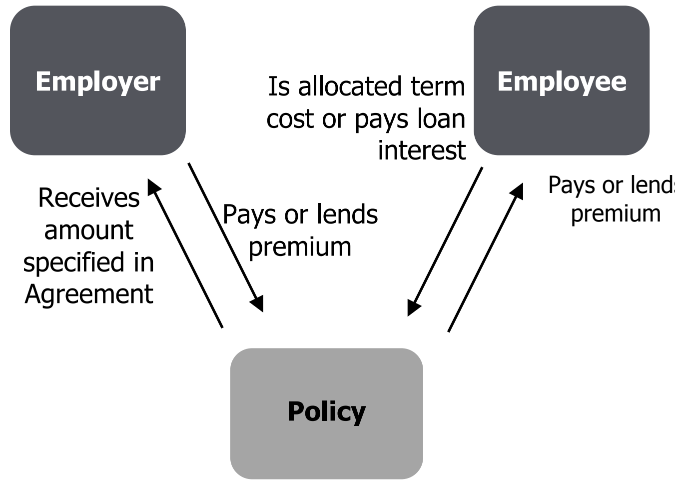
After it's determined to enter a split dollar arrangement that will help meet the client's life insurance and planning objectives, the client's legal counsel drafts, and the parties execute, an agreement that spells out each party's rights and responsibilities. Common items found in a split dollar agreement include: identities of the parties, premium payment responsibilities, death benefit distribution terms, right to policy cash value, and termination events. The terms of the agreement should be coordinated with the design of the underlying policy.

**Economic Benefit Regime (EB):** The employer is the actual or deemed owner of the policy in an economic benefit regime split dollar arrangement. Generally, the employer pays the premium, and the employee includes the term cost equivalent for the death benefit in his or her taxable income, or depending on the terms of the arrangement, the employee may alternatively be required to pay the term cost equivalent portion of the premiums. Under an economic benefit arrangement, the employer's interest in the policy is the greater of its cumulative premiums paid or the policy's cash value. The employee's beneficiary is entitled to the death benefit in excess of the employer's interests.

**Loan Regime (L):** The employee, or a trust established by the employee, is generally the owner of the policy in a loan regime split dollar arrangement. The employer makes loans to the employee or trust at a stated interest rate. All equity in the policy in excess of the loan amount accrues to the benefit of the owner employee or trust. At death, the loan is repaid to the employer, and the employee's beneficiary receives the death benefit in excess of the employer's interests in the policy.

### *Employer Sponsored Split Dollar Arrangement*

1. Employer and Employee execute a split dollar agreement.
2. If EB split dollar, Employer owns the policy (or Employer is deemed owner for federal tax purposes); if L split dollar, Employee owns the policy.
3. Employee is either imputed the term cost as taxable income or pays the term cost or loan interest as applicable, and Employer pays or loans the premiums.
4. Lifetime policy surrender:
   - If EB, Employer is entitled to the policy's entire cash value;
   - If L, Employer is entitled to loan principal and unpaid interest, and Employee receives any remaining cash values.




5. Death proceeds:
   - If EB, Employee's beneficiary is entitled to any death benefit in excess of Employer's interest; Employer will receive the greater of premiums paid or cash value.
   - If L, Employer is entitled to loan principal and unpaid interest, and Employee's beneficiary receives any remaining values.

## Tax Implications

### *Income Tax Considerations*

Income taxation of a split dollar arrangement is governed by regulations contained in Reg. §1.61-22 (economic benefit regime) and Reg. §1.7872-15 (loan regime). The applicable regime is largely determined by who the owner is of the contract for split dollar purposes. If the employer or donor owns the contract, the arrangement is generally subject to the economic benefit regime. If the employee or donee (or a trust for either) is the owner, loan regime split dollar rules generally apply.

There is an exception to the general ownership rule in certain economic benefit split dollar arrangements. Even if the employee or a trust is the nominal owner of the policy, the employer will be treated as the owner of the policy for split dollar taxation purposes if the employer is entitled to all policy lifetime values, and the employee has no current or future interest in the policy's cash values.

**Economic Benefit Regime:** The owner or deemed owner (employer) pays the premium, which is considered investment in the contract (or basis). The non-owner (employee) either pays the term cost of the death benefit; or if the employer pays, the employee includes the term cost in income. The employee accrues no basis in the policy. Term costs paid by the employee to the employer are income to the employer, and the employer gets a deduction for amounts the employee includes in income. Death proceeds are typically received income tax free by both parties or their designated beneficiaries, provided that all economic benefits payable to the non-owner's beneficiary have been properly accounted and paid for.

**Loan Regime:** The non-owner (employer) pays the premium, which is considered a loan to the employee (or trust). The owner (employee or trust) pays interest on the loan, either annually or cumulatively. The loan principal paid to the employer is a tax-free return of investment; however, loan interest is taxable to the employer, whether paid during the insured's lifetime or at death.

### *Gift and Estate Tax Considerations*

- **Gift Tax:** Employer sponsored split dollar arrangements generally do not have gift tax implications. Gift taxes are of greater concern in private split dollar arrangements. However, when an employee's trust is involved, payment of the term cost by the employer is deemed to be income to the employee and a gift from the employee to the trust. Likewise, direct payment by the employee of the term cost is a gift to the trust.
- **Estate Tax:** The final split dollar regulations do not address estate tax issues relating to split dollar arrangements. However, to the extent the insured possesses incidents of ownership in the policy, death proceeds will be included in the insured's estate, with a deduction for the part that goes to the employer.

  If the split dollar arrangement is between a trust established by a majority shareholder/insured and the corporation, the death proceeds will be included in the majority shareholder's estate if the corporation is given any incidents of ownership in the policy under the terms of the split dollar agreement or any other related document.

Until benefits are paid, non-qualified deferred compensation (NQDC) plans grow tax deferred. Deferrals, contributions and interest earnings are taxed at the employee's ordinary income tax rates upon payout, or in the case of an ineligible plan, once the employee is vested. Once benefits are taxable to the executive (i.e., upon the employee's constructive receipt), the employer receives a deduction.

## Insights and Caveats

Split dollar plans in effect prior to September 18, 2003, that have not been modified are not subject to the final regulations and may be subject to different tax rules. The exchange of a policy subject to a grandfathered split dollar agreement will likely be considered a modification that will cause loss of grandfathering.

- The term insurance cost under economic benefit split dollar is determined by using IRS Table 2001 or a term charge from the issuing company's regularly sold, initial issue, standard one-year term policy, if less.
- In a loan regime split dollar, it is important for the stated interest rate to be at or above the applicable federal rate (AFR) that is in effect during any month in which a premium loan is made, as published by the IRS each month. Otherwise, the difference between the amount of interest charged under the arrangement and the minimum interest required by reference to the applicable AFR will be imputed as taxable income to the employee and, in the case of certain term loans, the undercharging of interest payable over the life of the loan may be taxable in the first year on a present value basis.

# SPLIT-DOLLAR LIFE INSURANCE ARRANGEMENTS: A TAX MINIMIZATION STRATEGY WHOSE TIME HAS RETURNED

EDWARD B. HYMSON*

## I. INTRODUCTION

A split-dollar life insurance arrangement (split-dollar arrangement) is a contract between a donor and a donee who share in the costs and benefits of a life insurance policy.[1] Prior to 2003, a split dollar arrangement was a method of dividing the tax and economic benefits of life insurance between a donor and donee and allowing the donor to subsidize the donee's insurance coverage while both avoided tax.[2] On September 11, 2003, the Internal Revenue Service (IRS or Service) issued final regulations designed to remove the tax benefits taxpayers previously received from investing in a split-dollar arrangement.[3] The regulations were supposed to have transformed split-dollar arrangements from vehicles for employee, stockholder, and estate tax avoidance, into vehicles for sharing of life insurance costs that were supposed to be devoid of tax advantages.

The IRS now either taxes the economic benefits received by donees from the donor's payment of insurance premiums, treats the payments as additional income to the donee (economic benefit regime), or treats the donor's premium payments as loans to the donee, imputing the interest to the loans, and taxing the imputed interest as additional income to the donee (loan regime). Even though the parties to the arrangement decide which approach to use, both are supposed to eliminate the tax benefits.[4] However, the loan regime continues to

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* J.D., LLM (Tax), Ph.D. (Economics); Research Fellow, State Bar of New Mexico and Immediate Past President, Tax Section, State Bar of New Mexico. The paper represents the views of the author, and not necessarily those of the Tax Section or the State Bar of New Mexico. This paper does not provide tax advice within the meaning of Circular 230. While every effort has been made to check citations and statements made herein, the author disclaims all express and implied warrantees as to the accuracy of citations, statements, and all other contents.

[1] Robert D. Swanson, *Is Split-Dollar Life Insurance Still a Fringe Benefit?*, 98 TAX ADVISER, 42, (1998).

[2] *Id.*

[3] Treas. Reg. §§ 1.61-22, 1.7872-15 (2010). Split dollar arrangements negotiated in effect prior to September 18, 2003, are governed by transition rules that are summarized in I.R.S. Notice 2002-8, 2002-1 CB 398.

[4] Treas. Reg. § 1.61-22(d)(4)(ii) (2010).

provide significant tax savings. Current low interest rates, which are expected to rise in the future, can be used for an insured's life; thus, properly structured split-dollar arrangements under the loan regime still provide attractive tax savings for employees, shareholders, and irrevocable life insurance trusts (ILIT). This paper summarizes the split-dollar arrangement rules, and demonstrates which techniques will provide those tax savings and which arrangements will not.

## II. WHAT IS A SPLIT-DOLLAR LIFE INSURANCE ARRANGEMENT?

### A. *Description of a Split-Dollar Life Insurance Arrangement*

A split-dollar arrangement is an interest in a life insurance contract shared by multiple interest holders.[5] The arrangement can be between employer and employee, corporation and shareholder, an individual and an ILIT, or any other donor and donee.[6] Each contract specifies how the policy premiums are paid and how insurance benefits are shared.

The rules require that a split-dollar arrangement be between one party defined as the policy owner (who may be the party named as owner in the insurance contract or specified by regulation) and a second party (who is designated as the non-owner).[7] The parties to the arrangement decide who is designated as the policy owner. The arrangement requires that: (1) the arrangement must be other than a group term life insurance plan[8]; (2) one or both parties must pay the premiums directly or indirectly; and (3) the payor or payors of the premiums must recover a portion, all or more than all of the payments, from the insurance proceeds.[9] For example, an employer and employee may agree to jointly purchase a life insurance policy where the employer pays the cost of the policy and the employee pays income and employment tax each year on the cost of the term insurance portion of the coverage. At policy maturity the employer recovers either an amount equal to the cash surrender value of the policy or the amount of the premiums paid. The insured, the insured's beneficiary, or an ILIT receives the balance of the policy proceeds — cash value above that withdrawn by the employer and any applicable death benefit.[10]

There are two types of split-dollar arrangement: (1) those owned by the donor, who endorses specified rights to a donee (endorsement arrangement)

[5] Treas. Reg. § 1.61-22(c)(4) (2010).
[6] Treas. Reg. § 1.61-22(b)(2) (2010).
[7] Treas. Reg. § 1.61(c)(1) (subject to some exceptions found in the statute or regulations).
[8] Group term life insurance is subject to separate regulations promulgated pursuant to I.R.C. § 79 (2010).
[9] Treas. Reg. § 1.61-22(b)(1)(i)-(iii) (2010) (sometimes substitutes for life insurance are used for split-dollar life insurance arrangements).
[10] Young v. Comm'r, T.C. Memo 1995-379.

under the economic benefit regime; and (2) those owned by the donee, who assigns an interest back to the donor (collateral assignment arrangement) under the loan regime. Under an endorsement arrangement the donor owns the split-dollar insurance policy and the donee is taxed on the economic benefits the donee receives.[11] Under a collateral assignment arrangement, the donee owns the split-dollar insurance policy, the donor is treated as loaning the premiums to the donee, and the donee is taxed on any negative difference between the present market value of the loan and the present value of the repayments made to the donor (the value of the donee's imputed income gain when loan is made to the donee at a below market rate of interest).[12]

### B. *The Evolution of Taxation of Split-Dollar Arrangements*

Under pre-2003 treasury regulations, tax savings were produced by permitting inside build-up of investment income to be sheltered from taxation, and by not taxing the value of interest associated with loans made to the donee at below market rates for life insurance premium costs (premiums paid by the donor who later recovered a below market rate of interest as a return at policy maturity or termination).

Typically, the schemes provided that the donor paid either the total premium or an amount equal to the annual increase in the policy's cash surrender value and the donee paid the balance of the cost. The donee was only subject to tax on income equal to the value of the term insurance component of the life insurance purchased by the donor. At the donee's death, the donor received the policy's cash value or the dollar value of premiums paid and the donee or donee's beneficiary received any remaining cash value and any death benefit.[13] Thus, a split-dollar arrangement created an interest-free loan to the donee and taxable income equal to only the annual cost of term insurance measured by the lower of IRS estimates of term insurance cost (originally contained in the P.S. 58 Tables, now 2001 Tables) published in Revenue Rulings or the lowest rate the donee could document.[14]

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[11] Treas. Reg. § 1.161-22 (2010).

[12] Treas. Reg. § 1.7872-15 (2010). The loan is subject to I.R.C. §7872 (2010) rules for below market loans and I.R.C. §§ 1271-75 (2010) rules for original issue discount (OID).

[13] Gerald H. Sherman, *Attorney Against Applying Imputed Interest to Split-Dollar Life Insurance,* Letter submitted to Asst. Sec. Treasury Re: I..R.S. Notice 2001-10, Reprinted in TAX NOTES TODAY, Sept. 25, 2001, at 36 [hereinafter Sherman]; Burgess J.W. Raby, William L. Raby, *The Split-dollar Life Insurance Regimes*, TAX NOTES , Jan. 17, 2002, at 353.

[14] Rev. Rul. 55-747, 1955-2 C.B. 228 prescribed the P.S. 58 Table rates for term insurance to be used to value the income imputed to an employee or shareholder when a corporation or employer purchased life insurance under a split-dollar arrangement unless the taxpayer could identify lower extant commercial rates. In 2001, the P.S. 58 Tables were replaced for subsequent transactions with an interim table contained in I.R.S. Notice 2001-10, 2001-1 C.B. 459. The table was revised by I.R.S. Notice 2002-8, 2002-1 C.B. 398 and is referred to as the

Prior to 1995, the Service had concluded that only the cost of term insurance was the economic benefit the donee received from a split-dollar arrangement.[15] The Service's initial determination of the non-taxability of such interest free loans was affirmed by the Tax Court in 1961.[16] Increases in the donee's share of the policy's cash value did not become subject to taxation until 1995.[17]

The 2003 regulations may have had their origin in the wide public exposure that split-dollar arrangement tax avoidance schemes received. For example, a 1995 *U.S. News and World Report* article described split-dollar arrangements where an employer purchased life insurance naming an employee as beneficiary.[18] The employee paid income tax on the cost of term life insurance and received the value of the paid-up whole life policy, net of the amount returned to the employer under the arrangement. The article illustrated the savings by describing an employee who paid income tax on $75,000 of premiums for the term life insurance component of a whole life policy that produced $1.6 million in benefits to the insured and the insured's beneficiaries.[19] Practitioner comments submitted to the IRS showed that the difference between the tax burden imposed prior to the then-proposed 2003 regulations and the burden under the proposed regulations was substantial. The tax incurred by a forty-percent bracket taxpayer on a hypothetical split-dollar contract under the proposed new rules, reflecting imputed interest based on a seven-percent demand loan was ten to twelve times that under the old rules.[20]

The move toward more regulation began in 1995 when the Service held that the economic benefit received from the life insurance policy included both the current value of the life insurance protection and any cash surrender value the donee would ultimately receive.[21] In addition, the Service held that life insurance issued pursuant to a split-dollar arrangement, which a donee placed in an ILIT, was subject to gift tax on both the annual cost of term insurance and the increase in cash value accruing to the donee under the split-dollar

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2001 Table, now used to identify the cost of term insurance imputed as income to an employee or stockholder.

[15] *See* Rev. Rul. 55-713, 1955-2 C.B. 23 (revoked by Rev. Rul. 64-328, 1964-2 CB 11); Rev. Rul. 64-328; 1964-2 C.B. 11; Rev. Rul. 66-110, 1966-1 C.B. 12.

[16] DEAN V. COMM'R, 35 T.C. 1083 (1961) (interest-free loans do not result in taxable income to a controlling shareholder or employee-insured).

[17] *See* Rev. Rul. 55-713, 1955-2 C.B. 23 (revoked by Rev. Rul. 64-328, 1964-2 C.B. 11).

[18] Jack Egan, *Split-Dollar Life Insurance Works Like a Super-Duper IRA* , U.S. NEWS & WORLD REPORT, June 12, 1995, at 79.

[19] *Id.*

[20] Sherman, *supra* note 13, at ¶¶ 2-3.

[21] P. L. R. 9604001, Sept. 8, 1995. The analysis in the P.L.R. is based on I.R.C. § 83 (2010) and Treas. Reg. § 1.83-1 (2010).

arrangement.[22] Unless retained by the employer or corporation, once the cash value exceeded the premiums paid by the donor, the additional cash value was taxable as imputed income to a donee employee or as a dividend to a donee shareholder.[23] In addition, the very low P.S. 58 table values for term insurance were replaced with a new table.[24] Commentators described the life insurance lobby as being "in an uproar" over the loss of tax benefits previously available from split-dollar arrangements.[25] More regulation was to come.

Imputed interest on interest free loans from the donor to the donee in the form of payment of the insurance premiums remained untaxed until 2003.[26] Under the current rules, when payments are made in exchange for economic benefits to the donor or loans are made to the donee at below-market interest rates, the donee is subject to tax on the economic value of those benefits.[27] When payments are neither made in exchange for economic benefits, nor split-dollar insurance loans, the taxation of premium payments is governed by the imputed interest rules associated with employment tax, dividend tax, or gift tax principles rather than the split-dollar arrangement regulations.[28] Payments made by debt instruments issued by the non-owner that are subsequently forgiven are treated as taxable compensation to an employee, a taxable dividend to a shareholder, or a gift to a donee that is subject to gift tax.[29]

Even under the 2003 regulations, four sources of potential tax benefits remain. The first three are likely to be minor, the fourth significant. First, the cost of term insurance in IRS tables may be lower than the actual cost of that insurance. Second, the interest rates imputed by the Service may be lower than the rate at which borrowers can borrow. Third, split interest gifts can be an effective vehicle for minimizing gift taxes on the establishment of ILITs. Finally, present economic conditions have produced low interest rates that are likely to rise in the future, which makes certain types of split-dollar life insurance arrangements set up under the loan regime a vehicle for significant lawful tax avoidance. The rules permit donees to lock in low current interest

[22] I.R.C. § 2511 (2010); Rev. Rul. 78-420, 1978-2 C.B. 67; I.R.C. § 61 (2010), Treas. Reg. § 1.161-1 (2010). Cash surrender value not protected from the claims of general creditors would not be taxable to the employee until received. I.R.C. § 61 (2010).

[23] I.R.C. § 83(a) (2010); Treas. Reg. § 1.83-1(a)(2) (2010). In 2001 the Service issued a notice confirming its 1966 position in P.L.R. 9604001, Notice 2001-10; 2001-1 C.B. 459 (Jan. 29, 2001) (rev'g Rev. Rul. 64-328, 1964-2 C.B. 11, and Rev. Rul. 66-110; 1966-1 C.B. 12). The reasoning was based on the language of I.R.C. §§ 83, 7872 (2010).

[24] I.R.S. Notice 2001-10, I.R.B. 2001-5, 459 (Jan. 29, 2001).

[25] Brian T. Whitlock, Jill McNamara, *Significant Recent Developments in Estate Planning, (Part II*), The Tax Adviser , 32, Sept. 2001, at 618.

[26] Treas. Reg. § 1.7872-15 (2010).

[27] *Id.*

[28] Treas. Reg. § 1.61-22(b)(5) (2010).

[29] Treas. Reg. § 1.61-22(b)(6) (2010).

rates to impute income for the life of the split-dollar arrangement, even though rates are likely to rise in the future. No comparable benefit is available if the split-dollar arrangement is structured as an endorsement arrangement under the economic benefit regime.[30] The next section explains how the economic benefit regime works in order to show why it does not produce the same benefits as does the loan regime.

## III. THE MECHANICS OF SPLIT-DOLLAR ENDORSEMENT ARRANGEMENTS UNDER THE ECONOMIC BENEFIT REGIME.

### A. *How the Economic Benefit Regime Works*

Under the economic benefit regime, the donor (the party who pays for the insurance) must be the owner of the policy who endorses the benefits specified in the split-dollar arrangement contract to the non-owner donee.[31] The regulations describe economic benefit situations that include: (1) endorsement of some split-dollar insurance benefits to the donee[32]; (2) a collateral assignment arrangement where the donor pays some or all premiums in exchange for an interest in the cash surrender value and death benefit equal to the cash surrender value or premiums paid[33]; and (3) a collateral assignment arrangement between the donor and a donee's ILIT or another third-party (such as donee's children).[34] In each case, the donee is taxed on the value of the economic benefits received. The benefits include the value of term insurance plus any cash value accruing to the donee less any benefits paid for by the donee.[35] If the benefits accrue to an employee as compensation the benefits are subject to income and employment taxes; if they accrue to a shareholder the benefits are dividends subject to income tax; and if they accrue to an ILIT the benefits are a gift subject to gift tax.

The constructive or actual receipt of an economic benefit subject to tax is equal to: (1) the cost of current term life insurance protection (i.e. the cost of term life insurance); (2) any increase in cash value of the policy during the year to which the donee receives current access that was not taken into

[30] When interest rates are high the process can work in reverse and increase tax liability.
[31] The economic benefit rules, Treas. Reg. §§ 1.61-22(b), 1.61-22(g) (2010); *see* Treas. Reg. § 1.61-22(b)(3)(ii)(A) (2010). An employer is always the owner of split-dollar insurance under Treas. Reg. § 1.61-22(c)(1)(ii) if at all times, "[t]he only economic benefit that will be provided under the arrangement is current life insurance protection."
[32] Treas. Reg. § 1.61-22(b) (2010).
[33] Treas. Reg. § 1.61-22(b)(2)(i)(C) (2010).
[34] To avoid inclusion in the employee's estate at death, Treas. Reg. § 1.61-22(b)(3)(ii)(B) (2010).
[35] Treas. Reg. § 1.61-22(d)(1) (2010).

account in a previous year; and (3) value of any other economic benefits to donee not taken into account in a previous year.[36]

Absent an alternative agreement, benefit valuation occurs on the last day of donee's tax year; however, donor and donee may agree to use the policy anniversary date as the valuation date instead. If the split-dollar arrangement terminates during the tax year of the donee, the termination date is used for valuation.[37] Dividends, loan proceeds, and surrender payments to the donee are treated as paid first to the donor then paid by donor to donee.[38]

### *B. Non-Equity and Equity Split-Dollar Insurance Arrangements*

When the donor keeps all benefits other than the donee's term life insurance benefit the arrangement is called a non-equity life insurance arrangement.[39] Upon termination of the arrangement or donee's death, donor is entitled to receive the greater of the aggregate premiums or the policy cash value of the contract. The death benefit provided by the term life insurance is paid to the donee's designated beneficiary.[40] The regulations require that donor be treated as owner of a non-equity life insurance arrangement.[41] The cost of annual life insurance protection is the amount shown in the applicable IRS term life insurance tables less whatever portion of the term premium is paid by the donee.[42]

When the donor provides term insurance protection and an interest in policy cash value (policy equity) to the donee the arrangement is an equity split-dollar insurance arrangement.[43] If donor pays all premiums and donee may borrow against or withdraw some portion of cash value (the amount exceeding the amount payable to donor),[44] donee has current access to the amount donor can withdraw or borrow against.[45] Both the value of the death

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[36] Treas. Reg. § 1.61-22(d)(3)(iii) (2010).
[37] Treas. Reg. § 1.61-22(d)(5)(i)(2010). Both must use the same termination date, Treas. Reg. § 1.61-22(d)(5)(ii) (2010).
[38] Treas. Reg. § 1.61-22(e)(1) (2010). A donee shareholder is taxed on dividends and interest under I.R.C. § 72 (2010).
[39] Final Regulations, Split-Dollar Life Insurance Arrangements, Background and Explanation of Provisions, 68 Fed. Reg. 54336, 543337 (Sept. 17, 2003) (codified at 26 CFR pts. 1, 31, and 602, now Treas. Reg. § 1.61-22(d)(2) (2010) [hereinafter Split-Dollar Life Insurance Arrangements, Background].
[40] Treas. Reg. §§ 1.61-22(b)(1), 1.61-22(b) (2), 1.61-22(d)(2)(i), 1.61-22(h), Ex. 1 (2010).
[41] Treas. Reg. §§ 1.61-22(c)(1)(i), 1.61-22(c)(1)(ii)(A)(1) (2010).
[42] Treas. Reg. § 1.61-22(d)(3)(ii) (2010). The guidance found in Treas. Reg. § 601.601(d)(2)(ii) (2020) currently specifies use of Table 2001, which replaced the former P.S. 58 Table.
[43] Split-Dollar Life Insurance Arrangements, Background, *supra* note 39, at 54337.
[44] Treas. Reg. § 1.61-22(d)(6)(i)(ii), Ex. 1 (2010).
[45] Treas. Reg. § 1.61-22(d)(4)(ii)(2010).

benefit and the increase in amount to which donee has current access during the year are economic benefits that must be included in donee's gross income and be subject to income and employment tax in that tax year.[46] If the parties negotiate changes to a split-dollar insurance arrangement, both gross income and donee's tax obligations may change as well.[47] Access to cash value or a right to borrow may be subject to sufficient restrictions on an employee's current access rights to delay inclusion in gross income until actual distribution.[48] However, if the cash value of the policy is inaccessible to donor's general creditors pursuant to state law, even if donee cannot immediately access policy cash value, donee is deemed to have future access to that portion of cash value exceeding the amount payable to donor because there is no substantial risk donee will forfeit access in future years.[49]

### C. *Taxation of Death Benefits Received by Donee's Beneficiaries*

The donor of an insurance contract is treated as having an investment in the policy equal to the payments, dividends, and interest (basis) in the contract. When a donee includes only the cost of term insurance in gross income and does not include dividends or interest in gross income, donee does not receive basis in the policy.[50] At donee insured's death, coverage benefits provided by the term insurance, even if paid for by other than the insured, are excluded from both the decedent's and the beneficiary's gross income because premiums were previously included in decedent donee's gross income; however, any dividends or interest not previously included in donee's gross income are subject to income tax.[51]

### D. *Transfer of Ownership of Split-Dollar Policy from Owner to Non-Owner*

For employment, dividend, and gift tax purposes transfer of ownership of a policy subject to a split-dollar arrangement occurs on the date the owner transfers ownership to the donee, who then becomes the owner of the

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[46] Treas. Reg. §§ 1.61-22(d)(2)(i), 1.61-22(d)(2)(ii) (2010). For example, if in the first year donee's economic benefit is only term life insurance protection, only the value of the term insurance is and economic benefit subject to tax. If in the second year donee receives term insurance protection plus $20,000 of cash value, donee is subject to tax on both the value of term insurance and $20,000, Treas. Reg. § 1.61-22(d)(6), Ex. 1 (2010).
[47] Treas. Reg. § 1.61-22(h), Ex. 4 (2010).
[48] Treas. Reg. § 1.61-22(d)(3)(i) (2010). *See* the summary of Example 2 from Treas. Reg. § 1.61-22(d)(6), Ex. 2 (2010).
[49] Treas. Reg. § 1.61-22(d)(6)(ii), Ex. 2 (2010). Employee must include the value of the economic benefits described in §§ 1.61-22(d)(1), 1.61-22(d)(4)(ii), 1.61-22(d)(2)(i) and 1.61-22(d)(2)(ii) (2010). *See* Treas. Reg. § 1.61-22(h), Ex. 3 (2010).
[50] I.R.C. § 72(e)(6) (2010); Treas. Reg. § 1.61-22(f)(2)(i) (2010).
[51] I.R.C. § 101(a); Treas. Reg. §§ 1.61-22(f)(3)(i), 1.61-22(f)(3)(ii) (2010).

insurance policy.[52] The fair market value of the insurance contract at transfer, less the value of current life insurance protection, is the contract's cash value.[53] A transfer of ownership of a split-dollar life insurance policy from owner–donor to non-owner-donee is taxed on the difference between the fair market value of the policy at transfer and the sum of: (1) donee's payment at transfer of the policy; (2) all of donee's previous payments; and (3) the portion of owner payments included in donee's gross income, including cash value of the policy to which donee previously had access, which donee included in taxable gross income.[54] When ownership is transferred from a donor employer or corporation to a donee employee or shareholder, the value of the insurance contract at the time of transfer is deductible to the employer or corporation to the extent provided under I.R.C. § 83. Employee or shareholder payments for current insurance protection are included in the employer or corporation policy owner's gross income,[55] as well as in the owner's basis in the insurance contract.[56]

Consider the following fact pattern. Donor purchases a life insurance contract on the life of donee under which donor is policy owner and pays all premiums until the termination of the arrangement or donee's death (a non-equity insurance arrangement). Donor will receive the greater of the aggregate premiums or the contract's policy cash value and the balance will be paid to the donee's beneficiary. In the fifth year donor and donee revise the arrangement to provide that donor will be entitled to receive the greater of the aggregate premiums or half of the cash value (an equity insurance arrangement). In the seventh year donee is designated policy owner, which substantially vests donee's rights to the contract.[57]

For the first five years donee must include in gross income the value of current life insurance protection. At the beginning of the fifth year donee may borrow or withdraw the cash value amount that that exceeds the amount payable to donor and therefore donee becomes subject to income and employment tax on the portion of cash value donee may now access. Upon transfer of ownership in the seventh year from donor to donee, donee must include in gross income the fair market value of the policy less the value of

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[52] Treas. Reg. § 1.61-22(c)(3) (2010). Similarly, transfer of ownership in an undivided interest in the policy occurs on the date the donee becomes owner of that interest. *Id.*

[53] Treas. Reg. § 1.61-22(g)(2) (2010). If a policy is transferred in exchange for services provided by the non-owner, the transfer date is the date on which the services are taxable under I.R.C. § 83 (Property transferred in connection with services). Treas. Reg. § 11.161-22(g)(3) (2010).

[54] Treas. Reg. § 1.61-22(g)(1) (2010).

[55] Treas. Reg. § 1.61-22(f)(2)(ii) (2010).

[56] Treas. Reg. § 1.61-22(f)(2)(iii) (2010).

[57] Treas. Reg. § 1.61-22(h), Ex. 8 (2010).

that portion of the policy already reported in donee's gross income.[58] If donor continues to make premium payments, they must either be accounted for under the loan regime (discussed infra) or under general income tax principles.[59] Donee's basis in the contract is the sum of what the donee paid to obtain the contract, plus unrecovered economic benefits previously taken into gross income and the donee's prior payments.[60] No amount allocable to current life insurance protection paid by donee is treated as consideration paid to acquire the contract.[61]

### E. *Tax Minimization Benefits under an Endorsement Arrangement*

Few tax benefits can be achieved under the economic benefit regime because the value of term insurance plus any increase in cash value is treated as income to a donee in the year received. If the expense of the policy is front loaded and is incurred when donee's income is relatively low there can be a tax savings; however, any hypothetical savings is offset by the likely time between the year when the savings was incurred and the year when benefits are recovered by the donee and/or donee's beneficiary. The only tax benefits are planning advantages associated with transfers to ILITs, and any difference between the Table 2001 cost of term insurance and the actual insurance cost. Under the economic benefit structure and its attendant endorsement arrangement, most, if not all, of the tax benefits that used to be associated with split-dollar arrangements are eliminated.

## IV. THE LOAN REGIME WITH INSURED AS POLICY OWNER

When the insured is owner of life insurance the split-dollar arrangement is regulated under loan regime. Donee-owner's gross income is determined under the loan regime by comparing the present value of the money returned to the donor against the present value of the amount donor loaned for premiums using the short-term, medium-term or long-term Applicable

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[58] Treas. Reg. § 1.61-22(g)(1) (2010).
[59] Treas. Reg. §§ 1.61-2(d)(2)(ii)(A), 1.61-22(b)(5), 1.61-22(h), Ex. 5 (2010).
[60] I.R.C. §§ 72(e)(6)(A), 72(g)(1) (2010); Treas. Reg. §§ 1.61-22(g)(4)(ii)(A), 1.61-22(g)(4)(B) (2010); Treas. Reg. § 1.61-22(g)(4)(ii)(D) (2010). If the transfer was a transfer of only an undivided portion of the contract, the basis would be found by computing the basis of a full transfer and multiplying multiplied by a fraction whose numerator is the fair market value of the portion transferred and whose denominator is the fair market value of the whole contract. Treas. Reg. § 1.61-22(g)(4)(ii)(C) (2010).
[61] I.R.C. § 72(g)(1) (2010); Treas. Reg. § 1.61-22(g)(4)(iii) (2010).

Federal Rate (AFR)[62], in effect when the split-dollar arrangement is reached to compute the present value of the interest imputed to the loan.[63] The donor expects to recover the deemed loans through owner-donee's collateral assignment of specified future insurance payments to the donor.[64] In its simplest form each premium payment by the non-owner donor is treated as a separate loan to the owner-borrower donee.[65]

A split-dollar demand loan is any split-dollar loan that is payable in full on demand of the lender (or within a reasonable time after the lender's demand).[66] A split-dollar term loan is any split-dollar loan other than a split-dollar demand loan.[67] Examples of split-dollar term loans include a loan repayable at a time certain, repayable on the death of the policy owner, or conditioned on the future performance of substantial services by the donee.[68] A demand split-dollar arrangement is reevaluated each year using the short-term AFR applicable for the year.[69] A term split-dollar arrangement for a specified term and is tested under the loan regime by comparing the present value of the payback to the donor against the present value of the amount loaned using the AFR in effect when the agreement is reached for the term from the loan date to the loan's maturity date.[70] A split-dollar arrangement until the death of the insured is tested using the AFR in effect when the agreement is reached for a term determined by examining the life expectancy of the insured when the arrangement is reached.[71]

> If a split-dollar loan is not a below-market loan, then … the loan is governed by the general rules for debt instruments (including the rules for original issue discount (OID) under [I.R.C.] sections 1271 through 1275 and the regulations thereunder. If a split-dollar loan

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[62] Each month the Service issues tables containing three AFRs; short-term, three years or less, mid-term, more than three years and not more than nine years, and long-term, more than nine years. I.R.C. § 1274(d)(1) (2010).
[63] Treas. Reg. §§ 1.7872-15(a), 1.7872-15(b) (2010).
[64] Treas. Reg. § 1.61-22(b)(3) (2010).
[65] The loan arises either under general tax law principles, or when a reasonable person would expect repayment by the owner to the non-owner, and repayment is secured by death benefit proceeds, cash surrender value, or both. Treas. Reg. §§ 1.7872-15(a)(2)(i), 1.7872-15(a)(2)(ii) (2010); *See* Treas. Reg. § 1.7872-15(a)(2)(iv), Ex. 1 (2010).
[66] Treas. Reg. § 1.7872-15(b)(2) (2010).
[67] Treas. Reg. § 1.7872-15(b)(3) *(2010)*.
[68] Treas. Reg. § 1.7872-15(e)(5) *(2010)*.
[69] Treas. Reg. § 1.7872-15(e)(3)(2) (2010).
[70] Treas. Reg. § 1.7872-15(e)(4)(iii)(A) (2010).
[71] Treas. Reg. §§ 1.7872-15(e)(4), 1.7872-15(e)(5)(ii) (2010). Split dollar arrangements that run to the death of the insured are tested under the term provisions of Treas. Reg. § 1.7872-15(e)(4)(ii), using the insured's expected life expectancy as the term of the arrangement and selecting the (AFR) that corresponds to that period. Life expectancy is determined using the applicable table in Treas. Reg. § 1.72-9 (2010).

is a below-market loan, then … the loan is governed by [I.R.C.] section 7872.[72]

Below-market split-dollar loan*s* include gift loans,[73] compensation-related loans,[74] corporation-shareholder loans,[75] and any other type of loan whether or not enumerated in the statute.[76] The loans can be direct loans, indirect loans, stated interest loans,[77] contingent payment loans, or contingent payments.[78] The timing, amount, and characterization of the imputed transfers between the lender and borrower of a below-market split-dollar loan depend upon the relationship between the parties and upon whether the loan is a demand loan or a term loan."[79]

A. *Split-Dollar Demand Loans*

The imputed loan amount[80] applied to below-market loans from donor to donee under a split-dollar arrangement is the difference between interest computed at the annual blended AFR that would have been payable on the loan for the calendar year and the interest that was paid (or did accrue) on the loan during the year.[81] A split-dollar demand loan generates sufficient interest if the rate at which interest accrues on the loan's adjusted issue price during the year is no lower than the short term blended AFR for the year.[82] The difference between interest at the blended annual AFR and interest actually charged in a calendar year is treated as transferred by the lender to the borrower (as income to an employee, a dividend to a shareholder, or a gift to a gift recipient), then retransferred by the borrower as an interest payment to the lender on the last day of the calendar year. If the borrower dies or terminates the loan the date of death or repayment is used.[83] Because

[72] Treas. Reg. § 1.7872-15(a) (2010).
[73] I.R.C. § 7872(c)(1)(A) (2010).
[74] I.R.C. § 7872(c)(1)(B) (2010).
[75] I.R.C. § 7872(c)(1)(C) (2010).
[76] I.R.C. § 7872(c)(1)(E) (2010); Treas. Reg. § 1.7872-15(e)(1) (2010).
[77] *Id*.
[78] I.R.C. § 7872(c)(1)(E) (2010); Treas. Reg. § 1.7872-15(e)(1) (2010).
[79] Treas. Reg. § 1.7872-15(a)(1) (2010); *See* Treas. Reg. § 1.61-22 (2010) (for additional rules relating to the treatment of split-dollar life insurance arrangements).
[80] The imputed loan amount is the present value of all repayments required under the terms of the loan, determined when the loan is made, at a discount rate equal to the applicable short term, mid-term, or long-term AFR in effect on that date. Treas. Reg. § 1.7872-15(e)(4)(ii) (2010).
[81] Treas. Reg. § 1.7872-15(e)(3)(iii) (2010).
[82] Treas. Reg. § 1.7872-15(e)(3)(ii) (2010). The blended annual rate is published in the Internal Revenue Bulletin in July. Treas. Reg. § 601.601(d)(2)(ii) (2010).
[83] Treas. Reg. § 1.7872-15(e)(3)(iii) (2010).

the applicable short term AFR for each year is used to compute the imputed loan amount, there is no way to lock in low interest rates.

For split-dollar demand loans, where interest is forgiven for years in which the stated rate was a below-market rate, the amount deemed forgiven is the interest payable at the applicable AFR less interest actually paid allocated to the year of forgiveness. Where interest is forgiven in years where the loan was at or above the AFR, the amount forgiven less the difference between the interest charged and the interest that would have been charged at the AFR is treated as compensation to the borrower.[84] Thus, suppose employer pays a $100,000 premium on a split-dollar life insurance arrangement with employee, the policy owner, on January 1, 2009, repayable as a recourse loan on employer's demand at seven-percent compounded annually. The blended AFR is five-percent in 2009 and six-percent in 2010 and employer demands only repayment of $100,000 on December 31, 2010. The loan is not a below-market loan in either year employee is required to accrue interest. The interest deemed transferred to employer, then back to employee is the amount that would have been payable at the blended AFR in each year less the amount actually paid by employee. In 2009, the interest payable at the blended rate would have been $5,000 and in 2010, it would have been $6,000. Since employee paid no interest, the interest deemed transferred to employer then retransferred to employee is $11,000, which is treated as compensation to the employee, to which a deferral charge must be added.[85]

### B. *Split-Dollar Term Loans*

The interest imputed on a split-dollar term loan is the present value of all principal and interest payments, discounted to the date the loan is made, using a discount rate equal to the AFR applicable to the term of the loan in effect on the date the split-dollar arrangement was made.[86] If the present value of the repayment payments for the loan is equal to or exceeds the present value of the amount loaned, there is no imputed loan amount and the loan is addressed under general tax accounting principles.[87] If the present value of the stream of principal and interest payments is below the present value of the amount loaned, the split-dollar loan does not provide for a

[84] "For each year that the split-dollar demand loan was outstanding in which the loan was not a below-market split-dollar demand loan, the excess, if any, of the amount of interest payable at the appropriate rate used for purposes of imputation for that year [less] the interest actually paid allocable to that year." Treas. Reg. § 1.7872-15(h)(3)(ii) (2010).
[85] Treas. Reg. § 1.7872-15(h)(4), Ex. 2 (2010).
[86] Treas. Reg. §§ 1.7872-15(e)(4)(ii), 1.7872-15(e)(4)(iii)(A) (2010).
[87] I.R.C. § 7872 (2010); Treas. Reg. § 1.7872-15(e)(4)(ii) (2010). *See* I.R.C. §§ 1271–75 (2010).

market rate of interest (sufficient interest). The difference between the discounted present value of the repayments and the present value of the loan is converted to imputed interest using OID principles, which is treated as a payment from donor to the donee (compensation, a dividend, or a gift) and a payment of interest back to the donor.[88] The advantage of this methodology to the taxpayer is that it provides the vehicle needed to apply current low AFR rates to multiple year split-dollar life arrangements for the life of the loan even though AFR interest rates rise in future years. Since the test is made when the loan is made, any later increase in interest rates is ignored.[89]

If a split-dollar arrangement contains options exercisable during the loan's term (for example, to extend an option or call a split-dollar loan) at specific dates, the loan's term is determined by projecting the exercise or non-exercise of options in a manner that minimizes the loan's overall yield. "If different projected patterns of exercise or non-exercise produce the same minimum yield, the parties are projected to exercise or not exercise an option or combination of options in a manner that produces the longest term."[90] However, if exercise or non-exercise of an option would affect the yield, the shortest option period is used to test the split-dollar loan. The loan is treated as retired and reissued on the option date and the reissued loan is then retested using the applicable AFR in effect at the option date.[91] Thus, if donee-owner is deemed to borrows from donor for ten years at one-percent for the first five years and ten-percent for the second five years, and donee-owner has a right to repay at the end of the first five years, the arrangement is treated as a five-year split-dollar term loan at one-percent interest.[92] If donee-owner does not exercise the option to terminate, the loan is treated as retired at the end of the fifth year and reissued for five more years. It is tested against the applicable AFR on the reissue date against the ten-percent interest rate.[93]

To effectively utilize the term loan rules to minimize tax liability, options to terminate can be included only if the exercise or non-exercise does not affect the yield. Thus, if donee-owner is deemed to receive a ten year split-dollar term loan at seven-percent per year from donor on which donor has the right to demand payment at the end of the second year, the loan is treated as a ten-year loan because the yield does not change whether or not donor demands payment.[94] Thus, a provision with a fixed interest rate and donor-employer's option to terminate the arrangement at termination of

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[88] Treas. Reg. § 1.7872-15(e)(4)(iv) (2010).
[89] *Id.*
[90] Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(1) (2010).
[91] Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(2) (2010).
[92] Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(3), Ex. 1 (2010).
[93] Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(3), Ex. 2 (2010).
[94] Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(3), Ex. 3 (2010).

donee-employee's employment permits use of a term that runs beyond the date at which donor may exercise the option.

### *C. General Rules for Determining Split-Dollar Term Loan Interest Sufficiency and Tax Liability*

The difference between the present value of the loan at the interest rate actually received by the donor and the present value of the loan at the applicable AFR is the shortfall on which annual interest value is computed.[95] For example, assume that on July 1, 2009, corporation and shareholder enter into a split-dollar life insurance arrangement under which shareholder is named as the policy owner. On July 1, 2009, corporation makes a $100,000 premium payment, repayable without interest in fifteen years. Repayment of the premium payment is fully recourse to shareholder. The long-term AFR (based on annual compounding) at the time the loan is made is seven-percent.[96] The present value of the payments under the loan is $100,000 divided by [1+(0.07/1)]/15, which equals $36,244.60.[97] This loan is a below-market split-dollar term loan because the imputed loan amount of $36,244.60 (the present value of the amount required to be repaid to corporation is less than the amount loaned to shareholder ($100,000). Corporation is treated as transferring to shareholder $63,755.40 (the excess of $100,000 (amount loaned) over $36,244.60 (imputed loan amount)).[98] Corporation is treated as making an I.R.C. §301 distribution to shareholder on July 1, 2009, of $63,755.40 and must take into account as OID an amount equal to the imputed transfer each year.[99]

If, under the split-dollar arrangement a donor non-owner pays premiums and is entitled to be repaid eighty-percent of each premium payment, twenty-percent of the payment is treated as income to the donee-owner (employee or shareholder), or as a gift to a gratuitous recipient when made,[100] and eighty-percent is treated as a loan by the non-owner donor to the owner donee.[101] However, if less than eighty-percent of a premium payment is reasonably expected to be repaid, then none of the payment is treated as a loan for

[95] I.R.C. § 1272 (2010); Treas. Reg. § 1.7872-15(e)(4)(v) (2010). The original issue discount rules are found at I.R.C. §§ 1271-75 and the associated regulations. Treas. Reg. § 1.1273-2 (2010).
[96] Treas. Reg. § 1.7872-15(e)(4)(vi), Ex. (i) (2010).
[97] Treas. Reg. § 1.7872-15(e)(4)(vi), Ex. (ii) (2010).
[98] In accordance with I.R.C. § 7872(b)(1) (2010); Treas. Reg. § 1.7872-15(e)(4)(iv) (2010).
[99] Treas. Reg. § 1.7872-15(e)(4)(vi), Ex. (iii). *See* Treas. Reg. § 1.1272-1 (2010) (treatment of OID).
[100] Treas. Reg. § 1.7872-15(a)(2)(ii) (2010). Not all payments need be repaid. Treas. Reg. §1.61-22(b)(5) (2010). General income or gift tax provisions are applicable. Treas. Reg. §1.61-22(b)(5)(2010). *See also* Treas. Reg. § 1.7872-15(a)(2)(iv) (2010).
[101] Treas. Reg. § 1.7872-15(a)(2)(i) (2010).

Federal tax purposes.[102] If the payment is not a loan, taxation of the entire premium payment is governed by general income tax principles.[103]

For example, employer and employee enter into a split-dollar arrangement under which employee is named as the policy owner. On January 1, 2009, employer makes a $100,000 premium payment, which is treated as a loan to employee repayable with five-percent interest compounded annually on December 31, 2011. The premium payment is a fully recourse split-dollar term loan. If the short-term AFR were also five-percent when made, the loan would not be a below market loan, and general tax principles would apply. Employer would be required to accrue compound interest of five-percent each year the loan remained outstanding.[104] However, employee would not be entitled to any deduction for payment of the interest.[105]

If, on December 31, 2011, employee repays employer $100,000 but employer waives the remainder due on the loan ($15,762.50 interest),[106] the amount of interest waived is treated as if it had been paid to employer then retransferred by employer back to employee as compensation.[107] The waived amount equals the excess of the amount of interest payable at the stated rate ($15,762.50) over the interest actually paid ($0), or $15,762.50.[108] In addition, the amount deemed retransferred to employee is increased by the prescribed deferral charge,[109] which is the amount forgiven under the rules for term loans multiplied by the highest rate of income tax applicable to the borrower for tax year in which the split-dollar term loan was made multiplied

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[102] Treas. Reg. § 1.7872-15(a)(2) (2010).

[103] Taxation of the entire premium payment is governed by Treas. Reg. § 1.61-22(b)(5) (2010). *See* Treas. Reg. § 1.7872-15(a)(2)(iv), Ex. 2(ii) (2010).

[104] Treas. Reg. § 1.7872-15(f) (2010).

[105] Treas. Reg. § 1.7872-15(c) (2010).

[106] *See* Treas. Reg. § 1.7872-15(h)(5), Ex. 1 (2010).

[107] *Id.* As required by Treas. Reg. § 1.7872-15(h)(1) (2010).

[108] The deferral charge is mandated by Treas. Reg. § 1.7872-15(h)(4)(ii) (2010).

[109] "[F]or each year the loan was outstanding, multiply the hypothetical underpayment computed pursuant to Treas. Reg. § 1.7872-15(h)(3) (2010) by the applicable underpayment rate, compounded daily. This hypothetical underpayment is multiplied by the highest rate of income tax applicable to the borrower for that year. The applicable underpayment rate is the average of the quarterly underpayment rates in effect under I.R.C. § 6621(a)(2) (2010) for the applicable period. The applicable period for a year is the period of time from the last day of that year until the date the interest is waived, cancelled, or forgiven." Treas. Reg. § 1.7872-15(h)(4)(ii) (2010). "[F]or each year the loan was outstanding, multiply the hypothetical underpayment computed pursuant to Treas. Reg. § 1.7872-15(h)(3) (2010) by the applicable underpayment rate, compounded daily. This hypothetical underpayment is multiplied by the highest rate of income tax applicable to the borrower for that year. The applicable underpayment rate is the average of the quarterly underpayment rates in effect under I.R.C. § 6621(a)(2) (2010) for the applicable period. The applicable period for a year is the period of time from the last day of that year until the date the interest is waived, cancelled, or forgiven." Treas. Reg. § 1.7872-15(h)(4)(ii) (2010).

by the Service's quarterly underpayment rates[110] for the applicable periods compounded daily from the loan date to the date interest was cancelled.[111] Even if a nonrecourse payment on a split-dollar loan would otherwise be a contingent payment,[112] since the life insurance policy is security for donee's loan payments, donee's repayment to donor is not treated as a contingent payment.[113]

### D. *Common Tax-Saving Term Split-Dollar Arrangements*

Tax savings derived from locking in current low AFR rates for the duration of the split-dollar arrangement are available in each of the following situations.

#### 1. Split-Dollar Term Loans Payable at Death of Insured

Below-market loans payable not later than the death of an individual[114] (as well as employment-related loans and gift-term loans payable on the later of a term certain or another specified date) are split-dollar term loans for purposes of determining whether the loans provide for sufficient interest.[115] Forgone interest is determined annually using an AFR that is appropriate for the loan's term and that is determined when the loan is issued.[116] The duration of a split-dollar term loan that ends on the death of an individual (or the last survivor of a group of individuals) is determined actuarially for the individual or group on the date the loan is deemed made.[117] If the individual outlives his or her life expectancy, the loan is treated as retired and reissued at the loan's adjusted issue price on that date, using the same AFR applied when the loan was originally made.[118] Thus, the initial interest rate is locked in for the life of the insured for purposes of calculating imputed income and the value of any gift involved.

If the loan is repayable on the earlier of the individual's death or some other date,[119] the shorter term is tested.[120] For example, a corporation's split-dollar life insurance arrangement requiring a $100,000 premium without

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[110] It is applied to any underpayment of taxes determined pursuant to IRC § 1 (2010), determined pursuant to IRC § 6621(a)(2) (2010).
[111] Treas. Reg. §§ 1.7872-15(h)(4)(i), 1.782-15(h)(4)(ii) (2010).
[112] Treas. Reg. § 1.7872-15(d)(1) (2010).
[113] Treas. Reg. § 1.7872-15(d)(2)(i) (2010).
[114] Treas. Reg. § 1.7872-15(e)(5)(ii) (2010).
[115] Treas. Reg. § 1.7872-15(e)(5)(i) (2010).
[116] Treas. Reg. § 1.7872-15(e)(5)(ii)(A) (2010).
[117] Treas. Reg. § 1.7872-15(e)(5)(ii)(B) (2010).
[118] Treas. Reg. § 1.7872-15(e)(5)(ii)(D) (2010).
[119] Determined pursuant to Treas. Reg. § 1.7872-15(e)(4)(iii) (2010).
[120] Treas. Reg. § 1.7872-15(e)(5)(ii)(C) (2010).

interest for a sixty-five-year-old shareholder, to be repaid from the death benefit is treated as a split-dollar term loan for shareholder's fifteen-year actuarial life expectancy. At a seven-percent AFR, the present value of the repayment is $36,244.60, a below-market loan;[121] however, the loan is treated as a payment to the shareholder of $7,000 and interest income to the corporation of $7,000 each year the shareholder survives.[122] If the insured outlives his life expectancy, the split-dollar loan is treated as retired and reissued at the loan value on the reissue date; however, the applicable AFR continues to be the rate originally determined.[123]

### 2. Split-Dollar Term Gift Loans

A split-dollar arrangement involving a loan from donor to donee who gifts the insurance to a child or ILIT can generate both income tax and gift tax liability. A gift split-dollar term loan is first tested to determine if the loan provides for sufficient interest. If the imputed interest is not sufficient, the loan is treated for income tax purposes as a below-market loan, the imputed interest is added to donee's gross income, and is subject to tax.[124] For gift tax purposes, the gift recipient is treated as having received a gift equal to the value of the term insurance plus the amount loaned, less the present value of all interest and principal repayments, discounted at the applicable AFR.[125]

Where a split-dollar arrangement provides for a transfer from an employer or corporation to an employee's (or shareholder's) child or ILIT, any below-market split-dollar loan transfers value from the lender to an indirect participant, the employee (or shareholder), and from the indirect participant to the borrower, the child (or ILIT). Any below market loan is restructured as two successive below-market deemed loans.[126] Each deemed loan is treated as having the same provisions as the original loan between the lender and the child (or ILIT), and the Treasury regulations are applied to each deemed loan.[127] To illustrate:

> [I]f, under a split-dollar life insurance arrangement, an employer (lender) makes an interest-free split-dollar loan to an employee's child, the loan is restructured as a deemed compensation-related below-market split-dollar loan from the employer to the employee

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[121] Treas. Reg. § 1.7872-15(e)(5)(ii)(B) (2010).
[122] The corporation is treated as making an I.R.C. §301 (2010) distribution to shareholder and receiving the imputed interest income. Treas. Reg. § 1.7872-15(e)(5)(vi) (2010).
[123] Treas. Reg. § 1.7872-15(e)(5)(ii)(D) (2010).
[124] Treas. Reg. § 1.7872-15(e)(5(iv)(B) (2010).
[125] I.R.C. § 7872(b) (2010).
[126] Treas. Reg. § 1.7872-15(e)(2) (2010).
[127] Treas. Reg. § 1.7872-15(e)(2)(ii) (2010).

(the indirect participant) and a second deemed gift below-market split-dollar loan from the employee to the employee's child.[128]

The restructuring reflects deemed compensation paid by the employer to the employee and a deemed gift of the insurance and the below-market split-dollar loan from employee to the recipient child or ILIT.[129]

If the loan is to an individual, the lender may deduct only the interest equal to the investment income received by the borrower; however, that restriction does not apply to gifts to an irrevocable trust.[130] If child's net interest accrual for 2009 is $1,100, the AFR for 2009 is five-percent, compounded annually, and the stated interest on the loan is zero, the forgone interest deemed paid to employee by child in 2009 is computed by multiplying $30,000 paid for the policy by .05 interest which is equal to $1,500.[131] However, because child is an individual and only earned $1,100 in net investment income for the year, child's deemed interest is limited to child's net income of $1,100.[132] As a result, employee's deduction (offsetting employee's imputed income in 2009 for interest deemed paid on employee's deemed loan from employer) is limited to $1,100, the interest deemed received from child.[133]

The result changes if the insurance policy is held by an ILIT or other irrevocable trust because a trust is not an individual.[134] As in the above example, the effect of the below-market split-dollar loan from employer to the trust is to transfer value from employer to employee then from employee to the trust.[135] The below-market split-dollar loan from the employer to the trust is restructured as two deemed below-market split-dollar demand loans, a compensation-related below-market split-dollar loan between employer and employee, and a gift below-market split-dollar loan between employee and trust.[136] While the forgone interest deemed paid to the employee by the trust is $1,100, employee may deduct $1,500 (interest deemed paid on the

[128] *Id.*
[129] Treas. Reg. § 1.7872-15(e)(2)(ii) (2010). *See also* Treas. Reg. §1.7872-15(e)(2)(iv), Ex. (1) (2010).
[130] I.R.C.§ 7872(d) (2010). It imposes limits on interest accrual on gift loans for purposes of income taxes where loans do not exceed $100,000 to the net interest income received by the donee. *See also* Treas. Reg. §§ 1.7872-15(e)(2)(iii), 1.7872-15(e)(2)(iv), Ex. (2) (2010).
[131] Treas. Reg. § 1.7872-15(e)(2)(iv), Ex. (1)(iii) (2010).
[132] I.R.C. § 7872(d)(1) (2010); Treas. Reg. § 1.7872-15(e)(2)(iv), Ex. (1)(iii) (2010).
[133] Treas. Reg. § 1.7872-15(e)(2)(iii) (2010).
[134] I.R.C. § 7872(d)(1); Treas. Reg. §7872-15(e)(2)(iv), Ex. 2(iii) (2010).
[135] Treas. Reg. § 1.7872-15(e)(2)(iv), Ex. 2(ii) (2010).
[136] Treas. Reg. § 1.7872-15(e)(2) (2010).

employee's deemed loan) because the ILIT is not an individual and therefore IRC §7872(d)(1) does not apply.[137]

3. Split-Dollar Term Loans Conditioned on Future Performance of Services

If the benefits of a split-dollar arrangement are conditioned on the future performance of substantial services by an individual and are not transferrable.[138] Loan sufficiency is tested by applying the AFR applicable to the loan's term that was in effect when the loan is made.[139] If the loan does not provide for sufficient interest the loan is treated as a below market demand loan for each year that the loan is outstanding at the applicable AFR.[140] The term is based on the period from the date the loan is made until the loan's stated maturity date. However, if the loan does not have a stated maturity date, the term of the loan is presumed to be seven years.[141] If the loan remains outstanding longer than the stated term or presumed term, because of the continued performance of substantial services, the split-dollar loan is treated as retired and reissued as a split-dollar demand loan at that time for an amount of cash equal to the loan's adjusted issue price on that date and retested at the original interest rate to determine whether the loan provides for sufficient interest.[142]

E. *Computation of Interest under the Loan Regime when the Stated Interest Rate Varies*

If the lender applies a floating interest rate to the split dollar arrangement, computation becomes somewhat more complicated. A split-dollar term loan with a floating interest rate is tested using the values of the floating rate on the date the split-dollar term loan is made for each accrual period to which a floating rate applies.[143] The term of the loan is determined

[137] Interest is deductible pursuant to I.R.C. §163(d) (2010); the deduction is allowed pursuant to Treas. Reg. § 1.7872-15 (e)(2)(iii) (2010); Treas. Reg. § 1.7872-15(e)(2)(iv), Ex. (2)(ii) (2010).
[138] Treas. Reg. § 1.7872-15(e)(5)(iii)(A) (2010).
[139] Treas. Reg. § 1.7872-15(e)(5)(iii)(B) (2010). The term is from the date the loan is made until the loan's stated maturity date; however, if there is no stated maturity date, the term of the loan is presumed to be seven years. Treas. Reg. §1.7872-15(e)(5)(iii)(C) (2010).
[140] Treas. Reg. § 1.7872-15(e)(5)(iii)(B) (2010).
[141] Treas. Reg. § 1.7872-15(e)(5)(iii)(C) (2010).
[142] Treas. Reg. § 1.7872-15(e)(5)(iii)(D) (2010).
[143] Treas. Reg. §§ 1.7872-15(g)(3)(i), 1.782-15(g)(3)(ii) (2010). A variable interest rate is a qualified variable interest rate that may be applied to a split-dollar loan so long as there are no interest rate restrictions, such as a rate cap, that cause the expected yield of the loan to be lower than the expected yield without the restrictions. Treas. Reg. §§ 1.7872-15(g)(2)(i), 1.782-15(g)(2)(ii) (2010).

using the rules in Treas. Reg. §1.1274-4(c)(2). If the loan provides for interest that adjusts at varying intervals, the loan term is determined by reference to the longest interval between interest adjustment dates.[144] A projected fixed rate is used to determine accrual of interest each period and the amount of any imputed transfers are adjusted ex post to take into account any difference between the projected fixed rate and the actual rate.[145]

For example, employer issues a ten-year split-dollar term loan to employee which employee may prepay at the end of the fifth year at one percent for the first five years and at ten-percent for the remaining five years. The arrangement is treated as a five-year split-dollar term loan from employer to employee with interest payable at one percent.[146] If employee does not prepay the split-dollar loan at the end of year five the first loan is treated as retired at the end of year five and a new five-year split-dollar term loan is issued at that time, with interest payable at ten-percent.[147] However if employer issues a ten-year split-dollar term loan on which employer has the right to demand payment at the end of the second year with interest payable on the split-dollar loan at seven-percent each year that the loan is outstanding,[148] the arrangement is treated as a ten-year split-dollar term loan because the yield of the loan is seven-percent, compounded annually, whether or not employer demands payment.[149] Similarly, consider an employer and employee who enter into a split-dollar arrangement under which employee is named policy owner and on January 1, 2010, employer makes a $100,000 premium payment repayable in fifteen years with interest payable each year on January 1, starting January 1, 2011, at a rate equal to

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[144] Treas. Reg. §§ 1.7872-15(g)(3)(ii), 1.7872-15((e)(5) (2010).
[145] Treas. Reg. § 1.7872-15(g)(4) (2010).
[146] Treas. Reg. § 1.7872-15(e)(4)(iii)(B), Ex. 1 (2010). When an employee has the right to terminate at the end of five years and the interest rate changes, the ten-year loan is tested for five years, then retested if not terminated. Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(1) (2010) ("For purposes of determining a split-dollar loan's term, the borrower is projected to exercise or not exercise an option or combination of options in a manner that minimizes the loan's overall yield. Similarly, the lender is projected to exercise or not exercise an option or combination of options in a manner that minimizes the loan's overall yield.").
[147] Treas. Reg. § 1.7872-15(e)(4)(iii)(B), Ex. 2 (2010). The second five year term at 10 percent is tested for five years at the applicable APR prevailing at that time. Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(2) (2010) ("[T]he split-dollar loan is treated for purposes of this section as retired and reissued on the date the option is or is not exercised for an amount of cash equal to the loan's adjusted issue price on that date. The reissued loan must be retested using the appropriate AFR in effect on the date of reissuance to determine whether it is a below-market loan.").
[148] Treas. Reg. § 1.7872-15(e)(4)(iii)(B), Ex. 3 (2010).
[149] Because under Treas. Reg. § 1.7872-15(e)(4)(iii)(B)(1) the loan's overall yield does not change and as a result the entire ten-year period is tested at the applicable AFR in effect when the split-dollar term loan was made.

the value of one-year London Interbank Offered Rate (LIBOR).[150] The short-term AFR (based on annual compounding) at the time of the loan is seven-percent. Assume that the value of the one-year LIBOR on January 1, 2010, is eight-percent, compounded annually. The loan bears interest at a qualified floating rate.

Because the interest rate is reset each year, the short-term AFR (based on annual compounding) is used to determine whether the loan provides for sufficient interest.[151] The loan is treated as if it provided for a fixed rate of interest equal to eight-percent, compounded annually. Based on a discount rate of seven-percent, compounded annually (the short-term AFR), the present value of the payments under the loan is $109,107.91 while the amount loaned is $100,000 so the loan provides for sufficient interest and is not a below-market split-dollar term loan.[152]

If accrued interest is forgiven by the lender, the forgiveness is treated as if the interest computed under the split-dollar loan rules had been paid to the lender by the borrower then given by the lender to the borrower.[153] For example, On January 1, 2009, when the AFR is five-percent, employer makes a $100,000 premium payment on a split-dollar life insurance arrangement as a recourse loan to employee, the policy owner, repayable on December 31, 2011, at five-percent annual interest. On the repayment date employer waives payment of interest. Under the split-dollar rules for stated interest and OID, employer accrued compound interest at five-percent each year and employee was not entitled to an interest deduction. The interest payable less the interest actually paid is the waived interest, which is treated as a deemed transfer of interest to employer, then a retransfer of the interest as compensation to employee.[154] In addition to three years interest at five-percent compounded annually is $15,762.50 and treated as income paid to employee a deferral charge is added.[155]

## V. CONCLUSION

Because interest rates are low today and expected to rise in the future, funding a split-dollar arrangement owned by the employee, shareholder, or ILIT under the term loan regime locks in today's low interest rates and provides increasing tax benefits as interest rates rise in the future. The tax savings are not available under the economic benefit regime because the

[150] Treas. Reg. § 1.7872-15(g)(5), Ex. (i) (2010).
[151] Treas. Reg. § 1.7872-15(g)(5), Ex. (ii) (2010).
[152] *Id.*
[153] Treas. Reg. § 1.7872-15(h)(1)(iv) (2010).
[154] *Id.*
[155] Treas. Reg. §§ 1.7872-15(h)(1)(i), 1.782-15(h)(1)(iii) (2010); Treas. Reg. § 1.7872-15(h)(4) , Ex. 1 (2010).

terms of the economic benefit regime measure imputed income by examining changes in cash value and term premiums directly rather than identifying below market interest charged on loans. To take advantage of the tax benefits, the donor and donee must structure the split dollar arrangement so as to lock in current interest rates for a long term, or for the life of the insured. Adroit use of the loan regime rules permit tax planners to produce favorable results for their clients by complying with the IRS rules and regulations.

# 7.10. President Salary Increase/Retention Plan

For Approval

The University of Memphis Board of Trustees
Agenda Item

**Date:** June 6, 2017

**Committee:** **Governance & Finance Committee**

**Item:** President's Salary Increase and Retention Plan

**Recommendation:** Approval

**Presented by:** Brad Martin, Vice-Chair

**Background**:
An evaluation of the president's salary has revealed that his compensation is significantly lower compared to other presidents of peer institutions. University staff benchmarked other president's compensation packages and prepared the attached spreadsheet to highlight the disparity. To address this issue, a plan was developed last year to provide for an increase in salary, performance incentives and longevity/retention bonus. Specifically the plan included an annual $50,000 supplement to the president's salary, an annual target bonus opportunity of $100,000, and an annual contribution of $100,000 to a fund at the Foundation to be earned by the president five years after the commencement of the plan. The plan also provided there would be no payment under the retention element should the president leave the University prior to that five-year period. The Foundation Board and University approved the general framework of the plan, and a number of individuals and enterprises were invited to consider supporting the plan. The implementation of the plan was halted with the governance change from the Tennessee Board of Regents to an independent governing board. It is important to note that the cost of the plan would be borne by incremental private donations to the University of Memphis Foundation where there would be no financial impact on the University's base budget.

The Executive Committee will reevaluate and finalize the plan and submit to the Board for consideration and approval at its next meeting. Prior to its implementation and to bring the president's salary in line with peers, it is proposed that the salary supplement of $50,000 begin immediately payable over twelve months. In addition the Board Chair, working with University staff, will begin the President's evaluation in August in accordance with the Presidential Review and Evaluation policy contained in the meeting materials.

**Proposed Board Resolution:**
The Governance and Finance Committee recommends the approval of a salary supplement, paid from private funds, to President Rudd in the amount of $50,000 payable over 12 months to begin immediately.

## PRESIDENTS' COMPENSATION (COMPARABLE INSTITUTIONS)*

| Academic Peers | President | Annual Salary | Performance Bonus | Retention Incentive Payment | Housing | Auto or Allowance | Other Compensation and Additonal Information |
|---|---|---|---|---|---|---|---|
| Florida International University | Mark Rosenberg | $ 502,579 | $ 48,000 | | University Owned | $ 11,417 | Retirement Contribution $135,966. |
| University of South Florida | Judy Genshaft | $ 470,000 | $ 166,250 | $ 100,000 | University Owned | $ 11,856 | Deferred Compensation Paid $56,400; Deferred Compensation set aside and Retirement Contribution $100,000 |
| University of Illinois at Chicago | Timothy Killeen | $ 600,000 | $ 100,000 | | University Owned | Auto | |
| University of Pittsburgh | Patrick Gallagher | $ 525,000 | | $ 100,000 | | | Retention Incentive Payments of $100K/year until 2019. If he stays after 2019, his salary will be $1,025,000/yr. |
| Arizona State University | Michael M. Crow | $ 661,200 | $ 40,000 | | $ 70,000 | $ 10,000 | Deferred Compensation set aside $102,600 |
| University of Cincinnati | Santa Ono | $ 525,000 | Discretionary | | | $ 15,000 | Deferred Compensation Paid $100,000; Retirement Contribution $34,728; Memberships to the University Club and Cincinnati Country Club |
| Georgia State University | Mark Becker | $ 551,204 | $ 500,000 | | $ 19,400 | Auto | Salary will increase to $1.07 million if he stays through July 1, 2019; Retirement Contribution $29,500 |
| University of Louisville | James Ramsey | $ 648,961 | | | | | Retirement Contribution $24,000 |
| University of Oklahoma Norman Campus | David Boren | $ 442,203 | | | | | Retirement Contribution $89,451 |
| University of South Carolina | Harris Pastides | $ 635,548 | $ 100,000 | $ 50,000 | University Owned | | Retirement Contribution $156,920 |
| University of Houston | Renu Khator | $ 700,000 | $ 200,000 | | University Owned | Auto | Deferred Compensation Paid $400,000; Deferred Compensation set aside and Retirement Contribution $200,000 |
| University of Alabama at Birmingham | Raymond Watts | $ 456,450 | $ 105,000 | | University Owned | $ 12,000 | |
| | | | | | | | |
| **University of Memphis** | **M. David Rudd** | **$ 382,597** | | | **$ 20,000** | **$ 9,000** | **Expense Account $5,000** |

** Data obtained from the Chronicle of Higher Education Executive Compensation Report published December 2016 as reported by each individual institution.*

05/24/2017 (MA)

# 8. Report and Recommendations of the Academic, Research and Student Success Committee

# 8.1. New Academic Programs

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Academics, Research, & Student Success Committee**

Item: **Approval of New Academic Programs**

i. **Doctor of Liberal Studies Program through the University College**
ii. **Bachelor of Professional Studies in Commercial Aviation through the University College**
iii. **Master of Science in Biostatistics through the School of Public Health**

Recommendation: Approval

Presented by: Karen Weddle-West, Ph.D., Provost/Director of Diversity Initiatives

**Background**:
Among the powers given to the Board of Trustees by the FOCUS Act is the power "to prescribe curricula and requirements for diplomas and degrees." The University of Memphis has the authority to create new courses, terminate existing courses, determine course content or design, and carry out less extensive curriculum revisions. The Tennessee Higher Education Commission (THEC) must review and approve new academic programs, off-campus extensions of existing academic programs, new academic units (divisions, colleges, and schools), and new instructional locations as specified in THEC Policy No. A1:0: New Academic Programs - Approval Process and A1:1: New Academic Programs.

i. **Doctor of Liberal Studies Program through the University College**
The University College at the University of Memphis proposes to offer a Doctor of Liberal Studies (DLS) degree. This is a terminal degree for students wishing to work across disciplines to engage a topic or issue, and will culminate in a dissertation or project demonstrating interdisciplinary analysis, synthesis, and interpretation. This program is designed for part-time adult students who are employed full-time and wish to follow their intellectual passions beyond the master's degree. The DLS program encourages students to explore topics in ways that cut across traditional disciplinary boundaries. Full program proposal follows in Appendix A.

ii. **Bachelor of Professional Studies in Commercial Aviation through the University College**
The University College at the University of Memphis proposes to offer a Bachelor of Professional Studies (BPS) in commercial aviation. This program is designed for students who wish to receive their undergraduate degree while also obtaining their commercial flight training. The program combines courses required by the Federal Aviation Administration for flight training as well as general education requirements and the University College thematic studies and senior project. Full program proposal follows in Appendix B.

iii. **Master of Science in Biostatistics through the School of Public Health**
The goal of the proposed MS in Biostatistics program is two-fold: 1) train students for positions in government and private health agencies, industry, and research institutes, and 2) prepare

students who plan to enter a doctoral program in biostatistics or bioinformatics. The nature of the program includes core courses in theoretical framework of biostatistical methods, core courses in applied biostatistics, core courses in epidemiology and public health, and elective courses aligned with students' interest. Full program proposal follows in Appendix C.

These proposals have been considered and approved by the respective College or School faculty and Deans. Subsequently, the proposals were considered and approved by the University Council for Graduate Studies and Undergraduate Studies, which are the highest governing bodies that has representation across all colleges and schools. The proposals were also considered and approved by the Provost and President of the University.

**Committee Recommendation:**
The Academics, Research and Student Success Committee met June 6, 2017, and recommends the Board approves the Doctor of Liberal Studies Program, Bachelor of Professional Studies in Commercial Aviation, and Master of Science in Biostatistics, which will be submitted to the Tennessee Higher Education commission for approval.

University College

218 Brister Hall
Memphis, Tennessee 38152-3370

Office: 901.678.7216

www.memphis.edu/univcoll

**MEMORANDUM**

**TO:** Dr. M. David Rudd
President, University of Memphis

**FROM:** Dan Lattimore
Dean, University College

**DATE:** May 15, 2017

**SUBJECT:** Doctor of Liberal Studies: New Academic Program Proposal Executive Summary

President Rudd, attached is the University College proposal for the Doctor of Liberal Studies Program and corresponding materials. The proposal conforms to the THEC format for their required "Letter of Notification" as well as their "New Academic Proposal." The original Letter of Notification was approved in January of 2016 by both Dr. Weddle-West and you. Since that time, we have had to reformat it to match THEC standards rather than the TBR guidelines, though no content changes have been made.

In summary, the University College is proposing a Doctor of Liberal Studies (DLS) program that would consist of 54 credit hours, 21 of them in a Liberal Studies core taught by existing University College faculty. Students would complete the remaining 33 credit hours in at least two disciplines, thus creating their own interdisciplinary program. There are currently only two other universities in the United States (Georgetown and Southern Methodist University) that offer DLS programs.

Because the University College already offers a Master of Arts in Liberal Studies, has all the administrative and support personal already in place, and has the faculty available to teach the DLS core already, this program will not add significantly to the University's budget. Indeed, because all students will be part-time, full-pay students, it will be self-financed.

In addition, based on the Market Viability Study the University College has already conducted (through the Educational Assessment Board [EAB]), as well as the studies produced by the Tennessee Higher Education Commission (THEC), it is clear that Tennessee is in need of employees with doctorate level skills. We believe that the skills learned and knowledge created in the DLS program will help the University of Memphis stand out as a leader in our region and the nation at large.

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We believe this degree will provide a service to the region and its employers, as well as to our potential students. Thank you for consideration of this proposal, and we look forward to hearing from the Board of Trustees regarding this proposal.

THE UNIVERSITY OF MEMPHIS

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www.memphis.edu/univcoll

# Letter of Notification to Establish a Doctor of Liberal Studies Program Through the University College

**Program Name**: Doctor of Liberal Studies
**CIP Code**: 16.24.0101.00
**Proposed Implementation Date**: Spring 2018 Semester
**Academic Program Liaison Name and Contact Information**:
Mary Kyle – marykyle@memphis.edu - 901.678.4817

**Purpose and Nature of Program**: The University College at the University of Memphis proposes to offer a Doctor of Liberal Studies (DLS) degree. This is a terminal degree for students wishing to work across disciplines to engage a topic or issue, and will culminate in a dissertation or project demonstrating interdisciplinary analysis, synthesis, and interpretation. This program is designed for part-time adult students who are employed full-time and wish to follow their intellectual passions beyond the master's degree. The DLS program encourages students to explore topics in ways that cut across traditional disciplinary boundaries.

By offering a set of core courses equaling 15 of their required 54 credit hours (excluding the 6 hours of Dissertation/Capstone Project credits), University College faculty will sharpen students' skills and provide them the analytical tools for integrating disciplinary perspectives.

Along with the required core courses, students will design their own program of student in consultation with the Graduate Coordinator. This program will include 33 hours across at least two disciplines with no more than 18 hours taken in any one discipline. Students should be prepared to engage multiple disciplines in their pursuit of innovative, interdisciplinary education.

Students will also complete an oral comprehensive exam and defend their Dissertation/Capstone Project. The 6-credit hour Dissertation/Capstone Project will take place at the end of their program. The dissertation may either be a traditional dissertation or may be a project that has an implementable initiative aligned with the student's course of study and profession. The emphasis of the project should be a community-based initiative that enhances the student's workplace or the community.

**Alignment with State Master Plan and Institutional Mission**:
The Mission of the University of Memphis clearly states an interest in interdisciplinary education and collaboration. Additionally, we seek to advance the community in which we live and work through innovative educational programs. The DLS degree is uniquely positioned to enhance that opportunity. The DLS addresses the frequent requests we have received for an interdisciplinary doctoral program for working professionals and practitioners.

This degree will allow students to design their own interdisciplinary doctoral program focused on areas of interest to the student, unlike the highly prescribed doctoral programs that exist in other colleges on our campus. The DLS degree affords students great flexibility in shaping their graduate experience and offers them a terminal degree that will enhance their professional development. Additionally, the DLS is designed to accommodate the working professional through a part-time program with hybrid, online, and mini-term course offerings.

**Feasibility Study**: The next eighteen pages is the Market Viability Study conducted by the Educational Advisory Board and completed August 2016.

MARKET RESEARCH BRIEF

# Market Viability of a Doctor of Liberal Studies

Analysis of Program Structure and Employer Demand in the Southern Region



COE Forum

# COE Forum

**Alyssa Buccella**
*Market Research Associate*

**Laura Catalani**
*Market Research Manager*

# Table of Contents

# 1) Research Methodology

## Project Challenge

Leadership at the University of Memphis approached the Forum as they considered launching a doctorate-level program in liberal studies. Through a combination of qualitative interviews with administrators of competitor programs and quantitative data analytics, the Forum sought to assess the market viability of a Doctor of Liberal Studies (DLS).

EAB's market research function provides insights which guide strategic programmatic decisions at member institutions. The Forum combines qualitative and quantitative data to help administrators identify opportunities for new program development, assess job market trends, and align curriculum with employer and student demand.

EAB reports rely primarily on labor market data from the Burning Glass Labor/Insight™ tool (description below). Reports occasionally use data from the United States Census Bureau and United States Bureau of Labor Statistics data to explore occupation and job trends. Market research reports may also incorporate Integrated Postsecondary Education Data System (IPEDS) data to assess student enrollment, demographics, and completion rates across competitor programs.

## Methodology and Definitions

**Methodology:** Unless stated otherwise, this report includes data from online job postings from July 2015 to June 2016. The Forum identified the top titles, skills, employers, industries, and locations for graduates of a DLS program.

**Definitions:** "Regional employer demand" and the "profiled region" refer to Alabama, Arkansas, Georgia, Kentucky, Mississippi, Missouri, North Carolina, Tennessee, and Virginia.

Employer demand for "doctorate-level liberal studies graduates" refers to job postings that require a doctorate-level degree and liberal studies skills such as 'leadership,' 'writing,' 'communication skills,' 'critical thinking,' and 'research.'

Annual growth in job postings is measured in the change between July 2013 and June 2016 by six-month halves (i.e., H2 2013 is July 2013 to December 2013). H2 2014 to H1 2015 represents year one and H2 2015 to H1 2016 represents year two, which gives the most recent two complete years of data.

## Burning Glass Labor/Insight™

**EAB's Partner for Real-Time Labor Market Data**

This report includes data made available through EAB's partnership with Burning Glass Technologies, a Boston-based leader in human capital data analytics. Burning Glass Technologies specializes in the use of web spidering technology to mine more than 80 million online job postings and analyze real-time employer demand. Under this partnership, EAB may use Burning Glass's proprietary Labor/Insight™ tool to answer member questions about employer demand for educational requirements, job titles, and competencies over time, as well as by geography. The tool considers job postings "unspecified" for a skill, industry, employer, geography, certification, or educational requirement when the job posting did not advertise for one of these particular job characteristics. Unspecified postings represent null values and should be excluded from the total number (n value) of job postings analyzed in the query. A more complete description of the tool is available at [http://www.burning-glass.com/products/laborinsight-market-analysis/](http://www.burning-glass.com/products/laborinsight-market-analysis/).

For more information about the Labor/Insight™ tool, please contact Betsy Denious, Director of Business Development Learning & Policy at bdenious@burning-glass.com or 301-525-6596.

## Project Sources

The Forum consulted the following sources for this report:

- EAB's internal and online research libraries (eab.com)
- National Center for Education Statistics (NCES) (http://nces.ed.gov/)
- The Bureau of Labor Statistics (www.bls.gov)
- Profiled Program Websites

## Profiled Institutions

The Forum interviewed program directors or profiled programs via secondary research at the following institutions:

**A Guide to Institutions Profiled in this Brief**[1]

| Institution | Location | Approximate Institutional Enrollment (Undergraduate/Total) | Classification |
|---|---|---|---|
| **Georgetown University** | Mid-Atlantic | 7,500 / 18,000 | Doctoral Universities: Highest Research Activity |
| **Southern Methodist University** | South | 6,500 / 11,500 | Doctoral Universities: Higher Research Activity |
| **Tufts University** | Northeast | 5,000 / 11,000 | Doctoral Universities: Highest Research Activity |
| **Washington State University** | Pacific West | 24,000 / 28,500 | Doctoral Universities: Highest Research Activity |
| **Washington University in St. Louis** | Midwest | 7,500 / 14,500 | Doctoral Universities: Highest Research Activity |

1) National Center for Education Statistics.

# 2) Executive Overview

## Key Observations

**Profiled administrators offer evening and weekend coursework to promote collaboration between students and faculty.** All profiled administrators offer their related programs face-to-face, most frequently in flexible formats (e.g., weekends, evenings). Contacts report limited interest from prospective students in an online program format. Face-to-face programs allow students to learn from and collaborate with program faculty through their research and other students via required introductory seminars. Tennessee-based employers account for six percent of regional employer demand for prospective employees with doctoral degrees and several liberal studies skills (e.g., 'communication,' 'research,' 'writing').

**Incorporate required foundational seminars into to the DLS program curriculum to prepare students for interdisciplinary research.** Administrators require students complete two to six foundational seminars that review interdisciplinary approaches to academic research, argumentation, and oral and written communication. Regional employers exhibit the greatest demand for similar competencies including 'communication skills,' 'research,' and 'writing.' Administrators at **Southern Methodist University** require students to attend all foundational seminars as a cohort, which engages students with the program as they collaborate and learn from each other via class discussions. Some contacts report that the lack of a cohort model within related individual interdisciplinary programs isolates some doctorate-level liberal and interdisciplinary studies students and may hinder program enrollment or completion.

**Program administrators enroll students from various professional backgrounds (e.g., business, public service).** Contacts report consistent program enrollments of two to 20 students per year. Students work as leaders in business, non-profit organizations, religion, public service, and education. Profiled administrators require that students possess a completed master's degree for admission to their doctorate program, but students' areas of study vary considerably (e.g., economics, environmental sciences, nursing). Employers in the 'professional, scientific, and technical services' industry (e.g., management and technical consulting) account for 26 percent of relevant job postings in the last year. Job postings in the 'educational services' industry (e.g., colleges, universities, and professional schools) account for 17 percent of regional job opportunities.

# 3) Trends in Employer Demand and Program Characteristics

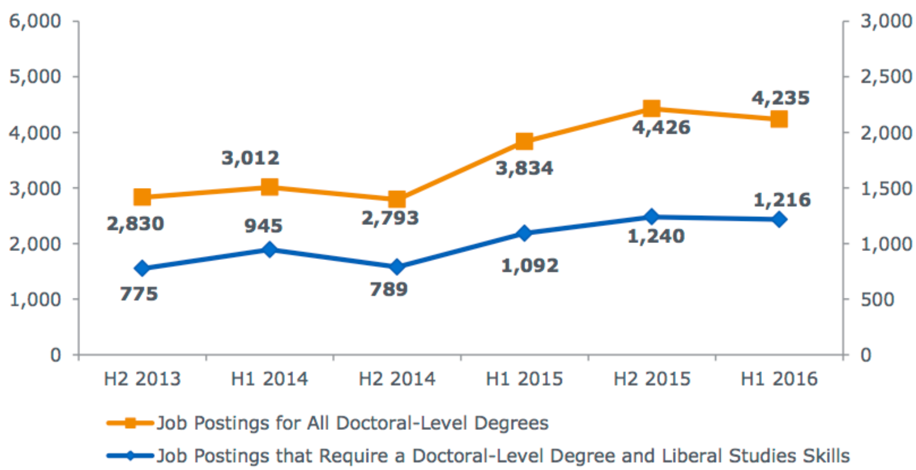
## Historical Demand

### Employer Demand for Doctorate-Level Liberal Studies Professionals Increased Faster than Demand for All Doctorate-Level Degree Holders

Opportunity exists for the **University of Memphis** to develop a Doctor of Liberal Studies program. Relevant regional job postings for doctorate-level liberal studies graduates increased 57 percent from H2 2013 to H1 2016. Regional employer demand for all doctorate-level degree holders increased 50 percent in the same timeframe. The Bureau of Labor Statistics (BLS) expects occupations that require a master's degree will grow the fastest from 2012 to 2022 (i.e., 18 percent growth), and occupations that require a graduate or professional degree will grow 16 percent in the same timeframe.[2] Further, individuals with a professional doctorate degree experienced seven percent higher median weekly earnings in 2015 than those with a doctoral degree (i.e., PhD), as well as the lowest unemployment rate of any educational attainment level (i.e., 1.5 percent).[3]

**Historical Demand for Doctorate-Level Liberal Studies Graduates**[4]

*H2 2012- H1 2016, Regional Data*[5]




2) The Bureau of Labor Statistics
3) The Bureau of Labor Statistics
4) Data collected for H2 2013 and after is not directly comparable to data collected before H2 2013 due to improvements in Burning Glass Labor/Insight's web spidering technology.
5) Burning Glass Labor/Insight™.

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## Top Employers

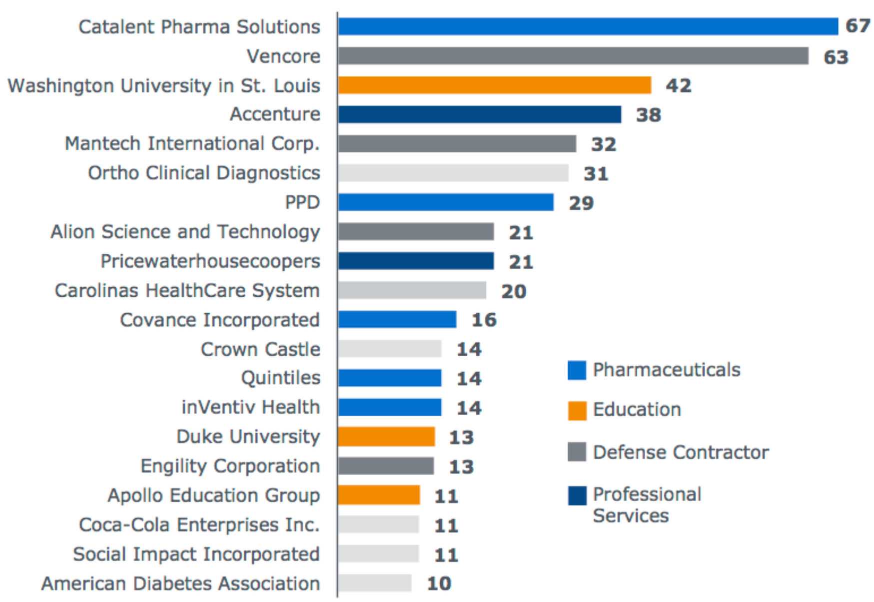
### Prepare Students to Enhance their Work as Professional and Community Leaders

Contacts report that students pursue doctorate-level liberal and interdisciplinary studies programs to examine an area of interest or passion related to their existing line of work or their community. Interdisciplinary study allows students to broaden and synthesize their knowledge in new and innovative ways, ultimately to incite a larger impact on society. Regional pharmaceutical (e.g., Catalent Pharma Solutions), education (e.g., Duke University), defense (e.g., Vencore), and professional services (e.g., Accenture) employers seek prospective employees with doctoral degrees and liberal studies skills (e.g., 'communication,' 'research,' 'writing').

**Top Employers of Doctorate-Level Liberal Studies Graduates**

*July 2015-June2016, Regional Data*[6]

n=1,681 job postings, 300 unspecified postings




6) Burning Glass Labor/Insight™.

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Top Locations

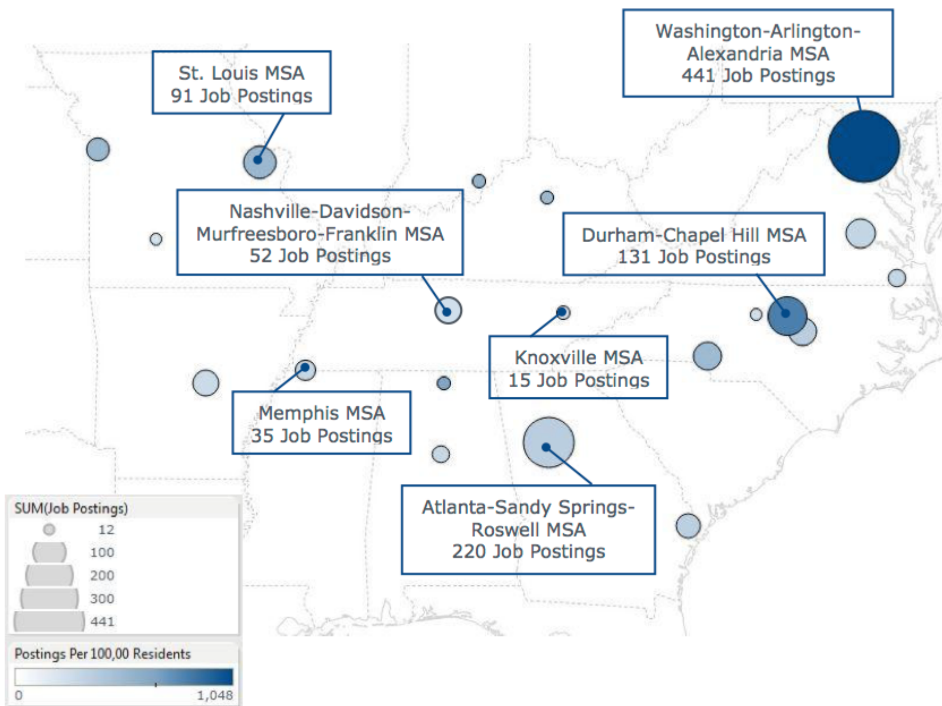
## Seek to Enroll Local Students in a Doctor of Liberal Studies Program

The Washington-Arlington-Alexandria MSA accounts for 26 percent of regional demand for doctorate-level liberal studies graduates, and the Atlanta-Sandy Springs-Roswell MSA accounts for 13 percent of regional demand. Administrators offer their related doctorate-level programs in a face-to-face format. Further, contacts from **Southern Methodist University** report that leaders across different industries (e.g., religion, education, business) in the Dallas area remain the target market for their DLS program. Tennessee-based employers account for six percent of regional demand.

### Top Locations of Employers of Doctorate-Level Liberal Studies Graduates

*July 2015-June2016, Regional Data*[7]

n=1,681 job postings, 76 unspecified postings




7) Burning Glass Labor/Insight™.

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Program Profiles

## Offer a Doctor of Liberal Studies Program with Face-to-Face Components to Promote Collaboration between Students and Faculty

Despite some reported interest from prospective students in an online format, all profiled program administrators offer their program face-to-face. Administrators from **Washington State University** report that students must pursue coursework across three different disciplines to enroll in the Individual Interdisciplinary Doctoral Degree. The possibility of online coursework for Washington State University students depends on the availability of online courses within students' three chosen disciplines. Overall, however, students pursue face-to-face coursework and contacts from Washington State University report that the research driven nature of the program requires students to work closely with faculty on campus.

Contacts from **Southern Methodist University** report no intent to offer the DLS completely online. After experimentation with hybrid courses for their Master of Liberal Studies program, Southern Methodist University administrators would consider the development of a maximum of 70 percent of their DLS program online. Contacts from Southern Methodist University cite the strong learning community that face-to-face courses foster among students as a key benefit. Time in class together introduces diverse experiences and academic pursuits into the classroom. This face-to-face time allows students to learn from one another through class discussions.

Washington State University contacts report that students enroll in their program both part-time and full-time. Southern Methodist University administrators intend for the full-time track to meet the needs of international students that need to take nine credits to maintain visa status. Domestic students at Southern Methodist University enroll part-time and do not take more than six credits per semester.

### Characteristics of Profiled Programs

| Institution | Program Name | Number of Credits | Tuition (Per credit) | Delivery Format |
|---|---|---|---|---|
| **Washington State University** | • Individual Interdisciplinary Doctoral Degree | • 34 (graduate coursework)<br>• 9 (thesis) | • $588<br>• (resident)<br>• $1,260 (non-resident) | • Face-to-face |
| **Southern Methodist University** | • Doctor of Liberal Studies | • 36 (graduate coursework)<br>• 9 (thesis) | • $934 | • Face-to-face<br>– Evenings and weekends |
| **Washington University in St. Louis** | • Doctor of Liberal Arts | • 36<br>• 9 (thesis) | • $975 | • Face-to-face<br>– Evenings |
| **Georgetown University** | • Doctor of Liberal Studies | • 36 | • $1,292 | • Face-to-face<br>– Evenings and weekends |
| **Tufts University** | • Interdisciplinary Doctorate | • Varies | • $29,936 (per year) | • Face-to-face<br>– 2-4 year residency requirement |

Contacts from **Tufts University** report that the total number of credit hours to earn their degree varies considerably based upon a student's chosen areas of study. Students devise a plan of study in partnership with their academic faculty committee and the Interdisciplinary Doctorate program committee.

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## Require Foundational Seminars to Orient Students to the DLS Program and Prepare Students for Interdisciplinary Research

Contacts from **Tufts University** and **Washington State University** report that the lack of a cohort isolates some students and may hinder program enrollment or completion. Contacts from **Southern Methodist University** report that their program orientation and six foundational seminars engage students with the program, the faculty, and their fellow classmates as they begin their more individual courses of study.

Programs offered at **Georgetown University**, **Southern Methodist University**, **Washington University in St. Louis**, and **Washington State University** require students to complete two to six foundational seminars. Administrators design these courses to develop students' mastery of interdisciplinary approaches to academic research, argumentation, values reflection, and oral and written communication. At Southern Methodist University students attend all foundational seminars as a cohort, which fosters a strong learning community amongst students as they collaborate and learn from each other via class discussions.

Students at Washington University in St. Louis choose among four interdisciplinary concentrations (i.e., textual traditions, historical context, visual culture, global perspectives) to focus their studies. Administrators of all other profiled programs, however, do not offer program concentrations and students choose all elective coursework under the direct guidance of their faculty advisor and program leadership. All profiled programs require students to pass a written and oral comprehensive exam and write a thesis to complete their degree.

### Sample Doctor of Liberal studies Program Structure

*Southern Methodist University, Doctor of Liberal Studies*

**Foundational Seminars (18 Credits)**

- Courses:
  - Perspectives on Our Common Historical Experience
  - The Transformation of the Psyche
  - The Art of Creativity and Expression
  - East Meets West – Intelligence, History, Culture, and Society
  - The Struggle for Human Rights
  - Science and Society
- Help students undertake scholarly work in the program and provide training in analytical thinking and writing through discussion, research, and progressive study on interdisciplinary topics

**Written and Oral Comprehensive Exam**

- Written and oral comprehensive examination within 6 months of the conclusion of coursework
- Evaluates student's ability to integrate their DLS coursework within the overall interdisciplinary framework of the program

**Courses in Support of Thesis Topic (18 Credits)**

- 6 courses in direct support of students' doctoral thesis topic
- Includes up to three directed reading courses
- Selected in consultation with students' faculty advisor and the program director

**Doctoral Thesis Research and Writing (9 credits)**

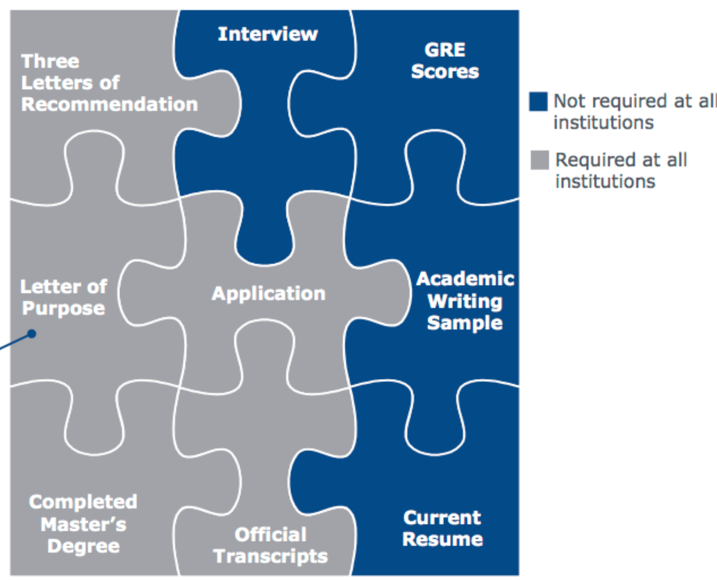
- 9 units of thesis research and writing after students complete the DLS coursework and pass the comprehensive examinations.
- Represents the creative synthesis and critical interpretation of primary sources and secondary materials

## Interview Prospective Students Prior to Admission to a Doctor of Liberal Studies Program

Profiled administrators typically require that students possess a completed master's degree for admission to their doctorate program. A completed master's degree indicates students' preparedness to conduct independent research and guides students as they construct their interdisciplinary course of study. Only administrators at **Tufts University** and **Washington State University** require students to submit GRE scores, and students may opt to submit scores at **Southern Methodist University** to add to the strength of their application. Program directors at Tufts University and Southern Methodist University interview prospective students and applicants extensively prior to admission. Contacts report that these interviews help administrators at Tufts University and Southern Methodist University:

- set realistic expectations for students about program requirements and what constitutes a competitive application to the program,
- understand the motivations behind students' pursuit of the degree and intended social impact after degree completion,
- ascertain students' intended plan of study and what faculty can support the student as a principal advisor and doctoral committee.

### Admissions Requirements for Profiled Programs




- Discusses topics such as:
  - applicants intended area(s) of study
  - applicants motivations for the pursuit of the degree
  - university faculty that might serve as the principal advisor or sit on the advisory committee for the applicant

## Top Skills

### Incorporate Professional (e.g., 'Project Management') and Communication Skills into DLS Program Curriculum

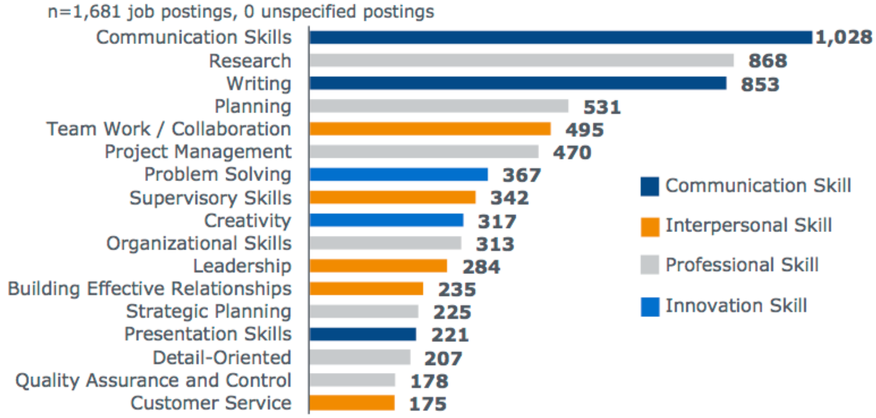
Regional employers seek prospective employees with professional competencies in 'research,' 'project management,' 'strategic planning,' and 'quality assurance and control.' Employers also seek applicants with communication skills in 61 percent of job openings and indicate demand for both written and oral communication skills (e.g., 'writing,' 'presentation skills'). Interpersonal skills (e.g., 'leadership,' 'building effective relationships') and innovation skills (e.g., 'problem solving,' 'creativity') also rank among the top employer demanded competencies.

Contacts from **Southern Methodist University** report that graduates should develop expertise in their chosen topic via the specialized courses and thesis research and writing completed in the program. Additionally, administrators from Southern Methodist University require six foundational seminars to instill in students a broad understanding of the liberal arts in relation to the human condition. Southern Methodist University contacts also report analytical thinking, research and writing at the doctoral level, and superior oral and written communication skills as key competencies conferred by their DLS program.

**Top Baseline Skills for Doctorate-Level Liberal Studies Graduates**

*July 2015-June2016, Regional Data*[8]

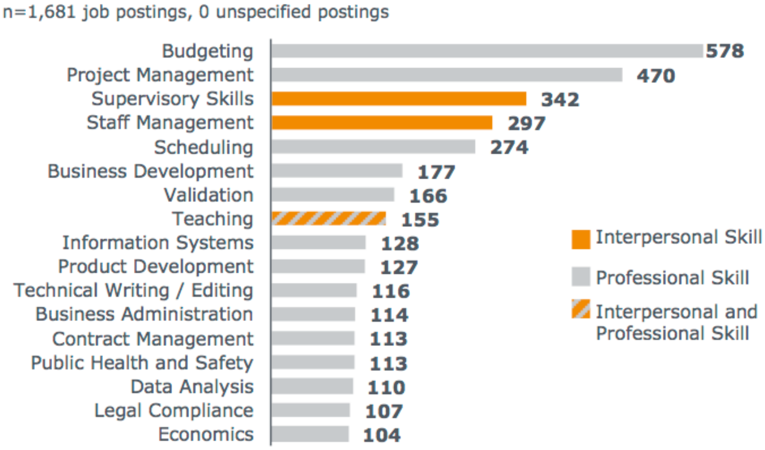
n=1,681 job postings, 0 unspecified postings




**Top Specialized Skills for Doctorate-Level Liberal Studies Graduates**

*July 2015-June2016, Regional Data*[9]

n=1,681 job postings, 0 unspecified postings




8) Burning Glass Labor/Insight™.

9) Burning Glass Labor/Insight™.

# 4) Student Trends and Outcomes

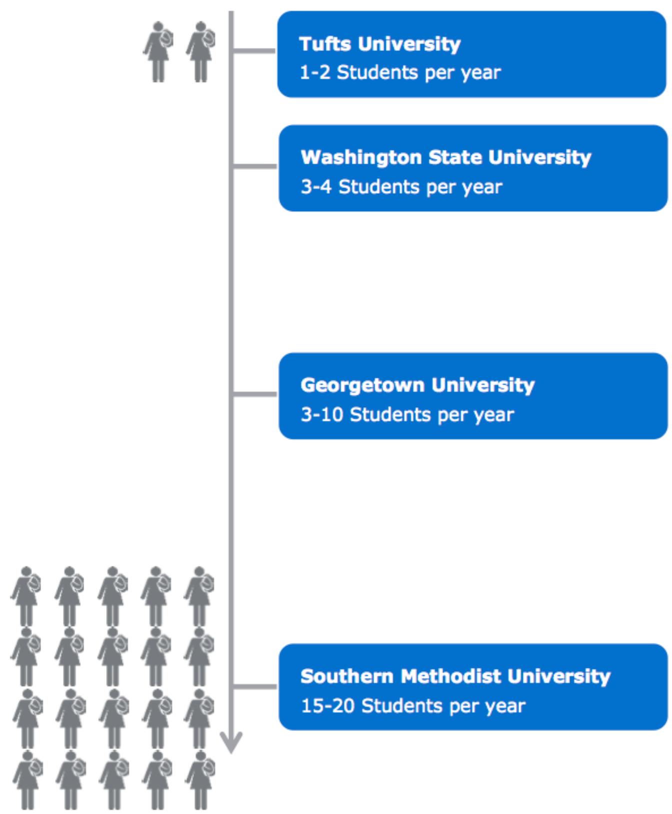
## Enrollment Trends

### Contacts Report Low but Consistent Program Enrollments

The first DLS cohort at **Southern Methodist University** consisted of 21 students. Administrators started with a program of this size to account for potential attrition of students in the cohort before degree completion. Nineteen of those 21 students still remain committed to the program and its completion after the first year and administrators plan to enroll 17 students in the second cohort. Contacts note that the target cohort size will remain around 15 students. Administrators report the first cohort, now at 19 students, as too large given the individual guidance that each student requires and the collaborative learning community that administrators strive to foster among students.

**Washington State University** administrators enroll three to four students per year and served, in total, approximately 85 students since 1983. **Tufts University** administrators graduate one to two students per year, while **Georgetown University** program directors report an average of six degree completions per year to the International Postsecondary Education Data System.[10]

**Profiled Program Student Enrollment**




10) Integrated Postsecondary Education Data System

## Target Market

### Program Administrators Enroll Community Leaders from a Variety of Professional Backgrounds (e.g., business, public service)

Contacts from **Southern Methodist University** report that Master of Liberal Studies graduates initially expressed interest in a doctorate-level liberal studies program. Since the DLS program launched, however, administrators find that few MLS graduates enroll in the doctorate-level program and the program primarily serves leaders across industries (e.g., religion, business) in the Dallas community. Southern Methodist University contacts report that students range in age from 28 to 82.

Professionals aged 25 to 30 typically enroll in the program at **Washington State University.** Students in the Individual Interdisciplinary Doctoral program at the University must declare three distinct disciplines of study to enroll in the program. Contacts from Washington State University report that the one of the chosen disciplines typically corresponds to the student's completed master's degree, but students' areas of study vary considerably. Washington State University students pursue studies at the doctoral level that include economics, education, neuroscience, global animal health, environmental sciences, business, and nursing.

Southern Methodist University administrators do not employ any additional program-level marketing strategies beyond the public radio and television ads that the University places in the Dallas area. Contacts from **Tufts University** and Washington State University both report that students learn about their programs via word of mouth or students' own research on the internet. Administrators from Washington State University also report success in the recruitment of students that completed a master's degree at Washington State University in a field for which the University does not offer a doctoral degree. These students may apply their master's credits toward the doctorate and then pursue coursework in two additional disciplines to complete the degree.

**Profiled Doctor of Liberal Studies Students**

Student Outcomes

## Employers in the 'Professional, Scientific, and Technical Services' Industry Exhibit the Greatest Demand for Doctorate-Level Liberal Studies Graduates

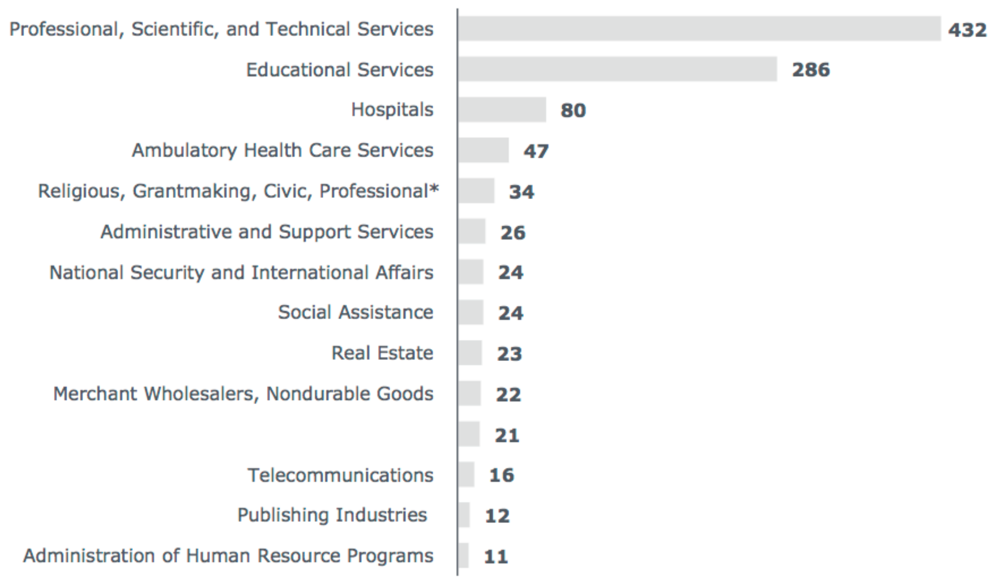
Open positions in the 'professional, scientific, and technical services' industry (e.g., scientific research and development, management and technical consulting) account for 26 percent of relevant job postings in the last year. Relevant openings within the 'educational services' industry (e.g., colleges, universities, and professional schools) account for 17 percent of regional job opportunities. Open positions within the 'hospitals' and 'ambulatory health care services' industries account for five and three percent of job postings, respectively.

**Tufts University** administrators report that graduates work for non-profits, in public service, or start their own businesses. Contacts from Tufts University report that one third of students enter the program with the intention to pursue academia, but only 25 percent of students ultimately work in academia upon graduation. Despite expectations that most graduates would pursue government or non-profit employment settings, contacts from **Washington State University** that 75 to 80 percent of program graduates work in academia or with research institutes.

### Top Industries for Doctorate-Level Liberal Studies Graduates

*July 2015-June 2016, Regional Data*[11]

n=1,681 job postings, 563 unspecified postings




* Religious, Grantmaking, Civic, Professional, and Similar Organizations

11) Burning Glass Labor/Insight™.

THE UNIVERSITY OF MEMPHIS

## Top Titles by Industry for Doctorate-Level Liberal Studies Graduates

*July 2015-June 2016, Regional Data*[12]

n=1,681 job postings, 0 unspecified postings

| Industry | Top Titles |
|---|---|
| **Professional, Scientific, and Technical Services** | • Health Manager<br>• Risk Manager<br>• Operations Specialist<br>• Senior Director, Operational Strategy and Planning |
| **Educational Services** | • Academic Dean<br>• Associate Dean<br>• Clinical Research Coordinator<br>• Dean of Students |
| **Hospitals and Ambulatory Health Care Services** | • Technical Writer<br>• Economist<br>• Project Director<br>• Assistant Vice President |
| **Religious, Grantmaking, Civic, and Professional Organizations** | • Health Director<br>• Senior Vice President, Medical Affairs and Community Programs<br>• Senior Research and Evaluation Advisor |

12) Burning Glass Labor/Insight™.

# Appendix A: Networking Contacts

**Southern Methodist University**
Michele Mrak
*Executive Director, SMU Graduate Liberal Studies*
214-768-1016
mmrak@mail.smu.edu

**Tufts University**
Susan Ernst
*Faculty Director, Interdisciplinary Doctoral Program*
617-627-3541
Susan.ernst@tufts.edu

**Washington State University**
Lisa Gloss
*Associate Dean, Graduate School*
509-335-5859
lmgloss@wsu.edu

**Program Costs/Revenues:** This interdisciplinary doctoral program will draw from courses across the University of Memphis. The DLS core courses will be taught by existing University College faculty who possess terminal degrees and have graduate faculty status. No new faculty will be added to start the program. As the program grows, faculty needs will be reassessed.

The administrative cost will be minimal to start the program since we already have a Master of Liberal Studies program in place.

We propose to pay stipends to faculty members who serve on the Dissertation/Capstone Project committee as content experts in the discipline(s) in which the DLS student has focused (outside of the University College).

Students in this program are part-time (full-pay) students. There are no scholarships or graduate assistantships planned.

**Existing Programs Offered at Public and Private Tennessee Institutions:** There are no other DLS programs in our system or state. There are currently only two DLS programs in the United States (Georgetown and Southern Methodist University).

**Tennessee Higher Education Commission**
**Attachment A: THEC Financial Projections**
**University of Memphis, University College**
**Doctor of Liberal Studies**

Seven-year projections are required for doctoral programs.
Five-year projections are required for baccalaureate and Master's degree programs
Three-year projections are required for associate degrees and undergraduate certificates.
Projections should include cost of living increases per year.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 |
|---|---|---|---|---|---|---|---|
| **I. Expenditures** | | | | | | | |
| | | | | | | | |
| **A. One-time Expenditures** | | | | | | | |
| New/Renovated Space | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Equipment | - | - | - | - | - | - | - |
| Library | - | | - | - | - | - | - |
| Consultants | - | - | - | - | - | - | - |
| Travel | | | | | | | |
| Other | - | - | - | - | - | - | - |
| **Sub-Total One-time** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **B. Recurring Expenditures** | | | | | | | |
| **Personnel** | | | | | | | |
| **Administration** | | | | | | | |
| Salary | $ 12,000 | $ 12,360 | $ 12,730 | $ 13,112 | $ 13,505 | $ 13,910 | $ 14,327 |
| Benefits | 4,272 | 4,400 | 4,532 | 4,668 | 4,808 | 4,952 | 5,100 |
| **Sub-Total Administration** | $ 16,272.00 | $ 16,760.16 | $ 17,261.88 | $ 17,779.87 | $ 18,312.78 | $ 18,861.96 | $ 19,427.41 |
| | | | | | | | |
| **Faculty** | | | | | | | |
| Salary | $ 80,000 | $ 82,400 | $ 84,872 | $ 87,418 | $ 90,040 | $ 92,741 | $ 95,523 |
| Benefits | 4,880 | 5,026 | 30,214 | 31,121 | 32,054 | 33,016 | 34,006 |
| **Sub-Total Faculty** | $ 84,880 | $ 87,426 | $ 115,086 | $ 118,539 | $ 122,094 | $ 125,757 | $ 129,529 |
| | | | | | | | |
| **Support Staff** | | | | | | | |
| Salary | $ 4,563 | $ 5,000 | $ 5,500 | $ 6,000 | $ 6,500 | $ 7,000 | $ 7,500 |
| Benefits | 1,624 | 1,780 | 1,958 | 2,136 | 2,314 | 2,492 | 2,670 |
| **Sub-Total Support Staff** | $ 6,187 | $ 6,780 | $ 7,458 | $ 8,136 | $ 8,814 | $ 9,492 | $ 10,170 |
| | | | | | | | |
| **Graduate Assistants** | | | | | | | |
| Salary | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Benefits | - | - | - | - | - | - | - |
| Tuition and Fees* (See Below) | - | - | - | - | - | - | - |
| **Sub-Total Graduate Assistants** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **Operating** | | | | | | | |
| Travel | $ 5,000 | $ 5,000 | $ 5,000 | $ 5,000 | $ 5,000 | $ 5,000 | $ 5,000 |
| Printing | 500 | 500 | 250 | 250 | 250 | 250 | 250 |
| Equipment | - | - | 3,000 | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| **Sub-Total Operating** | $ 5,500 | $ 5,500 | $ 8,250 | $ 5,250 | $ 5,250 | $ 5,250 | $ 5,250 |
| | | | | | | | |
| **Total Recurring** | **$ 112,839** | **$ 116,467** | **$ 148,056** | **$ 149,705** | **$ 154,471** | **$ 159,361** | **$ 164,377** |
| | | | | | | | |
| **TOTAL EXPENDITURES (A + B)** | **$ 112,839** | **$ 116,467** | **$ 148,056** | **$ 149,705** | **$ 154,471** | **$ 159,361** | **$ 164,377** |

***If tuition and fees for Graduate Assistants are included, please provide the following information.**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Base Tuition and Fees Rate | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Number of Graduate Assistants | - | - | - | - | - | - | - |

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 |
|---|---|---|---|---|---|---|---|
| **II. Revenue** | | | | | | | |
| Tuition and Fees[1] | 125,544 | 258,624 | 399,564 | 571,600 | 624,075 | 667,040 | 712,044 |
| Institutional Reallocations[2] | (12,705) | (142,157) | (251,508) | (421,895) | (469,604) | (507,679) | (547,667) |
| Federal Grants[3] | - | - | - | - | - | - | - |
| Private Grants or Gifts[4] | - | - | - | - | - | - | - |
| Other[5] | - | - | - | - | - | - | - |
| **BALANCED BUDGET LINE** | **$ 112,839** | **$ 116,467** | **$ 148,056** | **$ 149,705** | **$ 154,471** | **$ 159,361** | **$ 164,377** |

**Notes:**

**(1) In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include mainter**

In 2017-2018 assumes 3% tuition increase each year.

In years 1-3, 12 FTE. In years 4-7, 15 FTE.

**(2) Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.**

No reallocation needed.

**(3) Please provide the source(s) of the Federal Grant including the granting department and CFDA(Catalog of Federal Domestic Assistan**

No grants anticipated.

**(4) Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).**

N/A

**(5) Please provide information regarding other sources of the funding.**

N/A

THE UNIVERSITY OF MEMPHIS

University College

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Memphis, Tennessee 38152-3370

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www.memphis.edu/univcoll

**New Academic Program Proposal:**
**Doctor of Liberal Studies in the University College at the University of Memphis**

**Curriculum:**

**Program Requirements:**

- Earn 54 hours of post-master's coursework at the 7000 and/or 8000 course level.
- Complete the 21 hours of University College core requirements (including the 6 hour Dissertation/Capstone Project)
  - Foundations in Liberal Studies (3)
  - Research in Interdisciplinary Studies (3)
  - Data-Based Decision Making (3)
  - Liberal Studies Seminar (3)
  - Directed Study/Prospectus Design (3)
  - Dissertation/Capstone Project (6)
- Complete 33 hours in two or more disciplines with no more than 18 hours in any one discipline.
- Successfully complete an oral comprehensive exam and defend the Dissertation/Capstone Project.

**Current Courses and Existing Programs:**

- Within the University College, faculty with terminal degrees and graduate faculty status already teach the following courses:
  - UNIV 7000 – Foundations of Liberal Studies
  - UNIV 7100 – Research in Interdisciplinary Studies
  - UNIV 7111 – Data-Based Decision Making
  - UNIV 7200 – Liberal Studies Seminar
  - UNIV 7996 – Independent Study
- Each course will have an 8xxx-level section added to them to serve the DLS program and separate the course from the Master of Arts in Liberal Studies program.
- Other existing courses come from departments across the University of Memphis.

**New Courses Needed:**

- UNIV 9000 – Dissertation/Capstone Project Research (1-9 credit hours)
  - Serving as the final part of a student's Doctor of Liberal Studies program, the Dissertation/Capstone Project course will be taken in the final 1-2 semesters of a student's tenure in the program. The dissertation may either be a traditional dissertation or may be a project that has an implementable initiative aligned with the student's course of study and profession. The emphasis of a project should be a community-based initiative that enhances the student's workplace or the community.
  - Students must take a total of 6 dissertation credits before qualifying for the DLS degree. Students may take additional dissertation credits needed to complete their Dissertation/Capstone Project, but only 6 will count toward degree requirements.

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You must contact the Graduate Studies Coordinator before enrolling for Dissertation/Capstone Project credits.

**Distance Learning:**

- All DLS core courses provided through the University College (UNIV) will be offered both online and on campus.

**Course Syllabi:**

- Attached at the close of this document in Appendix A.

**Academic Standards:**

- Hold an earned Master's degree from a regionally accredited U.S. college or university. International Master's degrees will be evaluated on an individual basis.
- Have a cumulative Grade Point Average (GPA) of 3.25 on a 4.0 scale in all earned graduate coursework.
- Acceptance to the University of Memphis Graduate School.
- Submit a portfolio of professional work experience along with a detailed statement or educational and professional goals.
- Interview with the Graduate Admissions Committee in the University College.
- GRE is not required.
- Submit a proposed Course of Study identifying specific courses (with substitutes) to be completed outside of the University College DLS Core.
- Students may apply for Experiential Learning Credit (ELC). Up to 12 hours of ELC may be applied towards the degree.

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**Diversity:** Tables supplied by the University of Memphis Office of Institutional Research

| Enrollment by Ethnicity and Gender | | | | |
|---|---|---|---|---|
| Spring 2017 | Undergrad | Mast & EDS | Prof & Doc | Total |
| FEMALES | . | . | . | . |
| Unspecified | . | . | . | . |
| Alaskan | . | . | . | . |
| American Indian | 4 | . | . | 4 |
| Asian | 13 | 1 | . | 14 |
| Black | 447 | 67 | 1 | 515 |
| Hispanic | 19 | . | . | 19 |
| White | 258 | 26 | . | 284 |
| Pacific Islander | . | . | . | . |
| Multi-Race | 22 | 3 | . | 25 |
| Non-Resident Alien | 3 | 1 | . | 4 |
| MALES | . | . | . | . |
| Unspecified | 1 | . | . | 1 |
| Alaskan | . | . | . | . |
| American Indian | 1 | . | . | 1 |
| Asian | 4 | . | . | 4 |
| Black | 143 | 19 | . | 162 |
| Hispanic | 12 | 3 | . | 15 |
| White | 168 | 17 | . | 185 |
| Pacific Islander | . | . | . | . |
| Multi-Race | 8 | 1 | . | 9 |
| Non-Resident Alien | 2 | 1 | . | 3 |

**Program Enrollment and Graduates:**

- Three Year Projected Enrollment
  - 12-15 students enrolled every year for a total of 36-45 students in the program with no anticipated graduates within three years.
- Five Year Projected Enrollment
  - 12-15 students enrolled every year for a total of 60-75 students in the program with 12-15 anticipated graduates within five years.
- Seven Year Projected Enrollment
  - 12-15 students enrolled every year for a sustaining total of roughly 75 students in the program with 12-15 anticipated graduates each year after the fifth year of the program.

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**Administrative Structure:**

- The University College is the administrative unit housing the DLS degree.
  - Within the University College, the College Dean and Associate Dean with graduate responsibilities are the department heads, while the Graduate Studies Coordinator (currently Colin Chapell) is the program director.

**Faculty Resources:** As ours is an interdisciplinary program, the following University College faculty are available to teach the DLS Core Courses. Students will then complete courses in other disciplines identified in their Course of Study.

**Current Faculty:** (CV's attached in Appendix B)

- Dr. Dan Lattimore, Dean of the University College – Dr. Lattimore will be transitioning to teaching faculty effective September 2017, and has Graduate Faculty status.
- Dr. Bill Akey, Interim Vice Provost for Enrollment Services – Dr. Akey currently teaches one class for the University College and has Graduate Faculty status.
- Dr. Joanne Gikas, Associate Dean of the University College – Dr. Gikas currently teaches in our Professional Studies program and has Graduate Faculty status.
- Dr. Colin Chapell, Graduate Studies Coordinator – Dr. Chapell currently teaches in our Master of Liberal Studies program and has Graduate Faculty status.
- Dr. Ron Serino, Instructor – Dr. Serino currently teaches in our Liberal Studies program and is in process of acquiring Graduate Faculty status.
- Dr. Joy Austin, Instructor – Dr. Austin currently teaches in our Master of Liberal Studies program and has Graduate Faculty status.
- Dr. Herb McCree, Instructor - currently teaches in our Master of Liberal Studies program and has Graduate Faculty status.
- Dr. Radie Krueger, Instructor – currently teaches in our Master of Professional Studies program and has Graduate Faculty status.
- Dr. Tom Russell, Instructor – currently teaches in our Liberal Studies program and has Graduate Faculty status.

**Anticipated Faculty:**

- Mr. Hal Freeman, Instructor – Mr. Freeman currently teaches in the University College's Master's of Professional Studies program and is an ABD Doctoral Candidate with Graduate Faculty status.

**Library and Information Technology Resources:**

- University of Memphis Libraries - from the University Libraries website (http://www.memphis.edu/libraries/about/forms/ulholdings.pdf)
  - The University Libraries consists of the McWherter Library and three branch libraries: Music Branch Library located on the Main Campus in the Rudi E. Scheidt School of Music; Lambuth Campus Branch Library located in Jackson, TN; and the Health Sciences Branch Library located on the Park Avenue Campus in the

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Community Health Building. Onsite use of the University Libraries' facilities is available not only to the students/faculty/staff of the UofM, but also to the general public from the local community and surrounding Mid-South area. In cooperation with the UofM Office of Disability Resources for Students, the University Libraries houses the Assistive Technology Lab in the McWherter Library first floor Learning Commons.

- The collections held by the University Libraries as of June 30, 2013, include 1.3 million bound volumes; 3.7 million pieces of microformat materials; 10+ million manuscript pieces; 814,000+ photographs; and a wide variety of audio-visual materials. The University Libraries' electronic resources are made available via the University Libraries' website www.memphis.edu/libraries. Faculty and students have access to 76,000+ full-text electronic books, 17,000+ full-text journals and over 350 electronic databases that, in turn, provide access to additional journals, books, newspapers, etc. Items not available locally may be obtained by faculty and students from other libraries through the University Libraries' Interlibrary Loan Office.
- Two collections of note within the McWherter Library are the Government Publications Collection and the Special Collections.
- The Special Collections house personal and organizational papers, manuscripts, rare books, photographs, oral histories, and the UofM archives.
- The University Libraries are significant resources for both The University of Memphis and the Mid-South region. While the primary mission of The University Libraries is to serve the University community, library services are extended to students and faculty in other colleges and universities in the Memphis area, local and regional corporations, governmental agencies, and adult citizens of the community
- The Ned R.McWherter Library was designed to provide state-of-the-art access to information technology and to be fully accessible to the disabled. It has 725 network connections throughout the building, including those in study carrels, group study rooms and the Learning Commons. Wireless connectivity is provided throughout the building on all floors. Students, faculty, and members of the University of Memphis community can access many library assets from anywhere in the world via the McWherter Library's online databases and online resources.

- In addition to the University of Memphis Libraries, the University of Memphis also hosts a number of Research Centers and Institutes.

**Support Resources:**

**Evidence of Willingness to Partner:**

- The University College has existed since 1975 with the mission to partner with programs across disciplines and provide an interdisciplinary education to students at the University of Memphis.
- In addition to the many departments that we work with on campus, the University College has formed partnerships across Memphis with organizations including but not

limited to: the Memphis City Schools; Tennessee Department of Transportation; the Urban Child Institute; and Ready, Set, Grow! Memphis.

**Other Support Currently Available:**

- Current Support Staff Available to the DLS Program
  - Dr. Dan Lattimore, Dean
  - Dr. Joanne Gikas, Associate Dean
  - Dr. Colin Chapell, Graduate Studies Coordinator
  - Ms. Elizabeth Buck, Senior Administrative Assistant
  - Ms. Mary Crites, TN eCampus Affairs Coordinator
  - Ms. Maddie Griffith, University of Memphis Marketing Manager for University College
  - Ms. Kelsey Pierce, Graduate Assistant for Social Media in the University College

**Other Support Needed:**

**Facilities and Equipment:**

**Existing Facilities and Equipment:** The University College currently has administrative and faculty offices in Brister Hall, Manning Hall, and Building 1 on the South Campus, as well as a number of faculty offices at the Lambuth Campus. In addition to these physical locations, many of our student interaction happens across the world through our online graduate courses.

**Additional Facilities and Equipment:** No new facilities or equipment is needed; though, as the program grows we can reassess.

**Marketing and Recruitment Plan:**

- Working with the University of Memphis Marketing Manager for University College and our Graduate Assistant for Social Media, we will create a marketing plan that includes the ready pools of Master of Arts in Liberal Studies (MALS) alumni that have expressed interest in a DLS program, as well as a print and online campaign through organizations such as the Association of Graduate Liberal Studies Program (AGSLP) and GraduateSchools.com.

**Assessment/Evaluation:**

- The interdisciplinary nature of the DLS program means that we will have external review and assessment with several professional organizations such as the Association of Graduate Liberal Studies Program (AGSLP) and institutions with graduate Liberal Studies programs including:; Southern Methodist University (SMU); Georgetown University; Washington University in St. Louis; Tufts University; and Washington State University.

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- The University of Memphis itself is accredited through Southern Association of Colleges and Schools Commission on Colleges (SACS-COC) with external THEC review every 5 years.

**Accreditation:**

- The University of Memphis is accredited through SACCS-COC with a number of professional programs accrediting their degrees through professional organizations.

**Funding:**

- The DLS is a self-funded program as students will be part- time (full-pay) students. There are no scholarships or graduate assistantships planned. Additionally, the administrative cost will be minimal to start the program since we already have a Master of Liberal Studies program in place.

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# Appendix A: Course Syllabi

**UNIV 7000**
**Foundations of Liberal Studies**

**Required Text:** *The Art of Being Human*, 10th edition —Janero and Altshuler
(with www.myhumanitieskit.com)

If you buy the new 10th edition from the University of Memphis, you will receive a bundle (at no extra charge) including the very helpful www.myhumanitieskit.com., which will be a great asset to your textbook and to the course. However, if you choose not to buy the new book, you may use the older 9th edition, although there will be a charge if you choose to purchase www.myhumanitieskit.com, a supplement that is suggested but not required. For each module, the first set of assigned textbook pages will apply to the 10th edition; the second set will apply to the 9th edition.

**Course Description:**

UNIV 7000 is a course designed to show many of the connections in our lives. An analytical introduction to graduate liberal studies that focuses on the liberal arts, this course and its readings will reveal how past and present thoughts, perceptions, and actions reveal the human condition. The three most important emphases of this course are analytical reading, critical thinking, and academic writing.

**Course Objectives:**

- Ability to read and think critically
- Ability to respond insightfully to others' ideas
- Ability to express ideas in an organized and effectively structured standard form
- Ability to see connections in human experiences

**Course Topics:**

- The Humanities—Overview
- Literature
- Art and Music
- Religion and Morality
- Happiness and Love
- Life and Death
- Freedom

**Assignments:**

- Readings
- Discussion posts and responses for each module—35 pts.
  Initial post = 3; response to 2 classmates = 2
- Four response papers—20 pts. (5 pts. each)
- Two major papers—35 pts. (#1 = 15; #2 = 20)
- Final exam—10 pts.

- **Discussion Posts and Responses**:

  Discussion posts and responses to classmates' discussions posts are an important part of this course. There are **two discussion requirements for each module**: you will post **your own discussions** by a certain date; then you will **respond to at least two classmates' posts** by a certain date. Your own answers should reveal depth of thought, and the answer to each question should be a minimum of 2-3 sentences; your responses to others' posts should also reveal depth of thought as well as respect for others' opinions, even if you disagree. Before you respond to someone, you should carefully review the discussion threads. Responses like "I agree" or "Great comment" without explaining why you agree or why you consider the comment "great" will cause you not to receive credit for that discussion response. Also, you do not have to respond to a classmate's answer to each question; you may respond to answers to a few specific questions, or you may respond overall. Whatever you choose to respond to, you need to respond fully. You will not receive a letter grade for each discussion, but the discussion posts will count a major part of your final grade.

- **Response Papers:**

  In each of your four response papers, you will reflect on something you have read. Each of these responses should be approximately one page in length (Times New Roman, 12-point font). You may write one well-developed paragraph in which you support one major idea, or you may choose to write two paragraphs. The format for each response paper is not the essay format; each response should be one or two developmental paragraphs. Be sure to organize and edit carefully. You will receive a letter grade for each response paper.

- **Major Papers:**

  You will submit two major papers. Each of these needs to follow the structure for an essay in which you include the following: a title page, a strong introduction which leads to a clear and focused thesis statement, strong supportive developmental paragraphs, and a powerful concluding paragraph. You should use either MLA or APA format. Of course these papers must in written in standard academic format. You will receive a letter grade for each paper.

- **Final Exam:**

  For the final exam you will answer a series of discussion questions. You must write full, specific answers to the questions you select. The final exam should display your ability to think critically and to support fully. You will receive a letter grade.

PLEASE SUBMIT ALL ASSIGNMENTS TO THE DROPBOX.

**Grading Scale:**

A = 90-100
B = 80-89
C = 70-79
D = 60-69
F = below 60

**Class Policies:**

1. Most importantly, you must carefully **read and study all assignments**.

2. **Class discussion and interactivity** are very important. For each module you are required to participate in discussion forums as posted by the instructor. In addition, you must respond to at least two other students' discussions for each module.

3. Follow proper **MLA format or APA format** when you submit a paper.

4. Present academic papers that reflect **careful proofreading and editing**. Papers should be grammatically and mechanically polished.

5. Be disciplined and carefully follow **deadlines for submission** of work. Overall, there is no acceptance of late work.

6. Maintain **close communication with the instructor** of this course, who will try to answer any e-mail as soon as possible. Use either eCourseware or University of Memphis e-mail.

7. For any problems with online issues, please contact the **UM Help Desk at 901-678-8888** or at www.helpdesk.memphis.edu.

**Policy on Plagiarism:**

Plagiarism is a serious offense. The University of Memphis regards plagiarism as academic dishonesty. Consequences of plagiarism include failing an assignment, receiving a lower course grade, and possibly even failing the course.

According to the University of Memphis Code of Student Conduct, plagiarism is "including, but not limited to, the use, by paraphrase or direct quotation, of the published or unpublished work of another person without full or clear acknowledgement. It also includes the unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials." http://exlibris.memphis.edu/help/plagiarism/index.html

You might be plagiarizing if you:

- Submit someone else's work as your own
- Buy a paper from a website or other source

- Copy sentences, phrases, paragraphs, or ideas from someone else's work without giving the original author credit
- Replace select words from a passage without giving the original author credit
- Copy any type of multimedia, computer programs, music compositions, graphs, or charts from someone else's work without giving the original author credit
- Build on someone else's idea or phrase to write your paper without giving the original author credit
- Submit your own paper in more than one course without permission.

**Students with Disabilities:**

> "Students who have a disability or condition that may impair their ability to complete assignments or otherwise satisfy the course criteria are encouraged to meet with the Student Disabilities Services Center to identify, discuss, and document any feasible instructional modification or accommodations." www.memphis.edu/sds

**Harassment:**

The University of Memphis believes it important to respond to insensitive and inappropriate behavior in a spirit of collegiality, mutual respect, and professionalism. If you believe that you have been the target of discrimination by another student, faculty member, or staff member (because of age, disability, ethnicity, gender, race, religious beliefs, sexual orientation, or culture group membership), you can choose to pursue one or more of the following:

- Speak directly to the person whose behavior you consider to be inappropriate
- Speak to the instructor, the Department Chair (901-678-2716), or the University's Affirmative Action Officer (901-678-2713).
- Contact the Assistant Dean of Students (901-678-2298) in the Office of Student Judicial Affairs.

**UNIV 7100**
**Research in Interdisciplinary Study**
**Course Syllabus**

**Course Description:**

This course is concerned with the study and application of research methods appropriate to liberal and professional studies. This course will provide a general introduction to research methods, as well as providing practical exposure to literature reviews, data collection and analysis, and the research proposal. Quantitative and qualitative research methodologies will be covered in preparation for the later courses in these areas.

**Course Goals:**

The primary goal of this course is to present the basic concepts and strategies in research which transcend the boundaries of specific academic areas. These basic concepts include obtaining data, analysis of data, and interpretation of data and statement of conclusions. This course will guide students from topic selection to completed research report with practical suggestions based on a solid theoretical framework and sound pedagogical devices. Students will come to understand that research needs planning and design, and they will discover how their own research projects can be executed effectively and professionally.

**Course Topics:**

1. Topic Statement
2. Literature Review
3. Introduction
4. Research Methodology
5. Prospectus

**Required Textbook**:

John W. Creswell, *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches*, 4th ed., 2014 | ISBN 978-1-4522-2610-1.

**Discussions and Assignments:**

5 Discussions (each worth 10 points) – 50 points
5 Assignments (each worth 10 points) – 50 points

**100 total possible points**

**Grading Scale:**

| GRADE | POINTS |
|---|---|
| A | 93-100 |
| A- | 90-92 |
| B+ | 87-89 |
| B | 83-86 |
| B- | 80-82 |
| C+ | 77-79 |
| C | 73-76 |
| C- | 70-72 |
| D+ | 67-69 |
| D | 60-66 |
| F | 59 or below |

**Class Participation**

Interactivity is an important part of this course. In order to insure interactivity, students will be required to participate in discussion forums as posted by the instructor. Students are also expected to maintain communications with the instructor via eCourseware email or University email.

**Discussion Boards**

- Review the discussion threads thoroughly before entering the discussion.
- Try to maintain threads by using the "Reply" button rather starting a new topic.
- Do not make insulting or inflammatory statements to other members of the discussion group. Be respectful of other's ideas.
- Be patient and read the comments of other students thoroughly before entering your remarks.
- Respond in a thoughtful and timely manner.

**Plagiarism**

Plagiarism is a serious academic offense. The University of Memphis regards plagiarism as academic dishonesty. Consequences of plagiarism include failing an assignment, receiving a lower course grade, and even failing a course.

According to the University of Memphis Code of Student Conduct "[t]he term 'plagiarism' includes, but is not limited to, the use, by paraphrase or direct quotation, of the published or unpublished work of another person without full or clear acknowledgment. It also includes the unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials."
http://exlibris.memphis.edu/help/plagiarism/index.html.

You might be plagiarizing if you:

- Submit someone else's work as your own.
- Buy a paper from a papermill, website or other source.
- Copy sentences, phrases, paragraphs, or ideas from someone else's work, published or unpublished, without giving the original author credit.
- Replace select words from a passage without giving the original author credit.
- Copy any type of multimedia (graphics, audio, video, Internet streams), computer programs, music compositions, graphs, or charts from someone else's work without giving the original author credit.
- Piece together phrases, ideas, and sentences from a variety of sources to write an essay.
- Build on someone else's idea or phrase to write your paper without giving the original author credit.
- Submit your own paper in more than one course without permission.

**Students with Disabilities (SDS)**

Qualified students with disabilities will be provided reasonable, necessary and confidential academic accommodations if determined eligible by the university. It is your responsibility to contact the SDS office and to follow the procedures for having a written verification for specific accommodations from the university disability services staff sent to the instructor within the first two weeks of the semester. Student Disability Services office is at 110 Wilder Tower; 901.678.2880; www.memphis.edu/sds.

**Dealing with Harassment**

The University of Memphis believes it is important to respond to insensitive and inappropriate behavior in a spirit of collegiality, mutual respect, and professionalism. If you believe that you have been the target of discrimination by another student, faculty member, or staff member, due to age, disability, ethnicity, gender, race, religious beliefs, sexual orientation, or cultural group membership, you can choose to pursue one or more of the following avenues:

1. The most direct approach, if you feel comfortable doing so, is to speak directly to the person whose behavior you consider to be inappropriate.
2. You may speak to the instructor, the Department Chair (678-2716), or the University's Affirmative Action Officer (678-2713).
3. You may contact the Assistant Dean of Students (678-2298), in the Office of Student Judicial Affairs.

It is important that you speak immediately to someone, with whom you feel comfortable, in order that your concerns can be handled promptly and fairly. In all complaints of discrimination, including sexual harassment, the Office of Affirmative Action will be notified.

**UM Help Desk |** helpdesk.memphis.edu or 901.678.8888

# Data Based Decision Making
# UNIV 7111

| | |
|---|---|
| Technical Information | Students enrolled in this hybrid course section must have an internet connection, an e-mail address, and a web browser. You may send and receive email inside eLearn also. |
| Technical Assistance | For problems with hardware, software, or browser call 678-8888 |
| Description | This course combines resources and communicative power of the internet, videos, lectures, PowerPoints, discussions and readings to create a learning community where students and instructor explore interact to explore, articulate, and learn about the developing adult at three stages:<br>• **This course will examine how you interpret research data and turn it into useful or meaningful information. Students will study the use of business intelligence to prepare and present useful information in supporting conclusions and decision-making.** |
| Course Objectives | • |

- Provide understanding for the study of Decision-analysis Techniques
  - o Develop the necessary working background in
    - Model Building
    - Analysis for decision making
    - Develop systematic thinking about complex problems
    - Improve quality of decisions
    - Gain practice in real-world problem solutions
  - o Develop the skills needed
    - Structure a problem and arrive at a decision
    - Understand and represent decision modeling

| | |
|---|---|
| | ▪ Prepare and present the analysis and subsequent decision |
| Materials Required for Course | • Textbook: Making Hard Decisions with DecisionTools, 3rd Edition<br><br>Robert T. Clemen; Terence Reilly<br>ISBN-10: 0-538-79757-6<br>ISBN-13: 978-0-538-79757-3<br><br>• the book is available through http://www.cengage.com/us/ for hard copy purchase, rental and e-book options |
| Methods and Activities | This course will include textbook readings, eLearn asynchronous group discussion, written papers, quizzes, and a final project presentation. |
| Guidelines for Written Assignments | Your grade for this course will be based on your performance in several areas. The ability to express yourself articulately in written form is a top priority. Written assignments should be constructed using standard English spelling, grammar, sentence, and paragraph construction. The following guidelines will be used to evaluate **written assignments:** |

| | |
|---|---|
| Spelling | 5% |
| Grammar | 15% |
| Organization Unity of whole, paragraph development, transitions, topic sentences, introduction/conclusions | 10% |
| Readability General writing ability, clarity of argument, unity of diction, slang | 10% |
| Content of Argument/Exposition Completeness of content; ability to analyze, synthesize, and evaluate material | 40% |
| Substantiation Use of resources, knowledge of research | 20% |
| TOTAL | 100% |

Written assignments should be word-processed and double-spaced unless noted otherwise. All work should be formatted according to the APA (American Psychological Association) style. Please follow the guidelines available at http://www.dianahacker.com/resdoc/. A link to a sample paper written in APA format is available on the home page.

If you would like to strengthen your writing skills there are a number of services on campus that are designed to assist you. I will be glad to offer recommendations. The following rationale will influence the assignment of grades for essays:

**A**. Clear and specific answers, directed at questions posed; detailed understanding of the readings: sound organization; few or no mechanical errors; clear, unambiguous sentences, perhaps with a touch of elegance. In an "A" essay, a lively, intelligent voice seems to speak. It has something interesting to say, says it clearly and gracefully to an appropriate audience, and supports it fully.

**B**. Clear and specific answers, directed at questions posed; organization and continuity; probably some minor mechanical errors, but no major ones; slightly awkward style may be present at times; ideas are reasonable and grounded in the readings. In a "B" essay, work and thought have obviously gone into the essay; the writer has a definite point to make and makes it in an organized and competent way.

**C**. Weak, fuzzy or trivial answers; a certain amount of confusion about what the readings actually say; many minor mechanical errors and perhaps a few major ones (such as incomplete sentences or consistent misuse of apostrophes); examples given for their own sakes or to demonstrate only that the writer has read rather than to prove a particular point; unclear organizational structure; words misused; diction is inconsistent; proofreading is weak; the intended audience is unclear. A "C" essay contains some good ideas, but the writer needs help and work to make them clear to the reader.

**D**. Answers partial or mission; major mechanical problems; poor organization; serious misinterpretation of readings; stretches of logic; narrative account of the readings with no apparent purpose; essay shorter than the assigned length or otherwise written with disregard for instructions. In a "D" essay, the writer doesn't really have a point to make and has some serious problems writing.

| | |
|---|---|
| | **F**. The essay is plagiarized in part or as a whole, reveals that the writer has probably not read, or shows general weaknesses even greater than those of a "D" essay. |
| Guidelines for Discussions | You will engage in a series of discussions throughout the semester. For each discussion (excluding the introduction and wrap up), you will post a minimum of three posts.<br>• Your first post must be 2 substantial paragraphs answering the topic and cite your sources underneath if you use information that is not your own –which is most of the time.<br>• Your remaining two posts should be in response to a classmate's post in which you further the conversation by asking a question, asking for clarification or adding more facts form the readings to their post.<br>• Each post should be on a different day of the week. Posts made on the same day as another will not earn credit. **(WAIVED for Summer term)**<br>• You must post within the week on the course schedule. You cannot post ahead of schedule.<br>• Absolutely NO credit is given for late posts and no makeups for discussions are allowed. |
| Guidelines For Quizzes | You will have 3 quizzes.<br>To be successful on these, you must read the textbook or the lecture posted in the module – WITHOUT FAIL. You should also view the PowerPoints.<br><br>Hint: While you are reading the online lecture or the textbook, TAKE NOTES and study those notes for the quiz.<br><br>Quizzes are 10 T/F or MC questions worth 2 points each, and you have 30 minutes to take them. You only get one attempt so make sure you are at a reliable internet connection and are ready to take it before you click on it. Only under extreme justification will a quiz be reset. |
| Guidelines for Final Project | The final project covers XXXXXXXXXXXXXXX |
| Assignment Value | Professional Introduction Post — 10 |

| | |
|---|---|
| Stuucturing the Problem | 30 |
| Structuring and Decision Maker's Values | 30 |
| Quiz 1 | 20 |
| Discussion TBA | 30 |
| Discussion TBA | 30 |
| Quiz 2 | 20 |
| Project Proposal | 50 |
| M3 Quiz | 20 |
| Discussion TBA | 30 |
| Final Project and Presentation | 100 |
| Wrap up Discussion | 10 |
| **Total Points Available** | **380** |

| | |
|---|---|
| Grade Calculation | To arrive at your final grade, simply look at your total points earned and compare to the list below to get your letter grade.<br>A = 342-380 points<br>B = 304-341 points<br>C = 266-303 points<br>D = 228-265 points<br>F = 227 and Below |

## Other Course Policies

**Plagiarism**

Plagiarism is a serious academic offense. The University of Memphis regards plagiarism as academic dishonesty. Consequences of plagiarism include failing an assignment, receiving a lower course grade, and even failing a course. According to the University of Memphis Code of Student Rights and Responsibilities (also called the Student Handbook), 'plagiarism' is "[t]he adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution." The Student Handbook is posted online at http://www.memphis.edu/studentconduct/pdfs/csrr.pdf. The Office of Student Conduct also addresses plagiarism on its website: http://www.memphis.edu/studentconduct/misconduct.htm.

You are committing plagiarism if you:

Submit someone else's work as your own.

- Buy or download a paper from a paper mill, website, or other source.
- Copy and paste text (a few words or entire paragraphs) from Wikipedia, Westlaw, Lexis-Nexis, or another website without duly acknowledging the original source.
- Reproduce or paraphrase sentences, paragraphs, or ideas from someone else's work (published or unpublished), without giving the original author credit.
- Improperly omitting or misusing quotation marks (we'll discuss this in class).
- Replace select words from a passage without giving the original author credit.
- Copy any type of multimedia (graphics, audio, video, etc.), computer programs, graphs, or charts from someone else's work without giving the original author credit.
- Piece together phrases, ideas, and sentences from a variety of sources to write a paper.
- Build on someone else's idea or phrase without giving the original author credit.
- Submit your own paper in more than one course without permission.

**Students with Disabilities**

Qualified students with disabilities will be provided reasonable and necessary academic accommodations if determined eligible by the office of Disability Resources for Students. Prior to granting disability accommodations in this course, the instructor must receive written verification of a student's eligibility for specific accommodations. It is the student's responsibility to initiate contact with the office of Disability Resources for Students and to follow the established procedures to get registered with their department. The office of Disability Resources for Students is located at 110 Wilder Tower; 678-2880; www.memphis.edu/drs.

**Dealing with Harassment**

The University of Memphis believes it is important to respond to insensitive and inappropriate behavior in a spirit of collegiality, mutual respect, and professionalism. If you believe that you have been the target of discrimination by another student, faculty member, or staff member, due to age, disability, ethnicity, gender, race, religious beliefs, sexual orientation, or cultural group membership, you can choose to pursue one or more of the following avenues:

1. The most direct approach, if you feel comfortable doing so, is to speak directly to the person whose behavior you consider to be inappropriate.

2. You may speak to the instructor, the Department Chair (678-2716), or the University's Affirmative Action Officer (678-2713).

3. You may contact the Assistant Dean of Students (678-2298), in the Office of Student Judicial Affairs.

It is important that you speak immediately to someone, with whom you feel comfortable, in order that your concerns can be handled promptly and fairly. In all complaints of discrimination, including sexual harassment, the Office of Institutional Equity will be notified.

If any of you need educational assistance, please see the following campus resources:

• Tutoring and assistance in study skills: Contact the Educational Support Program (ESP) Office. This office offers individual and group tutoring, consultation, study strategies, writing assistance, and other services. http://www.memphis.edu/esp

• NOTE: First-generation college students and/or on a Pell Grant might also be eligible for assistance through the Trio Program at Student Support Services. http://saweb.memphis.edu/trio/

• There are also several services available for online students through the Online Student Orientation site. http://memphis.edu/oso/services.php
• Students may also review important semester deadlines through the registrars calendar. http://www.memphis.edu/registrar/calendars/dates/14s_dates.php

# Course Syllabus

**UNIV 7200 M51 – Modern Social Justice Movements**
**3 Credit Hours**

## Course Description:

In this interdisciplinary course students will explore a variety of social justice problems as well as a number of organizations and movements that attempt to address these issues. Students will read some of the best scholars' work from multiple disciplines and watch a number of documentaries addressing these issues. Students will then write several book reviews, participate in class discussions, write reflection papers each module, and a capstone paper at the end of the course.

## Course Modules/Themes:

- Introductory Module
- Modern Day Slavery/Human Trafficking
- Economic Injustice
- Gender Inequality
- Racial Inequality

## Course Objectives:

Upon successful completion of this course, students will:

- An interdisciplinary understanding of both international and domestic social justice issues.
- A factual knowledge of the events and people of this historical period.
- Developed and improved their skills in analysis, critical thinking, and the ability to relate disparate information.
- Improved their ability to relate the significance of the subject through written assignments and online discussions.

## Prerequisites:

There are no prerequisites.

## Course Topics:

- Inequality
- Violence
- Systematic Oppression
- Sexism
- Human Trafficking
- Modern Day Slavery
- Racism
- Consumer Culture

## Specific Course Requirements:

- Weekly Postings - Original postings due Wednesdays at 11:59pm and at least two substantive replies due Fridays at 5 pm.
- One 4-5 page Reflection Paper for each of module.
- Three 3-4 page Book Reviews
- One 15-20 page Social Justice Research Paper that relates a topic of the student's choosing to the course.

## Required Textbooks:

Please visit the Virtual Bookstore to obtain textbook information for this course: http://rodp.bkstr.com. Move your cursor over the "Books" link in the navigation bar and select "Textbooks & Course Materials." Select your Program, Term, Department, and Course; then select "Submit."

There are assigned, required books for this course. There are also a number of articles that students are responsible for, supplied by the instructor. In addition, students must watch a number of assigned documentaries. Students are responsible for finding these documentaries. Many of them are available through Netflix, iTunes, Vimeo, or similar sites for free. Although these licensing arrangements can change, students are still responsible for finding and viewing each.

### Assigned books:

- *The Locust Effect* – Gary Haugan (Law)
- *Human Trafficking* – Louise Shelley (Sociology)
- *The Price of Inequality* – Joseph Stiglitz (Economics)
- *Half the Sky* – Nicholas Kristof and Sheryl WuDunn (Journalism)
- *The New Jim Crow* – Michelle Alexander (Law)

### Assigned Documentaries (Links can be found in the relevant module):

- "Nepal's Stolen Children" – CNN Freedom Project
- "Branded: Sex Slavery in America" – CNN Freedom Project
- "A Path Appears: Season 1 Episode 1" – PBS
- "The True Cost" – Life is My Movie Entertainment
- "Girl Rising" – Docurama
- "Ferguson: Report from Occupied Territory" – Fusion
- "White Like Me" – Tim Wise
- "#BlackLivesMatter" – ABC Foreign Correspondent

## Hardware Requirements:

The minimum requirements can be found at http://www.rodp.org/students/hardware_software.htm.

Please note that a computer with a working internet connection is a requirement of the course, and "the internet wasn't working" will not be counted as a valid excuse for attempts to post or turn in papers late.

## Software Requirements:

Students ***must*** turn in all assignments saved as a Word or PDF file. (Either .doc or .docx is acceptable.) Other minimum requirements can be found at http://www.rodp.org/students/hardware_software.htm.

Please see "Instructor Information" in the Getting Started Module for instructor contact information, virtual office hours, and other communication information.

A student can expect to receive a response from the instructor within 24-48 hours of a student's email to the instructor during the week unless notified of extenuating circumstances.

## Grading Procedures:

### Discussion Topic Responses

Discussion Topic Responses (Weekly Postings) are the primary tool for communication in this course. As such, students must post each week there is a topic assigned. Postings are due each Friday night at 5 pm. The new week opens at 12 midnight Saturday morning. ***Original postings are due Wednesdays by 11:59 pm, replies are then due on Fridays at 5 pm***. You must have both an original post and at least two replies by their respective due dates to receive any credit for the week. This gives everyone a chance to actually read and think about different people's postings. This is also so that I can be a part of these discussions. This is an important class that discusses a lot of important issues, and, frankly, I want to be a part of the discussions as well.

Additionally, in order to get credit for the week, you must not only post an original comment by Wednesday at 11:59 pm, you must also reply to at least two other people each week. If you do not reply, you will not get credit for that week. Simply replying, "Great post, I agree" while polite, will not receive full points. Students are expected to give substantive responses. I hope that these forums become a chance for everyone to actively participate and invest in the course.

To access the discussion boards, click on the 'Discussions' link on the Course Menu. The discussion boards provide an excellent forum for students not only to discuss the particular topic under consideration, but they also allow students the opportunity to consider other viewpoints. Some of the questions are provocative, and none of them has a single correct answer, so make sure to provide valid reasons for your argument or viewpoint.

Please note that there are 14 weeks to post, but I will only grade 13. I recognize that there are weeks that everyone gets overwhelmed and might have to miss discussion, and have tried to provide for that. The only option for extra credit in this course is for you to post and reply on each of the 14 discussion boards.

## Papers

This course has three types of papers that are a significant part of your grade. This means that you need to read the following guidelines carefully. I have supplied you with a "Tips for Writing Academic Papers" handout, as well as a "Footnote Guide" handout. Please do use these.

All papers should use double-spaced text in Times New Roman 12-point font with one-inch margins using academic English. These papers must be uploaded to the Dropbox by the appropriate date. Late papers may or may not be accepted; that is up to the discretion of your instructor. The paper **must** follow the Chicago Manual of Style. (This book is not required, though I do recommend getting it.) The following web link will serve as a general introduction to the Chicago Style for citations, however the student should consult the publication for final guidance. Chicago Manual of Style online.

Be sure to provide citations (either footnotes or parenthetical references are ok) for quotes, paraphrases, or ideas developed by someone else. Failure to do so is plagiarism and will result in a grade of zero. Extensive plagiarism will result in a failing grade for the course. Direct quotes should be kept short and to a minimum. **Do not use Wikipedia under any circumstances**.

I expect these papers to be in essay format. This means that they must have an introductory paragraph with a clearly defined thesis, the main body of the paper must use evidence from the module that supports the thesis, and there has to be a concluding paragraph that restates the thesis. In addition, you should use academic English in these papers.

### *Reflection Papers*

At the end of each module, we have a Reflection Paper (RP). Each RP should be 4-5 pages of text in length (double-spaced, 12-point Times New Roman, 1-inch margins), and should discuss the main arguments of the book(s) that we read as well as at least 2 other readings. What I am looking for is how ***you*** engaged with these readings. In other words, some questions that you could answer are: what were you persuaded by or what did you not find persuasive? What surprised you? What links did you find with previous modules? What will you take away from this module's readings?

This is, by design, a hybrid assignment. You need to be both academic rigorous and personally engaged as you write these. Be aware, I will not be sharing anything that you write in these, nor will I be critiquing life choices. Rather, I will be grading the level in which you engage the readings.

### *Book Reviews*

At the end of the second week of three modules, students must turn in a 3-4 page book review for the assigned book. In that book review, they must identify the thesis of the book, provide their assessment of how well the author defended that thesis using examples from the book, and relate it to at least two other sources (readings or documentaries) from that module.

More information and instruction on book reviews can be found in the Book Review Guide module.

### *Social Justice Research Paper*

As much as we have tried to cover some of the social justice movements in the 20th Century, we have not hit every one. There are many organizations trying to bring about justice and release people from oppression. For your final paper, you need to research a social justice organization that we do not talk about in this class. You will then write a 15-20 page paper (meaning that your text, excluding the bibliography and title page should be 15-20 pages), using 12-15 sources that does the following:

- 3-5 pages outlining the problem the organization tries to address
- 3-5 pages describing the history of the movement/organization, including at least one important event of the organization's history
- 2-4 page biography of one or two important leaders of the organization
- 3-5 pages describing how the organization tries to confront injustice and how others can get involved

Your paper ***<u>must</u>*** include citations throughout as well as a bibliography. You may use either Author-Date (parenthetical style) or footnotes style from Chicago Manual of Style for your citations. Either way, you MUST have a full bibliography at the end of your paper (this bibliography does NOT go towards your page count).

Because this is a significant part of your grade, there are due dates along the way to make sure that you will be able to earn the most points. Please do be aware of the following deadlines.

Week 4: Social Justice problem/organization due
Week 7: Annotated Bibliography of sources due
Week 13: Rough Draft of the problem section due

## Graded Items

| Assignment | Points Possible |
|---|---|
| Weekly Discussions – 20 each * 13 weeks | 260 |
| Reflection Papers – 55 each * 5x | 275 |
| Book Reviews – 55 each * 3x | 165 |
| Final Paper | 175 |
| Social Justice problem | 35 |
| Annotated Bibliography | 40 |
| Rough Draft of Problem Section | 50 |
| *Total points possible* | *1000* |

**UNIV 7200**
**Liberal Studies Seminar**
**The Modern American South**
**Course Syllabus**

**Required Texts:**

*Southern Culture: An Introduction*, 2nd ed.—Beck, Frandsen

*Dixie Rising: How the South Is Shaping American Values, Politics, and Culture*—Peter Applebome

*The Faulkner Reader*—William Faulkner

*The Collected Stories of Eudora Welty*—Eudora Welty

*Cat on a Hot Tin Roof*—Tennessee Williams

*Before Women Had Wings*—Connie May Fowler

**Optional Text:**

*The New Encyclopedia of Southern Culture: Volume 4, Myth, Manners and Memory*—ed. by Charles Reagan Wilson

(Since you will not be assigned to read all works in the Faulkner and Welty anthologies, you are not required to purchase these two textbooks as long as you can find the assigned selections elsewhere.)

**Course Description:**

UNIV 7200 is a course designed to highlight the modern South, focusing particularly on its politics, its music, its religion, and its literature. In addition to its emphasis on the South and its culture, this course will address the human condition. The three most important emphases of this course are analytical reading, critical thinking, and academic writing.

**Course Objectives:**

- Ability to read and think clearly
- Ability to respond insightfully to others' ideas
- Ability to express ideas in an organized and effectively structured standard format
- Ability to see connections in human experiences

**Course Topics:**

- The Old and New South—Overview
- Political climate in the South
- Musical contributions in the South
- Religious climate in the South
- Literary heritage in the South

**Assignments:**

- Readings
- Discussion posts and responses
  (Modules 1-4 = 5 points each; Module 5 = 8 points) Total for discussions = 28 points
- Book review—15 points
- Three field trips and three response papers—7 points each = 21 points
- Thesis and outline of researched paper—6 points
- Researched paper—20 points
- Final exam—10 points

- **Discussion Posts**

  Discussion posts and responses to classmates' posts are an important part of this course. There are **discussion requirements for each module**. You will post your own discussions by a certain date; then you will respond to at least two classmates' posts by a certain date. Your own answers should reveal depth of thought, and the answer to each question should be a minimum of a few sentences; your responses to others' posts should also reveal depth of thought as well as respect for others' opinions, even if you disagree. Before you respond to someone, you should carefully review the discussion threads. Responses like "I agree" or "Great comment" without explaining why you agree or why you consider the comment "great" will cause you not to receive credit for that discussion response. Also, you may respond to a few specific answers of a classmate, or you may respond overall. Whatever you choose to respond to, you need to respond fully—with insight and clarity.

- **Field Trips and Response Papers**

  You are required to write responses to three field trip experiences; in other words, to enrich your Southern experience, you will be visiting places that represent some part of the Southern experience. Each of these responses should be approximately one to three pages in length (Times New Roman, 12-point font). Your purpose is not simply to describe the museum or the pilgrimage or the battlefield or the studio, but to state and support one or two main points regarding your reflections on **how this place contributes to the Southern temper.** You may write one paragraph as you focus on one idea, or you may write two or more paragraphs as you focus on two or more ideas. Be sure to organize and edit carefully. Along with the responses, you must submit a copy of your receipt or other acknowledgement of your visit.

**Field Trip Options:**

National Civil Rights Museum (Memphis, TN)
Rowan Oak (home of William Faulkner in Oxford, MS)
Shiloh Battlefield (Shiloh, TN)
Graceland (Memphis, TN)
Carl Perkins Rockabilly Museum (Jackson, TN)
Casey Jones Home and Museum (Jackson, TN)
Holly Springs Annual Pilgrimage (Holly Springs, MS)
Slave Haven Underground Railroad Museum (Memphis, TN)
Sun Studio (Memphis, TN)
Memphis Rock and Roll Museum
Cotton Museum at the Memphis Cotton Exchange (Memphis, TN)
Stax Museum of American Soul (Memphis, TN)
A. Schwab Dry Goods Store (Memphis, TN)

(You may deviate from this list only with prior approval from the instructor.)

- **Book Review**

  You will submit a book review of Peter Applebome's *Dixie* Rising. The review should be from 3-5 pages (12-point, Times New Roman) and should include the following: a paragraph of introduction, in which you lay out the purpose of the book and its overall appeal; paragraph discussions of the scope of the book, the scholarship, and the extent to which the book fulfills its purpose; a paragraph or two highlighting what you consider to be main strengths or weaknesses of the text; and a paragraph of conclusion.

- **Researched Paper**

  You will submit one paper of 8-10 pages of text in which you support a focused thesis based on primary readings and scholarly research. Your topic should address some area of Southern culture—perhaps politics, music, religion, or literature. You must follow academic format and include the following: a title page, a strong introduction which leads to a clear and focused thesis statement, strong supportive developmental paragraphs, and a powerful concluding paragraph. You should use either MLA or APA format. (You must receive approval for your topic and submit your thesis and outline.)

- **Final Exam**

  The format of the final exam will be discussion. You need to write full, specific answers. The exam should display your ability to think critically and to support fully.

**Grading Scale:**

90-100 = A
80-89 = B
70-79 = C
60-69 = D
Below 60 = F

**Class Policies:**

1. Most importantly, you must carefully read and study all assignments.

2. Class discussion and interactivity are very important.

3. Following proper MLA or APA format when you submit a paper. Carefully note specific rules regarding parenthetical citations and list of sources.

4. Present academic papers that reflect careful proofreading and editing. Papers should be graduate quality.

5. Be disciplined and carefully follow deadlines for submission of work. You must submit work to the dropbox. Late submissions, if accepted, will receive point deductions.

6. Maintain close communication with the instructor of this course, who will try to answer any e-mail as soon as possible. Please use this e-mail: jhustin1@memphis.edu.

7. For any technical problems, please contact the U of M Help Desk at 901-678-8888 or at www.helpdesk.memphis.edu.

**Plagiarism:**

Plagiarism is a serious academic offense. The University of Memphis regards plagiarism as academic dishonesty. Consequences of plagiarism include failing an assignment, receiving a lower course grade, and even failing a course. According to the University of Memphis Code of Student Conduct "[t]he term 'plagiarism' includes, but is not limited to, the use, by paraphrase or direct quotation, of the published or unpublished work of another person without full or clear acknowledgment. It also includes the unacknowledged use of materials prepared by

another person or agency engaged in the selling of term papers or other academic materials." http://exlibris.memphis.edu/help/plagiarism/index.html
You might be plagiarizing if you:

- Submit someone else's work as your own.
- Buy a paper from a paper mill, website or other source.
- Copy sentences, phrases, paragraphs, or ideas from someone else's work, published or unpublished, without giving the original author credit.
- Replace select words from a passage without giving the original author credit.
- Copy any type of multimedia (graphics, audio, video, internet streams), computer programs, music compositions, graphs, or charts from someone else's work without giving the original author credit.
- Piece together phrases, ideas, and sentences from a variety of sources to write an essay.
- Build on someone else's idea or phrase to write your paper without giving the original author credit.
- Submit your own paper in more than one course without permission.

**Students with Disabilities (SDS):**

Qualified students with disabilities will be provided reasonable, necessary, and confidential academic accommodations if determined eligible by the university. It is your responsibility to contact the SDS office and to follow the procedures for having a written verification for specific accommodations from the university disability services staff sent to the instructor within the first two weeks of the semester. Student Disability Services office is at 110 Wilder Tower; 678-2880; www.memphis.edu/sds.

**Dealing with Harassment:**

The University of Memphis believes it is important to respond to insensitive and inappropriate behavior in a spirit of collegiality, mutual respect, and professionalism. If you believe that you have been the target of discrimination by another student, faculty member, or staff member, due to age, disability, ethnicity, gender, race, religious beliefs, sexual orientation, or cultural group membership, you can choose to pursue one or more of the following avenues:

1. The most direct approach, if you feel comfortable doing so, is to speak directly to the person whose behavior you consider to be inappropriate.
2. You may speak to the instructor, the Department Chair (678-2716), or the University's Affirmative Action Officer (678-2713).
3. You may contact the Assistant Dean of Students (678-2298), in the Office of Student Judicial Affairs.

It is important that you speak immediately to someone, with whom you feel comfortable, in order that your concerns can be handled promptly and fairly. In all complaints of discrimination, including sexual harassment, the Office of Affirmative Action will be notified.

# UNIV 7997 Special Project Syllabus

## Introduction

The Master of Liberal Studies (MALS) program requires every student to complete a Special Project as the culminating experience in earning the degree. Please carefully read each section of this syllabus and follow its guidelines.

## Purpose of the Special Project

The Special Project is the capstone course for the Master of Liberal Studies Degree, serving as the integrative culmination of your program of study. The Special Project should be a substantial piece of independent research or a significant professional project that is logically consistent with the content of your program of study. Your work should demonstrate familiarity with and understanding of a body of professional literature related to a specific topic. The Project should grow out of your program of study and should demonstrate your ability to incorporate the knowledge from the MALS courses you have taken. As your culminating experience, the Special Project should demonstrate your use of the knowledge gained in the program.

## Conduct Research and Complete the Project Paper

Once the semester begins you will have approximately three full months to complete your research and write the project paper reporting your literature review, findings and conclusions. Several weeks into the semester you will submit a detailed outline of your project paper with a list of bibliographical resources you are using. Two months into the semester you will submit a first draft of your special project paper. Your project instructor will give you feedback. You must incorporate the instructor's recommendations into the final copy of your special project paper. Because of the range of approaches possible for Projects in the Master of Liberal Studies, defining minimal standards for project papers is difficult. However, if you are following a traditional approach to a Special Project, a report of original research or policy study, the paper documenting your research including the literature review should be at least 7,500 words, not including references.

## Oral Comprehensive Exam (Formal Presentation/Defense of Project)

Approximately one month prior to the last day of classes in the semester of your Special Project course, you should contact Special Project Instructor for dates available to schedule your presentation. Presentations of the project can be done in person or via video conference.

The Evaluation Committee for the Special Project presentation consists of the student's Special Project Instructor as well as other members assigned by the MALS Program Director. In the presentation of the project, the student will be asked to: (1) present a summary of the project, (2) explain the way the project was organized and carried out, and (3) explain the relationship between the Special Project and the content of the MALS program. Then the members of the examination committee will ask the student their questions about the Special Project.

**Final Corrected, Electronic Copy of Special Project**

After the presentation/defense of your project, you will make any final corrections noted by your Special Project Instructor and submit an electronic copy of your project. Your project must include a cover page, abstract, table of contents and reference list. Please contact your instructor if you have questions.

**Course Modules:**

1. Special Project Proposal
2. Detailed Outline
3. First Draft
4. Oral Comprehensive Exam
5. Final Copy of Special Project

**Assignments:**

5 Assignments (each worth 20 points) – **100 total possible points**

**Grading Scale:**

| GRADE | POINTS |
|---|---|
| A | 93-100 |
| A- | 90-92 |
| B+ | 87-89 |
| B | 83-86 |
| B- | 80-82 |
| C+ | 77-79 |
| C | 73-76 |
| C- | 70-72 |
| D+ | 67-69 |
| D | 60-66 |
| F | 59 or below |

**Email**

- Always include a subject line.
- Use standard fonts.
- Do not send large attachments without permission.
- Respect the privacy of other class members.

**Plagiarism**

Plagiarism is a serious academic offense. The University of Memphis regards plagiarism as academic dishonesty. Consequences of plagiarism include failing an assignment, receiving a lower course grade, and even failing a course. According to the University of Memphis Code of Student Conduct "the term 'plagiarism' includes, but is not limited to, the use, by paraphrase or direct quotation, of the published or unpublished work of another person without full or clear acknowledgment. It also includes the unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials."

You are commiting plagiarism if you:

- Submit someone else's work as your own.
- Buy a paper from a papermill, website or other source.
- Copy sentences, phrases, paragraphs, or ideas from someone else's work, published or unpublished, without giving the original author credit.
- Replace select words from a passage without giving the original author credit.
- Copy any type of multimedia (graphics, audio, video, Internet streams), computer programs, music compositions, graphs, or charts from someone else's work without giving the original author credit.
- Piece together phrases, ideas, and sentences from a variety of sources to write an essay.
- Build on someone else's idea or phrase to write your paper without giving the original author credit.
- Submit your own paper in more than one course without permission.

**Students with Disabilities**

Qualified students with disabilities will be provided reasonable and necessary academic accommodations if determined eligible by the office of Disability Resources for Students. Prior to granting disability accommodations in this course, the instructor must receive written verification of a student's eligibility for specific accommodations. It is the student's responsibility to initiate contact with the office of Disability Resources for Students and to follow the established procedures to get registered with their department. The office of Disability Resources for Students is located at 110 Wilder Tower; 678-2880; www.memphis.edu/drs.

**Dealing with Harassment**

The University of Memphis believes it is important to respond to insensitive and inappropriate behavior in a spirit of collegiality, mutual respect, and professionalism. If you believe that you have been the target of discrimination by another student, faculty member, or staff member, due to age, disability, ethnicity, gender, race, religious beliefs, sexual orientation, or cultural group membership, you can choose to pursue one or more of the following avenues:

1. The most direct approach, if you feel comfortable doing so, is to speak directly to the person whose behavior you consider to be inappropriate.
2. You may speak to the instructor, the Department Chair (678-2716), or the University's Affirmative Action Officer (678-2713).
3. You may contact the Assistant Dean of Students (678-2298), in the Office of Student Judicial Affairs.

It is important that you speak immediately to someone, with whom you feel comfortable, in order that your concerns can be handled promptly and fairly. In all complaints of discrimination, including sexual harassment, the Office of Affirmative Action will be notified.

**UM Help Desk |** helpdesk.memphis.edu or 901.678.8888

University College

218 Brister Hall
Memphis, Tennessee 38152-3370

Office: 901.678.7216

www.memphis.edu/univcoll

# Appendix B: Faculty CVs

# Dan Lattimore

## PERSONAL DATA

Present Position: Dean, University College
201 Brister
University of Memphis, Memphis, TN. 38152

Address: 244 Lumsden Circle East, #101, Collierville, TN 38017
Office Phone: 901-678-2991
Home Phone: 901-853-4632

| EDUCATION | degree | major | year |
|---|---|---|---|
| Texas Christian University | B.A. | journalism, economics | 1966 |
| Texas Christian University | M.A. | economic development | 1968 |
| Southwestern Seminary | M.R.E. | education administration | 1968 |
| University of Wisconsin | Ph.D. | mass communication | 1972 |

## ACADEMIC POSITIONS

Dean, University College, University of Memphis, 2002-present
Vice Provost, University of Memphis, Extended Programs 1998-2014
Dean, University of Memphis, Lambuth Campus, 2011-2014
Associate Dean, University of Memphis, College of Communication & Fine Arts, 1998-1999
Chair, University of Memphis, Journalism Department, 1987-1999
Professor, Department of Journalism, University of Memphis, 1987-present
Professor, Department of Technical Journalism, Colorado State University, 1971-1987
(Assistant, 19971-77; Associate, 1977-86; Professor, 1986-88)
Teaching Assistant, University of Wisconsin, 1968-71.
Part-time Instructor, Economics, Texas Christian University, 1968.

## PROFESSIONAL EXPERIENCE

Consultant, USIA**,** Development of strategic plan for American University in Kyrgyzstan, following site visit with assessment team, 1998.

Consultant, Consortium for International Development, 1986-88. Prepared final project report for Water Management Synthesis II. Also, prepared summary report for African irrigation conference in Kenya.

Associate Director, Water Management Synthesis II Project, 1983-1987. (Full-time 1983; Half-time1984-87). Directed activities, budgets, personnel for $2-3 million annual budget at CSU including 15 full-time employees and 20 faculty used on a part-time basis. Project was funded by the U.S. Agency for International Development for $20 million over five years. It involved three universities.

Communications coordinator, U.S. Agency for International Development, Water Management Synthesis II. Coordinate, plan and supervise communications activities, 1982-83.

Public information specialist, U.S. Agency for International Development, Water Management Synthesis Project I, 1979-82. Editor of project newsletter, booklets and technical reports.

Public information specialist, U.S. Agency for International Development, Water Management Project - Egyptian Water Use and Management, 1980-81.

Public information specialist, U.S. Agency for International Development, Water Management Project in Pakistan, 1976-79.

Public information consultant, U.S. Dept. of Agriculture, Brucellosis Project, 1981.
Public Relations consultant, Schering-Plough, Mountain Bell, Boulder Valley School District, Kitchen Specialties, Southern News Rack Co., and numerous non-profit associations.

Consultant, The International Development Institute, 1986-88. Duties include administering international agricultural development projects and directing communication workshops.

Communications Director, Minnesota-Wisconsin Southern Baptist Fellowship, 1970-71. (Founding Editor of 2-state Baptist newspaper)News Editor, Fort Worth Tribune, 1966-68. (One of eight newspapers of All-Church Press with total circulation of more than 500,000)

## INTERNATIONAL EXPERIENCE

January 1998:
Assessment Team, United States Information Agency, American University in Kyrgyzstan, Assessment for USIA of the university with development of a strategic plan.

January 1988:
Small Group Coordinator, Forum on Irrigated Agriculture in Africa, Nairobi, Kenya. (worked with African group leaders at international conference to coordinate discussion sessions; also videotaped conference and prepared tape on African irrigation). $14,700 project.

August 1986:
Team Leader, Videotape of Irrigation Project site in Nepal scheduled for rehabilitation in next five years. Tape provided a benchmark for a rehabilitation project and was presented as a simulated case study at an international conference on rehabilitation of irrigation projects sponsored by USAID in Washington, D.C., Oct.27-31, 1986. ($120,000 project)

January 1986:
Consultation and supervision of irrigation work by Water Management Synthesis Project by long term personnel in Sri Lanka and Thailand. Also, prepared videotape in Sri Lanka and Thailand.

September-October 1985:
Director, Irrigation Tours. Developed tours of U.S. irrigated agriculture for Pakistani officials.)

June-August 1984:
Director of India Diagnostic Analysis Workshop. The workshop was held in Fort Collins, Colorado for 19 Indian professionals. ($70,000)

June-July 1983:
Team Leader for videotaping of irrigation organizational activities in Sri Lanka. Five videotapes were prepared from work there. Also served as economist on diagnostic analysis workshop.

June-July 1982:
Communication specialist/economist in Diagnostic Analysis Workshop for System H in Sri Lanka.

January 1980:
Communication specialist for Egypt Water Use and Management Project.

## ADMINISTRATIVE EXPERIENCE

*Dean, University College,* 2002-present. Responsible for the academic programs, budgets and personnel for University College, the University of Memphis' interdisciplinary college with 1400 undergraduates and 150 masters students.

*Vice Provost, Extended Programs, 1998-2014.* Responsible for Continuing Education, Small Business Research Project, Keep Tennessee Beautiful, 12 Off Campus sites, Four Centers, TV Courses, Online Courses, and Compressed Video classrooms. Budget of $6 million. Supervised staff of 75 people.

*Dean, UM, Lambuth Campus,* 2011-2014. In charge of former Lambuth University campus that was acquired by the University of Memphis in 2011. Acted as the CEO for the campus including all staff, faculty and students.

*Associate Dean, College of Communication & Fine Arts*, University of Memphis. Responsible for graduate programs, budgets and other duties as acting dean when dean was away. Jan. 1998-99.

*Chair, Department of Journalism,* University of Memphis, 1987-99. Responsible for total operation of department including staffing, budgeting, representing the department internally and externally, fundraising, grant writing, and curriculum.

Supervised 12 faculty, two professional staff and three clerical employees. Responsible for the daily newspaper with staff of 45-50. Planned and implemented budget process including annual, two-year and five-year plans.

Worked with university advancement to raise money for the department.. Wrote proposals and have received funding for a Chair of Excellence in Business and Managerial Journalism ($1 million on top of new $45,000 faculty line), Linder Center for Urban Journalism (Approximately $500,000 for several endowed scholarships, a professional development endowment, and an endowed journalism discretionary fund. Coordinated annual scholarship, gift fund, and alumni fund drives.

*Associate Director, Water Management Synthesis Project,* 1983-87. Supervised staff of 20 faculty from various disciplines and 15 staff. This was the Colorado State University's part of the three-university project. Wrote proposals for individual projects to be funded by USAID. Negotiated yearly contracts with USAID. Supervised hiring, budgeting and implementation of all project personnel and programs. Traveled internationally to manage long-term personnel assigned to specific countries and to work with short-term teams on assignment. Coordinated efforts with Cornell and Utah State universities. Served as acting director for the project.

## WORKSHOPS

Director, Southern Newspaper Publishers Workshop on Religion Reporting,1999.
Director, Center for Urban Journalism Workshops---Computer Assisted Reporting, Photoshop, Religious Communication, Summer 1995.
Director, Journalism Camp & Publication Advisers Workshop, MSU, 1988-90.
Director, Desktop Publishing Workshop, 1986-90(eight workshops).
Director, Pakistan Senior Officials Tour, 1985 ($40,000 CID-funded project)
Director, Diagnostic Analysis of Irrigated Agricultural Systems, 5-week workshop for 19 professors from India, 1984. ($70,000 CID-funded project)
Director, Public Relations Educators' Workshop (1984,1985, and 1986)
Director, Journalism Camp, 1976-92. (250 high school students and 75 advisers from 5-6 states attended the one-week workshop annually) Colorado State University

**PROFESSIONAL MEMBERSHIPS**
Public Relations Society of America (PRSA), Accredited
Society of Professional Journalists
Association for Education in Journalism and Mass Communications (AEJMC)
Delta Sigma Pi (national business fraternity)
Omicron Delta Epsilon (economics honorary)
American Advertising Federation
Southern States Communication Association

**PROFESSIONAL OFFICES**

Vice President, Accrediting Council for Education in Journalism & Mass Communication, 1995-2001; Member of Council 1994-2005, representing PRSA as an educator.

President, Memphis Chapter of Public Relations Society of America, 1993; Assembly Delegate, Memphis, 2003-2009; 1999-2001; 1991-1992, and Colorado Chapters of PRSA, 1986-87

Chair, Educators Academy, PRSA, 1996. Chair, Education Affairs Committee, PRSA, 1996; 1999-2002

Member, Board of Directors, Baptist News Global, 1996-present. Chair, 2007-12

Member, National Commission on Undergraduate Education in Public Relations, 1984-86; Commission on Public Relations Education, 1998-2008.

Member, APLU Commission on Distance Education, 2012-13.

Colorado High School Press Association, 1972-1986 Executive Board

National Council of College Publication Advisers, Executive Board, 1974-76

**COMMITTEES (2000-2016)**
*Chair, Curriculum Committee*, Regents Online Degree Programs, 2000-2012. Worked with faculty and administrators throughout the Tennessee Board of Regents system to develop online degree programs for Fall 2001. Programs have grown to serve more than 18,000 students today.

*Chair, Course Management Software Conversion Team*, 2007-09. Leading campus effort, along with the Tennessee Board of Regents schools, to convert to Desire 2 Learn.
Chair, TBR Distance Education Committee, 2001

*Chair, Space Policy Council*, University of Memphis, 2000-2011

*Chair, Distance Education Policy Sub-Committee*, Association for Education in Journalism and Mass Communication, 2000-2001

*Chair, Distance Education Standards*, Accrediting Council for Journalism and Mass Communication, 1999-2001

**HONORS**

UM Journalism Alumni Outstanding Career Achievement Award, 2013
Collierville Parks Board Inaugural Hall of Fame
Tennessee Board of Regents, Legacy Award, 2011
Regents Award, RODP Program, 2002
Professional of the Year, Memphis Chapter of PRSA, 1990
Southwest District Educator of the Year, PRSA, 1983
Outstanding Journalism Faculty (Student Award), 1982
Outstanding Young Man of America, 1980
Presidential Citation for Outstanding Service, College Media Advisers, 1976-77

**CREATIVE ACTIVITY**

Dan Lattimore, DVD for Instructors to accompany *Public Relations: The Profession and the Practice, Second Edition*, McGraw-Hill, 2007. (CD for first edition 2004)

Dan Lattimore, DVD for Students to accompany *Public Relations: The Profession and the Practice, Second Edition*. McGraw-Hill, 2007. (CD for first edition 2004)

Dan Lattimore, "Public Relations Management," Online Course 2007 designed for master of professional studies program for RODP.

Dan Lattimore, "Introduction to Public Relations," Online Course, 2000. Used by the Regents Online Degree Programs. Revised 2007.

Dan Lattimore and Greeley Kyle, "MSU Journalism Department," 8-minute video, 1993

Dan Lattimore, Ann Suttle & Joyce Morrison, "The Journalistic Interview," 30-minute videotape funded through a grant from the Tennessee Press Association Foundation,1992.

Dan Lattimore, "African Irrigation: Opportunities & Constraints." 15-minute video prepared for USAID through contract with the Consortium for International Development, 1988.

Dan Lattimore and Robby Laitos, "Nepal: Sirsia Irrigation System," 30-minute videotape prepared for USAID/Nepal, 1986.

Dan Lattimore, Fred Shook, and John Webb, "Interdisciplinary Videotapes for Improving Irrigated Agriculture." Series of 20-25 videotapes produced from 1982-84 for Water Management Synthesis Project for use in training program worldwide.

Dan Lattimore and Bruce Watterson, "Yearbook Production." Three-part videotape series prepared for college and high school yearbook advisers. Produced by Dan Lattimore, 1983.

Dan Lattimore and Fred Shook, "Newspaper Production Process." 13-minute color, 16mm film, produced by Educational Media, 1979. Won Golden Eagle Award at International Film Festival, 1980.

Fred Shook and Dan Lattimore, "The Process of Television News," 15-minute, color, 16mm film, produced by CSU Educational Media, 1976. International Communications Agency has translated into 5 languages for worldwide distribution.

## BOOKS

Dan Lattimore, Otis Baskin, Suzette Heiman and Elizabeth Toth, **Public Relations: The Profession and Practice, Fourth Edition,** (New York: McGraw-Hill, 2012).

Dan Lattimore, Otis Baskin, Suzette Heiman and Elizabeth Toth, **Public Relations: The Profession and Practice, Portuguese Edition,** 2012.

Dan Lattimore, Otis Baskin, Suzette Heiman and Elizabeth Toth, **Public Relations: The Profession and Practice, Third Edition.** (New York: McGraw-Hill, 2009).

Dan Lattimore, Otis Baskin, Suzette Heiman and Elizabeth Toth, **Public Relations: The Profession and Practice, Chinese 2nd Edition.** (New York: McGraw-Hill, 2009).

Dan Lattimore, Otis Baskin, Suzette Heiman and Elizabeth Toth, **Public Relations: The Profession and Practice, Spanish Edition.** (New York: McGraw-Hill, 2008).

Dan Lattimore, Otis Baskin, Suzette Heiman and Elizabeth Toth, **Public Relations: The Profession and Practice, Second Edition.** (New York: McGraw-Hill, 2007.

Dan Lattimore, Otis Baskin, Suzette Heiman, Elizabeth Toth, and James Van Leuven, **Public Relations: The Profession and the Practice**. **First Edition**. (New York: McGraw Hill, 2004); Greek 4$^{th}$ edition, 2003; **Chinese edition, 2006.**

Otis Baskin, Craig Aronoff, and Dan Lattimore, **Public Relations: The Profession and Practice, Fourth Edition.** (Madison, WI: Brown & Benchmark, 1997).

Jim Redmond, Fred Shook, Dan Lattimore, and Laurie Lattimore-Volkmann, **The Broadcast News Process. Seventh Edition, (**Denver: Morton Publishing CO., 2005.) Six other editions published since 1978.

Bill Brody and Dan Lattimore, **Public Relations Writing.** (New York: Praeger Publishing Co. April, 1990.)

Dan Lattimore and Art Terry, **Computer Publishing Techniques**. (Denver: Morton Publishing Company, April 1990.)

Dan Lattimore and John Windhauser, **The Editorial Process. Second Edition.** (Denver: Morton Publishing Co.,1984). **First edition** published 1978.

## PEER-REVIEWED ARTICLES & CHAPTERS

Laurie Wilson and Dan Lattimore, Accreditation and Certification of Public Relations Programs, Chapter 9 in **Learning to Teach, 3$^{rd}$ Edition**, Lynne A. Sallot and Barbara DeSanto, editors, New York: PRSA, 2003.

Don Rybacki and Dan Lattimore, "Assessment of Public Relations Programs," Public Relations Review, Vol.25,No. 1 (Fall 1999).

Dan Lattimore and Art Terry, "Electronic Publishing," in **Public Relations Teaching**, edited by Lynne Sallot, Public Relations Division of AEJMC Publisher, 2nd Edition, 1997.

Dan Lattimore and Robert Bishop, "Public Relations Writing," in Earl Hutchison, ed., **Mass Communication.** New York: Longman, January 1996.

Dan Lattimore and Art Terry, "Desktop Publishing," in **Public Relations Teaching**, edited by Judy Turk, Public Relations Division of AEJMC Publisher, 1991.

Dan Lattimore, "Water Management: Problems and Potential for Technology Transfer," Chapter 17 in **Irrigation Management in Developing Countries: Current Issues and Approaches,** edited by Nobe and Sampath, Boulder,Co: Westview Press, 1986.,pp.509-534.

Wayne Clyma and Dan Lattimore, "Irrigation System Rehabilitation: Need for Pre-Rehabilitation Studies," Proceedings: International Conference on Rehabilitation and Betterment, WMS II Project, 1986.

Dan Lattimore, "Education for Public Relations," Advertising and Marketing Review, December 1986, pp. 14.

Wayne Clyma, Max Lowdermilk, & Dan Lattimore, "On-Farm Water Management for Rural Development," Agricultural Engineering, 62(2):14-15 (Feb.1981)

Dan Lattimore "Selecting Page Designs," College Press Review, 19(1):16-17 (Spring 1980)

Dan Lattimore and John Windhauser, "How Accurate Is Your Campus Paper," College Press Review, 18(2):50-51 (Winter 1979)

Oguz B. Nayman, Blaine McKee, and Dan Lattimore "PR Personnel and Print Journalists: A Comparison of Professionalism," Journalism Quarterly, 54(3):492-497 (Autumn 1977)

Dan Lattimore and Blaine McKee, "Who Belongs to NCCPA," College Press Review, 16(2):16-17 (Winter 1977)

Blaine McKee, Oguz Nayman and Dan Lattimore, "How PR People See Themselves," Public Relations Journal, 31(11):47-52 (November 1975)

Oguz Nayman, Ken Berry and Dan Lattimore, "Televised Political Advertising and the Voter: Survey of Voter Attitudes in the 1972 Presidential Election," International Journal for Mass Communications (Fall 1975)

Oguz Nayman, Dan Lattimore and Manual Alers-Montalvo, "Professional Orientation of Spanish Journalists," Gazette: International Journal for Mass Communication Research, 20 (1):224-232 (Spring 1974)

Dan Lattimore and Oguz B. Nayman, "Professional Orientation of Colorado Daily Newsmen," Gazette, 20(1):1-10 (Spring 1974)

Dan Lattimore, Oguz Nayman and Blaine McKee, "Public Relations Professionalism," College Press Review, (Fall 1974).

Dan Lattimore and John Windhauser, "News Interest and Satisfaction Differences Between Readers and Editors," College Press Review, (Spring 1973, pp.31-32; 47.

Dan Lattimore and John Windhauser, "Use of the Mass Media on a College Campus," College Press Review. (Winter 1973) pp. 22-23.

**OTHER PUBLICATIONS (Selected)**

Editor, **Developing Irrigated Agriculture: A Socio-technical Approach.** Water Management Synthesis II Project Report, 1988.

Editor, **Summary: Forum on the Performance of Irrigated Agriculture in Africa,** Water Management Synthesis II Project, 1988.

Editor, **Water Management Review**,1985-86. Journal of the Water Management Synthesis Project, published three times per year,1985-86.

Editor, **Water Management News,** newsletter of Water Management Synthesis 1980-82.

Dan Lattimore and Robby Laitos, **Instructor's Guide, Diagnostic Analysis Workshop**, Water Management Synthesis Project, 1988.

Dan Lattimore and Larry Nelson, **Diagnostic Analysis Workshop**, Water Management Synthesis II, January 1983.

Wayne Clyma, Dan Lattimore, and Mohan Reddy, "Irrigation Water Management Problems Around the World," Ninth Technical Conference on Irrigation and Drainage, October 1982.

Dan Lattimore, **Land Leveling Planning Guide No 1**, Water Management Synthesis, 1981.

M.K. Lowdermilk and Dan Lattimore, **Farmer Involvement, Planning Guide No.2,** Water Management Synthesis Project I, December 1981.

Dan Lattimore, editor, **Irrigation Pumping, Planning Guide No. 3**, Water Management Synthesis Project I, June 1982.

Dan Lattimore, editor, **Farm Irrigation Structures, Planning Guide No. 4,** Water Management Synthesis Project, September 1982.

Dan Lattimore, editor, **The Irrigation Association,** and **Egypt Water Use and Management Project**, 1981.

**PRESENTATIONS (1998-2015)**

Dan Lattimore, "Recruitment and Retention for the Non-Traditional Student," University of Memphis Administrative Retreat, September 2007.

Dan Lattimore, "Higher Education and the Working Adult," keynote speaker for the Pinnacle Society honors program, April 2007.

Dan Lattimore, "Higher Education: Why Collierville?" Presentation for the Collierville Chamber of Commerce, Oct. 11, 2006.

Dan Lattimore, Charles Lea, and Donna Ashford, "Quality in RODP," TBR Leadership Academy, Dickson, TN., Sept. 21, 2005.

Dan Lattimore, "Turning the Tide: PR for Higher Education," Tennessee Alliance for Continuing Higher Education. Nashville, Nov. 13, 2003.

Dan Lattimore, “Climbing Aboard the Internet: Web-based Instruction,” presentation for the PRSA Educators’ Academy at the Public Relations Society of America convention, San Francisco, CA., Nov. 17, 2002.

Dan Lattimore, Meg Moritz, and Jay Friedlander, “Post Tenure Review,” panel for AEJMC, Miami Beach, FL., August. 2002.

Sidney McPhee, Dan Lattimore, and Bill Graves, “Using Technology to Enhance College Success: A System-wide Approach,” 2001 Southern Association of Colleges and Schools annual meeting, New Orleans, Dec. 10, 2001.

Dan Lattimore, “Nashville: We have Liftoff—RODP Update,” Tennessee Alliance for Continuing Higher Education, Annual Meeting, Nashville, TN., Nov. 15, 2001

Dan Lattimore, Panelist, Online Journalism Education, AEJMC Annual Convention, Phoenix, August 2000.

Dan Lattimore, “Assessing Distance Education,” Tennessee Graduate School Deans, Johnson City, TN., April 2000.

Dan Lattimore, “Distance Education,” 30th Annual Student Audiology Conference, Memphis, TN., March 2000.

Dan Lattimore, “Online Education,” TBR Distance Learning Conference 2000, Feb. 2000.

Dan Lattimore, “Distance Education Roundtable,” Conference for Southern Graduate Schools, Nashville, TN., February 2000.

Dan Lattimore, Panelist, Distance Education in Journalism, ASJMC Winter Meeting, Memphis, TN, December 1999.

Dan Lattimore, "Accreditation Issues: Outcomes & Assessment," ASJMC Winter Meeting, Memphis, TN, December 1999.

Dan Lattimore, Panelist, "Public Relations Commission Report, " Association for Education in Journalism and Mass Communication Annual Convention, New Orleans, August 1999.

Dan Lattimore, "Accreditation Issues and Concerns," Administrators of Schools of Journalism and Mass Communication Annual Meeting, New Orleans, August 1999.

Joann Keyton, Walter Kirkpatrick, and Dan Lattimore, "Public Relations Lessons from University Internal Communication Survey," paper for the Southern States Communication Association, St. Louis, April 1999.

Don Rybacki and Dan Lattimore, "Report on Public Relations Assessment," National Communication Association, New York, November 1998.

Don Rybacki and Dan Lattimore, "Public Relations Assessment Team Report," NCA Public Relations Conference, Washington, DC, July 1998.

**REFERENCES**

Dr. Richard Irwin, Vice Provost
Center for Innovative Teaching and Learning
Academic Affairs, University of Memphis
Memphis, TN 38152
901-678-2716
Email: rirwin@memphis.edu

Dr. David Arant, Chair
Journalism Department
University of Memphis
Memphis, TN 38152
901-678-2402
Email: darant@memphis.edu

Dr. Karen Weddle-West
Provost
University of Memphis
Memphis, TN 38152
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**WILLIAM L. AKEY, Ed.D.**


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|---|---|
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| Germantown, TN 38139 | 901-830-7469 (cell) |
| wakey@memphis.edu | 901-678-3993 (work) |


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## EDUCATION

| *Degree* | *Major/Concentration* |
|---|---|
| Doctor of Education | Leadership/Higher Education<br>The University of Memphis, December 2006 |
| Education Specialist | Counseling/Student Personnel Services<br>Memphis State University, August 1987 |
| Master of Science | Counseling<br>Memphis State University, August 1982 |
| Bachelor of Arts | Psychology<br>Memphis State University, May 1981 |

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## EMPLOYMENT HISTORY

**The University of Memphis April 25, 1985 to Present.** Positions held at the U of M described below:

**Interim Vice Provost of Enrollment Services**
The University of Memphis - January 1, 2017 to Present.

- Management of the Enrollment Services Division (Undergraduate Admissions, Recruitment, Orientation Services, Financial Aid, Scholarships, Registrar, Enrollment Services Student Service Center, and Dual Enrollment Programs).
- Co-chair of the Strategic Enrollment and Retention Council.
- Oversight of the collaborative with third-party consultants for enrollment planning.

**Special Assistant to the Provost** July 1, 2016 to December 31, 2016

- Interim position to oversee the day-to-day operations of the Enrollment Services Division.

***Associate Dean and Assistant Professor University College***
***Director of Dual Enrollment Programs***
The University of Memphis – October 1, 2014 to present.
*University College*

- Oversee the University College graduate programs.

- Develop recruitment initiatives for the University College targeting graduate programs.
- Represent the Dean as assigned.
- Represent the University College on the Graduates Directors Council.
- Represent the University College on the University Council.
- Teach courses as assigned.

*Dual Enrollment Program*

- Direct the high school based dual enrollment program for the University.
- Coordinate activities campus-wide, develop new participant schools, and act as the liaison with the participating schools and their governing offices.
- Manage the Dual Enrollment budget.
- Develop short-term and long-term strategic plans for the dual enrollment program.

***Interim Associate Dean University College***
***Director of Dual Enrollment Programs***
The University of Memphis – July 1, 2014 to September 30, 2014.

***Assistant Professor, Department of Leadership, Higher & Adult Education and***
***Director of Dual Enrollment Programs***
The University of Memphis – October 1, 2009 to June 30, 2014.
*Department of Leadership*

- Teach graduate students in the Department of Leadership, Higher & Adult Education program.
- Coordinate the Internship program for Higher & Adult Education Students.
- Coordinate the Community College Certificate Program.
- Chair & Membership on master's degree student portfolio committees.
- Membership on doctoral student dissertation committees.
- Advise master's degree and certificate students.

*Dual Enrollment Program*

- Direct the high school based dual enrollment program for the U of M.
- Coordinate activities campus-wide, develop new participant schools, and act as the liaison with the participating schools and their governing offices.

*Interim Director, Center for the Study of Higher Education (CSHE) – November 2011 to June 30, 2014.*

- Coordinate activities for the Community College Student Experiences Questionnaire (CCSEQ).
- Moved the CCSEQ from a paper based survey to an online format.
- Coordinated the online administration of the CCSEQ with the Center for Research in Educational Policy (CREP).
- Oversight of CSHE activities.

***Assistant Vice Provost for Enrollment Services***
The University of Memphis – January 8, 2001 to September 30, 2009.

- Oversight of the Enrollment Services Division - Admissions, Recruitment, New Student Orientation, Student Financial Aid, Undergraduate Scholarships, Records, and Registration (over 100 full-time employees).
- Chair, Enrollment Services Management Team.
- Chair, Enrollment Management Council.
- Oversight of budget planning for the division's multimillion dollar budget.
- Direct report to the Provost.

***Director, Student Relations and Orientation Services***
The University of Memphis – January 1, 1996 to January 7, 2001.

- Direction of recruiting and orientation staff, New Student Orientation programming, and special event planning for recruitment.
- Budget management and planning for recruiting, orientation, and publications.
- Campus-wide coordination with departments and administration for undergraduate recruitment.
- Coordination with Marketing Department and the advertising agency for publication development.
- Coordination with national consultant group for recruitment planning.

***Associate Director of Admissions (Student Relations)***
The University of Memphis – December 1, 1993 to December 31, 1995.

- Management of undergraduate recruiting and orientation programs.
- Oversight of recruiting publications, coordination with Media Relations Department.
- Management of related budgets.

***Academic Counselor***
The University of Memphis – April 25, 1985 to November 30, 1993.

- Academic Advisor for several hundred undergraduate students.
- Academic advising liaison with the Developmental Studies program.
- Membership on the College of Education undergraduate curriculum committee (non-voting).

**Job history prior to April 1985.** Brief overview.

**Program Coordinator / Counselor**
Methodist Outreach, Inc. – Memphis, TN – March 1984 to April 1985.

**Marketing Manager**
Craftsman Supply Company – Memphis, TN – February 1983 to March 1984.

**Marketing Representative / Counselor**
Lakeside Hospital – Memphis, TN – January 1980 to February 1983.

**Case Worker**
Northeast Community Mental Health Center – Memphis, TN – November 1975 to January 1980.

**Air Traffic Controller**
United States Navy – Active Duty - October 1971 to August 1975.

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## TEACHING

**Associate Graduate Faculty Status**
The University of Memphis – University College (approved through 2020).

**Affiliate Graduate Faculty**
The University of Memphis – Department of Leadership (2010 through 2015).

**Adjunct Teaching Faculty**
The University of Memphis – Department of Leadership (approved 2007 – 2010).

*Course Taught in the University College*

- Foundations of Leadership – PRST 7500 (taught in a hybrid format).

*Courses Taught in the Department of Leadership*

- **Introduction to Leadership** - LEAD 7000 (taught in traditional format and online). Developed this course to be offered online as part of the online master's program.
- **IT Trends & Issues** – HIAD 7815/8415 (taught online).
- **Developmental Education** – HIAD 7452/8452 (taught as a hybrid).
- **Student Personnel Services in Higher Education** – HIAD 7440/8440 (taught face-to-face).
- **College Environments** – HIAD 7443/8443 (taught face-to-face).
- **Internship** – HIAD 7060/8060 (taught each semester, coordinate with sponsor institutions and site supervisors).
- **Adult Learning & Leadership** – LEAD 7500/8500 (taught online & face-to-face).
- **Community Colleges** – HIAD 7411/8411 (taught online).

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## GRANT ACTIVITY

- 2003 Tennessee Board of Regents Geier Grant for summer pre-enrollment program focusing on Engineering (Co-P.I.). $100,000.
- 2004 Tennessee Board of Regents Geier Grant for summer pre-enrollment program focusing on Performing Arts. $100,000.
- 2005 Tennessee Board of Regents Geier Grant for summer pre-enrollment program focusing on Natural Sciences. $100,000.
- 2006 Tennessee Board of Regents Geier Grant for summer pre-enrollment program focusing on Education. $100,000.

- 2007 Tennessee Board of Regents Access & Diversity Grant for summer pre-enrollment program for a Math Academy (Co-P.I.). $100,000.
- 2008 Tennessee Board of Regents Access & Diversity Grant for summer pre-enrollment program for a Math Academy. $100,000.
- 2009 Tennessee Board of Regents Access & Diversity Grant for summer pre-enrollment program for a Math Academy. $90,000.

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**Presentations**

- College Student Financial Literacy. Presented at the May Student Affairs Conference at the University of Memphis, May 2006.
- The Math Academy: A Successful Pre-Enrollment Summer Program Focused on Algebra Instruction and College Life (Akey, Anderson, & Boyd). Presented at the 2011 Tennessee College Access and Success Conference held at Vanderbilt University, November 1, 2011
- The Math Academy: A Successful Pre-Enrollment Summer Program Focused on Algebra Instruction and College Life (Akey, Anderson, & Boyd). Presented at the 2012 Tennessee Board of Regents Diversity Conference, March 2012.

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**AWARDS**

- Kappa Delta Pi – International Honor Society in Education (initiated 2006).
- Distinguished Administrator of the Year – 1998 (University-wide Award).
- Pyramid Award – June 1997 (Student Affairs/Enrollment Services Division Outstanding Service Award).
- Omicron Delta Kappa – December 1993 (staff honorary initiate). Served as secretary/treasurer. Currently serve as faculty advisor.

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**CURRENT COMMITTEE ASSIGNMENTS:**

- Vice Provost Council.
- Strategic Enrollment and Retention Council.
- Enrollment Services Management Team (Chair).
- University College Self-Study (2015-2016).
- Tennessee Board of Regents (TBR) Ad-Hoc Committee on Dual Enrollment.
- TBR Sub-Committee on Early College Credit for the Tennessee Department of Education (Sub-Committee of the Ad-Hoc Committee).
- Dissertation committee membership (continue to serve on dissertation committees in the Department of Leadership and one in the Department of Communications).

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**ORGANIZATIONS**

- American Association of Collegiate Registrars and Admissions Officers.
- Southern Association of Collegiate Registrars and Admissions Officers.
- Association for Graduate Liberal Studies (AGLSP)
    - Served on the Annual Faculty Award selection committee 2016.

**REFERENCES**

- Dr. Brian Meredith, Associate Vice President for Enrollment Services - Western Kentucky University – 270-745-6169.

- Dr. Karen Weddle-West, Provost – The University of Memphis – 901-678-2119.

- Dr. Dan Lattimore, Dean, University College – The University of Memphis – 901-678-3806.

**Joanne Gikas, Ed.D.**
4218 Sequoia Road, Memphis, TN 38117 901.277.0200 jgikas@gmail.com

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**EDUCATION**

***Ed.D. Instruction & Curriculum Leadership, emphasis in Instructional Design & Technology***
University of Memphis, August 2011
***Understanding Change: Implementing Mobile Computing Devices in Higher Education***
***Dr. Michael M. Grant, Dissertation Committee Chair***

***MS Instruction & Curriculum Leadership, emphasis in Instructional Design and Technology***
University of Memphis, May 2001

***BS Education, emphasis in Human Learning & Licensure, K-8,*** Magna Cum Laude
University of Memphis, December 1995; State of Tennessee Professional Teaching License

**PROFESSIONAL ACTIVITIES**

***Assistant Dean, Undergraduate Programs*** **2013 – present**
University College
University of Memphis, Memphis, TN
Duties include:

- Managed all undergraduate programs administrative staff including interns, graduate assistants and undergraduate faculty and instructors
- Facilitated the undergraduate processes for the College including advising, graduation processes, late/retroactive withdrawals for students
- Facilitated curriculum changes by working with appropriate faculty/committees to ensure relevant curriculum offerings for College
- Represented the College at the University Undergraduate Curriculum Council (UUC); engaged in discussion about undergraduate curriculum for the university; represented the College at UUC Sub Committee meetings as well as the Teaching and Learning Advisory Committee (TLAC)
- Coordinated semester course schedules, which included hiring and contracting appropriate instructors as well as assigning full time College instructors to courses
- Managed the Baccalaureate Contract process for all students designing their own degree; reviewed, evaluated and approved all student contracts

***Interim Dean, University College*** **September 2015 – January 2016**
University of Memphis, Memphis, TN
Duties include:

- Managed all University College administrative staff, faculty and instructors
- Represented the College at the University Undergraduate Curriculum Council (UUC); engaged in discussion about undergraduate curriculum for the university; represented the College at UUC Sub Committee meetings, represented the College at the Deans/Director’s Meetings and the Administrative Support Unit Allocations Committee as part of the SRI Governance Team
- Coordinated semester course schedules, which included hiring and contracting appropriate instructors as well as assigning full time College instructors to courses
- Coordinated the College’s self-study and peer review as required by the Tennessee Higher Education Commission (THEC)

***Graduate and Undergraduate Teaching Experience*** **2002 – present**
University College (Regents Online Campus Collaborative) and College of Education
University of Memphis, Memphis, TN
Duties include:

- Facilitated the implementation of action research for classroom teachers in online graduate courses
- Coordinated Oral Exams for Action Research course
- Facilitated the instructional design process for graduate and undergraduate courses in online and face to face formats

***Director of Undergraduate Studies*** **2012 – 2013**
Regents Online Campus Collaborative (ROCC)
Tennessee Board of Regents, Nashville, TN
Duties include:

- Facilitated the implementation and development of new undergraduate programs for ROCC
- Coordinated Letter of Intent documentation for new undergraduate programs to be reviewed by the Board of Regents
- Engaged in ROCC curriculum committee, undergraduate curriculum sub committees and subcommittee investigating transformative strategies for higher education
- Organized ROCC course development and redevelopment based on program audit
- Worked with campus Distance Education Directors and Deans regarding undergraduate course concerns
- Verified undergraduate program information and assisted in maintaining course syllabus and pre- and co-requisites
- Structured the ROCC course design standards and collaborated on professional development activities for course developers with the Director of Instructional Design
- Organized and prepared database of resources for systems community colleges and universities for SACS accreditation purposes

***Director, Online Education*** **2010 – 2012**
eCampus, Distance Education/Extended Programs
University of Memphis, Memphis, TN
Duties include:

- Assisted with defining and implementing UofM strategic plan for UM online programs, including faculty development opportunities, communication strategies, and online course review procedures
- Designed course review procedures for all online courses for the UM online program; reviewed all online courses prior to course launch, resulting in a 25% increase in student success rates
- Consulted with faculty in the development and design of more than 100 online courses for UM online programs
- Researched and evaluated effectiveness of planned intervention strategies for online courses in terms of student success
- Researched new instructional technologies to improve teaching and learning in online education

- Planned and implemented regularly scheduled faculty development workshops for online teaching and learning
- Assisted with the design and implementation of the eCampus departmental website redesign

***Academic Technology Consultant III*** **2002 – 2009**
Advanced Learning Center, FedEx Institute of Technology
University of Memphis, Memphis, TN
Duties include:

- Researched and evaluated the value of new instructional technologies and strategies for teaching and learning and assisted in publishing and presenting this information at local, regional and national events
- Designed and facilitated faculty seminars that promote innovation in student learning by incorporating technologies such as mobile technologies (iTouch/iPhone, etc.), Web 2.0 tools, multimedia, video games/simulations, video collaborations, course management systems, social networking tools, web design, university supported resources and Microsoft Office applications
- Designed and implemented a Fellowship Program for faculty from various academic colleges to aid in the effective design or redesign of their courses
- Assisted faculty in the instructional design of online (Regents Online Degree Program & UofM), face-to-face and hybrid courses
- Assisted Center Director in campus leadership activities; interacted and represented the Advanced Learning Center to Academic Affairs and the Information Technology Division in order to promote faculty development programs and their effectiveness
- Coordinated and organized faculty grant programs that promoted effective instructional technologies for the university; researched external grant opportunities for faculty and for ALC based research opportunities
- Assisted with the design and implementation of the Advanced Learning Center's departmental website

***Interim Manager, Training Services*** **January 2002 – May 2002**
Professional Development & Training Services
University of Memphis, Memphis, TN
Duties include:

- Managed staff and assigned duties as they related to the design and implementation of training programs
- Assisted departments in providing employee training based on professional development needs
- Managed department budgetary needs
- Interviewed/hired support staff for department

***Instructional Designer/Trainer*** **2000 – 2002**
Professional Development & Training Services
University of Memphis, Memphis, TN
Duties include:

- Designed, developed, and facilitated soft skill instructional materials according to departmental needs analysis

- Designed web-based training modules for the university Intranet and aided in the creation, design, and implementation of the university Intranet
- Managed projects in the training department

***4th/5th classroom teacher, 21st century classroom*** **1996 – 2000**
Memphis City Schools, Memphis, TN
Duties included:

- Utilized a variety of techniques and strategies to enhance learning and participation: 21st century computer technology, Activities Integrating Math and Science (AIMS), Newspaper in Education, Integrated Thematic Units, Writing Portfolios
- Developed instructional plans using 21st century computer technology
- Developed instructional plans to accommodate learner differences

**PROFESSIONAL DEVELOPMENT/ SERVICE ACTIVITIES**

- Member of the TN Reconnect Grant Committee focusing on adult student retention
- Peer Reviewer, Arkansas Technical University College Program Review for Bachelor of Professional Studies, February 2016
- UofM representative for the TBR Community, Belonging, and Inclusion (CBI) Priority Strategy Work Group – Badging and Certification
- Manuscript Reviewer for Tech Trends – a peer reviewed journal for professionals in the educational communication and technology field
- Peer Reviewer, Arkansas State University College Program Review for Bachelor of General Studies, May 2015
- Managed social media presence for University College, University of Memphis
- Content Architect, Educause conference, Baltimore, Maryland, 2014
- Managed social media presence for Annunciation Greek Orthodox Church, Memphis, TN, 2013-2015
- Committee member, Southeast Regional Educause Conference 2012-2013
- Reviewed Educause Learning Initiative (ELI) conference proposals, 2012
- Reviewed American Education Research Association (AERA) proposals, 2012
- Sloan Consortium/Penn State 2011 Institute for Emerging Leadership in Online Learning
- Consulted with Arkansas Technical University on the implementation of online programs
- Consulted with University of Tennessee Health Sciences, Memphis on the development and implementation of online courses
- Consulted with Armstrong Relocation Company on the effective design and development of their internal training documentation
- Co-taught Instructional Design & Technology course, IDT 7060/8060, Technology Tools for Learning with Dr. Clif Mims
- Co-taught Instructional Design & Technology course, IDT 7074/8074, Theories and Models of Instructional Design with Dr. Michael Grant
- Designed and developed web based instruction for the Math Emporium Lab, Virginia Tech as a part of Instructional Design & Technology capstone project requirement
- Mentored pre-service teachers as a part of the Teachers Learning in Networked Communities (TLINC) project through the University of Memphis, College of Education
- Produced Video Project for Manas, LLC, including video/audio editing, adding voice over and creating DVD for dissemination

**PUBLICATIONS**

Gikas, J. & Grant, M.M. (2013). Mobile computing devices in higher education: Student perspectives on learning with cellphones, smartphones & social media. The Internet and Higher Education, 19, 18-26.

Polly, D., Grant, M.M., & Gikas, J. (2010). Supporting technology integration in higher education: The role of professional development. In D. Surry, T. Stefurak, & R. Gray (eds.), *Technology integration in higher education: Social and organizational aspects*. Hershey, PA: IGI Global.

Gikas, J., Penrod, J., Robertson, J.S. & Schaeffer, S. (2005). Final Report: NLII community of practice project University of Memphis Technology Fellows Teaching and Learning Collaboration. Washington, D.C.

**PRESENTATIONS**

Christopher, A., Gikas, J. Gibson, D., Grant, M.M. & Murrell, V. (2012, October 31-November 3). *Putting learning into practice: Examining the landscape of faculty/student/client design partnerships.* Association for Educational Communications and Technology (AECT), Louisville, KY.

Gikas, J. (2011, November 8-12). *Implementing mobile devices in higher education teaching and learning.* Association for Educational Communications and Technology (AECT), Jacksonville, FL.

Gikas, J. (2011, October 18). *Mobile learning: There IS an app for that!* Mobile Technology for Teaching & Learning Conference, The University of Memphis, Memphis, TN.

Grant, M.M. & Gikas, J. (2011, September 22-23). *The promise of mobile learning in higher education: Affordances, implementations, and challenges.* Union University 5th Annual Research Forum, Jackson, TN.

Murrell, V.S. & Gikas, J. (2011, July 11-13). *Creating and maintaining quality in online programs.* Sloan Consortium 4th Annual International Symposium, San Jose, CA.

Murrell, V.S. & Gikas, J. (2010, November 11). *Emerging Technologies in a Web 2.0 World.* Tennessee Alliance for Continuing Higher Education Annual Conference, Franklin, TN.

Gikas, J, (2010, September 20-23). *Boot camps for faculty: Professional development opportunities for online faculty.* Arkansas Distance Learning Association (ARDLA) Annual Conference, Hot Springs, AR.

Gikas, J. (2010, January 19-21). *Why professors choose to use wikis, blogs, and podcasting in course design*. Educause Learning Initiative (ELI), Austin, TX.

Gikas, J. (2009, October 27-31). *Web 2.0 & engaged learning: Why faculty choose to use wikis, blogs and podcasting in teaching & learning.* Association for Educational Communications and Technology (AECT), Louisville, KY.

Terry, S., Schaeffer, S.J. & Gikas, J. (2009 October 7-9). *Motivating faculty to employ course redesign*. Society for College and University Planning, Memphis, TN

Terry, S., McMurry, J. & Gikas, J. (2008 June 2-4). *Podcast Central: The evolution of maintaining a dynamic podcasting service.* Southeast Regional Educause Conference, Jacksonville, FL.

Gikas, J. & Schaeffer, S. (2007 July 31-August 2). *UMDrive powered by Xythos bridges us: Case studies on the use of Xythos at the UofM.* Campus Technology Conference, Washington, D.C.

Gikas, J. & Conger, K.M. (2007 April 2-3). *Moving beyond the talk: Let the games begin.* Instructional Technology Conference, Murfreesboro, TN.

Gikas, J. (2006 October 13). *How to keep the digital natives from being restless.* Women in Higher Education in Tennessee, Dickson, TN.

Gikas, J., Ray, C.C., Varghese, R. & Bowery, R. (2006 March 13-15). *Look, listen, learn: Collaboration in the 21st century.* EDUCAUSE- Midwest Regional Conference, Chicago, IL.

Gikas, J. (2005 May 5). *Gaming theory as a teaching tool.* TechX-2005 Hands On Learning & Virtual Experiences in the Classroom, University of Memphis, Memphis, TN.

Gikas, J. & Schaeffer, S.J. (2005 March 20-23). *How to create a virtual communities of practice (VCoP)* - EDUCAUSE- Midwest Regional Conference, Chicago, IL.

Gikas, J. & Ray, C.C. (2005 March 20-23). *Input...outcome: Using technology in the learning environme*nt. EDUCAUSE- Midwest Regional Conference, Chicago, IL.

Gikas, J. & Warne, E. (2004 April 29). *K-12 uses for Microsoft applications.*
TechX 2004 – A Celebration of Learning Technologies (A Microsoft Event),
University of Memphis, Memphis, TN.

Gikas, J. & Van Eck, R. (2004 March 30-31). *Gaming theory as a teaching tool at all levels.*TechsposiUM: Improving Education and Health Through Information Technology: Global and Local Strategies, An International Multidisciplinary Conference, University of Memphis, Memphis, TN.

Gikas, J. & Van Eck, R. (2004 January 25-27). *Integrating video games in the classroom: Where to begin?* NLII Annual Meeting, New Learning Ecosystems, San Diego, CA

**PROFESSIONAL ASSOCIATIONS**

- Association for Educational Communications and Technology (AECT) – Individual association
- American Educational Research Association (AERA) – Individual association
- EDUCAUSE – Institution association
- Online Learning Consortium (formerly Sloan Consortium) – Institution association

**HONORS**

- Institutional nomination to Association for Educational Communications and Technology (AECT) Intern, 2010
- Outstanding Instructional Design & Technology (IDT) Doctoral Student, 2011
- Sloan Consortium/Penn State 2011 Institute for Emerging Leadership in Online Learning

# COLIN B. CHAPELL

Curriculum vitae

University College
University of Memphis
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Memphis, TN 38152

901.678.3066 - Office
434.378.9142 - Cell
colin.chapell@memphis.edu

## EDUCATION

Ph.D. Department of History, University of Alabama, 2011

MPhil. Faculty of History, University of Cambridge, 2006

B.A. History Department, Covenant College, Cum Laude, 2004

## PROFESSIONAL EXPERIENCE

2016-Current Graduate Coordinator and Instructor, University College, University of Memphis

2011-2017 Instructor, Department of History, University of Memphis

## PUBLICATIONS

### Peer Reviewed Book

2016 "*Ye That Are Men Now Serve Him:" Radical Holiness Theology and Gender in the South,* University of Alabama Press

### Peer Reviewed Journal Articles

2013 "Sanctified Manhood: Theology and Identity in the Southern Holiness Movement," *Journal of the Historical Society*, vol. XIII: 465-490

2010 "The Third Strand: Race, Gender, and Self-Government in the Mind of Lyman Abbott" in *Fides et Historia* 42: 27-54

### Book Chapter

2009 "'You Might be a Redneck if…:" Advertising Southern Male Deviancy, 1960-1992," in *Black and White Masculinity in the American South, 1800-2000*, edited by Lydia Plath and Sergio Lussana. Newcastle upon Tyne, England: Cambridge Scholars Publishing

### Book Reviews

| | |
|---|---|
| 2017 | *No Depression in Heaven: The Great Depression, the New Deal, and the Transformation of Religion in the Delta*, by Alison Collis Greene in *History: Reviews of New Books* 45:3, 57-58 |
| 2016 | *Born of Conviction: White Methodists and Mississippi's Closed Society*, by Joseph T. Reiff in *Journal of Southern Religion* 18: http://jsreligion.org/vol18/chapell |
| 2014 | *Mississippi Praying: Southern White Evangelicals and the Civil Rights Movement, 1945-1975,* by Carolyn Renée Dupont in *Marginalia: A Los Angeles Review of Books*: http://marginalia.lareviewofbooks.org/theology-jim-crow-colin-chapell |
| 2013 | *The Anointed: Evangelical Truth in a Secular Age*, by Randall J. Stephens and Karl W. Giberson, in *Fides et Historia*, vol. 45: 173-175 |
| 2013 | *American Christianities: A History of Dominance and Diversity*, edited by Catherine A. Brekus and W. Clark Gilpin, in *Fides et Historia* vol. 45:145-146 |
| 2012 | *Press, Platform, Pulpit*, by Teresa Zachodnik in *Journal of Southern Religion* 14: http://jsr.fsu.edu/issues/vol14/chapell.html |
| 2011 | *Southern Masculinity: Perspectives on Manhood in the South since Reconstruction*, edited by Craig Thompson Friend, in *The Southern Historian* XXXII |
| 2009 | *Southern Crossroads: Perspectives on Religion and Culture*, edited by Walter H. Conser, Jr. and Rodger M. Payne, in *The Southern Historian* XXX |
| 2008 | *Sing Them Over Again to Me: Hymns and Hymnbooks in America*, edited by Mark A. Noll and Edith L. Blumhofer, in *The Southern Historian* XXIX |

**SCHOLARSHIPS AND GRANTS**

| | |
|---|---|
| 2016 | History Department Travel Grant, University of Memphis |
| 2015 | History Department Travel Grant, University of Memphis |
| 2013 | History Department Travel Grant, University of Memphis |
| 2012 | History Department Travel Grants, University of Memphis |
| 2009 | Lynn E. May, Jr. Study Grant, Southern Baptist Historical Library and Archives |
| 2010-2011 | Graduate Council Dissertation Fellowship, University of Alabama |
| 2009-2010 | History Department Dissertation Fellowship, University of Alabama |
| 2008, 2009 | Graduate School Research and Travel Grant, University of Alabama |

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|---|---|
| 2007-2009 | Graduate Teaching Assistantships, University of Alabama |
| 2006-2007 | Graduate Council Fellowship, University of Alabama |
| 2006 | Travel Grant from the Sara Norton Fund, University of Cambridge |
| 2005-2006 | Cambridge Overseas Trust Bursary, University of Cambridge |

## CONFERENCE ACTIVITY

### Panel Chair/Commentator

2013 Graduate Association, African American History, University of Memphis, October 24-25
2013 Third Global Conference on Gender and Love, Oxford University, September 13-15
2011 Graduate Association, African American History, University of Memphis, November 9-11

### Presented Work

2016 "The Backwards Survey: How Restructuring a Course Highlights Race and Gender," presented at the biennial meeting of the Conference on Faith and History, October 20-22, Regent University, Virginia Beach, Virginia

2016 "Sanctifying Southern Space: Mapping the Southern Holiness Movement," Strangers and Pilgrims: Displacements and Spatial Transformations of Religion in the English-Speaking World, January 28-29, Paris, France

2015 Panelist on Southern Culture and Popular Religion at the Porter Fortune, Jr. History Symposium on Southern Religion honoring the retirement of Charles Reagan Wilson, February 26-28, University of Mississippi

2013 "Defining Love: Gender and the Sacred in the American South, 1877-1915," Third Global Conference – Gender and Love, September 13-15, Oxford University

2012 "'A Most Effective Breakwater Against Sin:' Marriage in the Southern Holiness Movement," Southern Historical Association Meeting, November 1-4, Mobile, Alabama

2012 "Pure and Manly Love: Gender and Transformational Religion in the American South," First International Krakow Study of Religions Symposium, September 12-14, Jagiellonian University, Krakow, Poland

2010 "Baptist Mastery: Theology and Manhood in the Deep South, 1877-1915," Conference on Faith and History, October 13-15 at George Fox University, Newberg, Oregon

2008 "'You Might be a Redneck if…:' Advertising Southern Deviancy, 1960-1990," Alabama Association of Historians, February 9, University of Montevallo, Birmingham, Alabama

2006 “Lyman Abbott’s Conceptions of Race, 1893-1922,” Sussex University/Cambridge University American History Postgraduate Colloquium, May 16 at Sussex University, Brighton, England

## TEACHING EXPERIENCE

### University of Memphis

Traditional Courses (No Online Component)
- U.S. to 1877 (Fall 2011, Spring/Fall 2012, Spring/Fall 2013)
- U.S. since 1877 (Fall 2011, Fall 2012, Spring 2013)
- The Old South (Fall 2011, Spring/Fall 2012, Fall 2013)
- The New South (Spring 2012, Spring 2014)

Hybrid Courses (Partial Online Component)
- U.S. to 1877 (Spring/Fall 2014, Spring/Fall 2015)
- U.S. since 1877 (Spring 2014/Fall 2014, Fall 2015, Spring 2016)
- Religion in American History (Spring 2013)
- Introduction to Religion (Spring 2015, Spring 2016)
- Modern Social Justice Movements (Fall 2016)

Online Courses
- Civil War and Reconstruction (Fall 2011, Spring/Summer/Fall 2012, Spring/Summer/Fall 2013, Spring/Summer/Fall 2014, Spring/Summer/Fall 2015, Spring/Summer/Fall 2016)
- U.S. since 1877 (Fall 2013, Fall 2014, Spring/Fall2015, Spring/Fall 2016, Spring 2017)
- Emergence of Modern America (Fall 2014, Spring/Fall 2015, Spring/Summer/Fall 2016)
- Religion in American History (Summer 2014)
- Old South (Summer 2016)
- Modern Social Justice Movements (Spring 2017)

### Washington University – Adjunct Instructor

Race and Gender in Modern America (Summer 2011)

### University of Alabama – Adjunct Instructor

U.S. since 1877 (Summer 2010)

### University of Alabama – Graduate Teaching Assistant

- U.S. since 1877 (Spring/Fall 2008)
- U.S. to 1877 (Spring 2009)
- Western Civilization since 1648 (Fall 2007)

## PROFESSIONAL SERVICE

### Peer Reviewer

| | |
|---|---|
| 2016 | *Virginia Magazine of History and Biography* |
| 2015 | *Journal of Southern Religion* |
| 2010 | *Race/Ethnicity* |
| 2009-2011 | *Southern Historian* |
| 2009 | *Christian Scholar's Review* |

### University Service

| | |
|---|---|
| 2016-2017 | Member of the Graduate Awards Committee, University of Memphis |
| 2015-Current | Regents' Online Degree Program, Campus Mentor, University of Memphis |
| 2015-2016 | Graduate Historical Association Faculty Advisor, University of Memphis |
| 2015 | Master of Arts Examination Committee Member, University of Memphis |
| 2013-2015 | Member of the Graduate Awards Committee, University of Memphis |
| 2013 | Ph.D. Committee Member, University of Memphis |
| 2012-2013 | Member of the Endowment Committee, University of Memphis |
| 2012 | Member of the Online Student Orientation Faculty Focus Group, University of Memphis |
| 2012 | Paper Judge for the Graduate Association for African American History Conference, University of Memphis |
| 2011 | Paper Judge for the Graduate Association for African American History Conference, University of Memphis |
| 2010 | Co-Chair, Organizing Committee, Graduate Student Conference on Power and Struggle, University of Alabama |
| 2009 | Member, Organizing Committee, Inaugural Graduate Student Conference on Power and Struggle, University of Alabama |

### Other Professional Service

| | |
|---|---|
| 2016 | Advanced Placement U.S. History Reader |
| 2016 | International Baccalaureate Assessor |
| 2015 | Advanced Placement U.S. History Reader |
| 2013 | Advanced Placement U.S. History Reader |

## REFERENCES

Dr. John Giggie
Associate Professor of History and Director of Graduate Studies
History Department
University of Alabama
Box 870212, Tuscaloosa, AL 35487-0212
jmgiggie@as.ua.edu

205.348.7100

Dr. Randall Stephens
Reader and Programme Leader in American Studies
Humanities Department
Northumbria University
Ellison Place 2, Newcastle-upon-Tyne,
NE1 8ST, United Kingdom
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(UK) 0191 243 7848

Dr. Dan Lattimore
Dean
University College
University of Memphis
201 Brister Hall
Memphis, TN 38152
dlattimr@memphis.edu
901.678.3806

# Ron M. Serino

201 Brister Hall
Memphis, TN 38152
rserino@memphis.edu
901-678-1585 (office)


## EDUCATION

**Doctor of Philosophy** in Biblical Interpretation, December 2016
Brite Divinity School, Texas Christian University, Fort Worth, TX
Dissertation (awarded distinction): "King Solomon's Whiteness: King James and the Scripturalization of Whiteness in Early Modern Britain"
Dissertation Committee: Dr. Timothy Sandoval (advisor), Dr. Claudia Camp, Dr. Vincent Wimbush
Passed Qualifying Exams with Distinction, April 2013
Minor Area: Theological Hermeneutics and Ethics
Certificate in Women and Gender Studies, Fall 2012
Certificate in Pedagogy, Spring 2015
Certificate in Teaching Fully Online, Spring 2015

**Master of Divinity**, May 1996
Union Theological Seminary, New York, NY
Thesis (awarded distinction): "Justice and Righteousness as One in Deuteronomy and the Eighth-Century Prophets: A Message for the Church Today"

**Bachelor of Arts**, May 1993
Emory University, Atlanta, GA
Major: Psychology

## TEACHING EXPERIENCE

**Instructor,** University of Memphis — Spring 2017-present
Liberal Studies

**Adjunct Instructor,** Texas Christian University — Fall 2015
Understanding Religion: Texts & Ideas—The Bible

**Graduate Instructor,** Brite Divinity School — 2013-2014
Introduction to Biblical Hebrew I & II

**Graduate Teaching Assistant,** Brite Divinity School — Spring 2012
Exegesis in the Hebrew Bible: Psalms, Prof. Toni Craven

**Graduate Teaching Assistant,** Brite Divinity School — Fall 2011
Interpreting the Hebrew Bible and Apocryphal/Deuterocanonical Books, Prof. Toni Craven

## ACADEMIC PUBLICATIONS

"A Sign in the Dark: Moses's Cushite Wife and Boundary Setting in the Book of Numbers" *Biblical Interpretation* 24, no. 2 (2016): 153-177.

"Probing the Former Prophets with a New Online Tool for the Study of Biblical Quotations and Allusions in the Dead Sea Scrolls," co-authored with Ariel Feldman, Faina Feldman, and Joseph McDonald, in *On Prophets, Warriors, and Kings*, ed. George J. Brooke and Ariel Feldman, 129-40. BZAW 470. Berlin: de Gruyter, 2016.

## ACADEMIC CONFERENCE PRESENTATIONS

- "King James, the British Solomon: The British Empire and the Scripturalization of Whiteness," Society of Biblical Literature (SBL) National Meeting, Bible and Cultural Studies Section, "Colonialism and the Bible," San Antonio, TX — November 2016

- "Samuel Purchas and the Scripturalization of Whiteness in Colonial Virginia" SBL National Meeting, Bible and Cultural Studies Section, Critical Race Theory, Atlanta, GA — November 2015

- "The Weaponization of Whiteness, Masculinity, and Christianity in Colonial Virginia," TCU Women and Gender Studies Graduate Symposium, "Interdisciplinary Approaches to Gender, Sexuality, and Violence," Fort Worth, TX — November 2015

- "A Sign in the Dark: Moses's Cushite Wife and Boundary Setting in the Book of Numbers," SBL National Meeting, Feminist Hermeneutics Section, San Diego, CA — November 2014 (& SW Regional, March 2014)

- "Biblical Allusions in the Online Dead Sea Scrolls Database" Invited presentation at Brite Divinity School Jewish Studies Program Conference, "On Prophets, Warriors, and Kings: Former and Latter Prophets through Their Interpreters," Fort Worth, TX — May 2014

- "Propaganda of Resistance: An Imperial-Critical Reading of Daniel 10-12" Southwest Commission on Religious Studies, SBL Southwest Regional, Second Temple Judaism Section, Irving, TX — March 2014

- "Can We Reconcile the Irreconcilable? A Deconstructivist Approach to Forgiveness in South Africa and the United States" Southwest Commission on Religious Studies, American Academy of Religion Southwest Regional, Ethics, Society, and Cultural Analysis Section, Irving, TX — March 2013

## ACADEMIC SERVICE

Brite Advanced Program Student Association, Moderator, 2012-2013
Vice Moderator, 2013-2014

Hebrew Bible Faculty Search Committee, Student Representative, 2013-2014

Graduate Research Assistant 2011-2014

## AWARDS

- Triota, National Women's Studies Honor Society, 2016
- "Make-a-Difference Doctoral Studies" Award, National United Church of Christ (UCC), 2011-2015
- Roy Melugin "Love of Neighbor" Award, Brite Divinity School, 2015
- Brite Divinity School Fellowship, 2010-2014
- "Peacemaker Among Us" Award, Pacem In Terris, Wilmington, DE
- Hudnut Award (Union) for the best preparation for the preaching ministry
- Emory Scholar (full-tuition scholarship)

## OTHER PROFESSIONAL EXPERIENCE

**Associate Minister** 2002-2010
First Congregational Church of St. Louis, UCC, St. Louis, MO

**Administrator** 1997-2002
Meeting Ground, Inc., Elkton, MD (non-profit organization for homeless)

## PROFESSIONAL MEMBERSHIPS

Institute for Signifying Scriptures (since 2014)

Society of Biblical Literature (since 2010)

## SERVICE TO WIDER COMMUNITY

- Address, "What to Believe? Life through Doubt,"
  Brite Divinity School Chapel, March 2016
- Guest Lecture, "The Theological Importance of Critiquing Whiteness,"
  Introduction to Christian Ethics, Prof. Keri Day,
  Brite Divinity School, November 2015
- Workshop, "'Dear White Christians': How Can We Address Issues of Race Today?" Three-part series, 2015
- Adult Education, "Introduction to the Dead Sea Scrolls,"
  St. Philip Presbyterian Church (PCUSA), Hurst, TX, October 2012
- Treasurer, Board of Directors, Settlement House, Elkton, MD, 1998-2002

## CONTINUING EDUCATION

- Tantur Ecumenical Institute, Jerusalem, Israel/Palestine, with added individual travel in Egypt and Jordan, Summer 2007
- Healing Racism, Pacem In Terris, Wilmington, DE, 2001
- Delegation to El Salvador, Borderlinks, Tucson, AZ, 1998

**JOY HUNTER AUSTIN**
**39 Willowridge Circle**
**Jackson ,Tennessee 38305**
**731-616-0622 (cell)**
**731-668-1073 (home)**
**731-425-1928 (office)**
**j.austin@memphis.edu**

EDUCATION

D.A., English, 1983
University of Mississippi

Eng. S., English, 1979
University of Mississippi

M.A., English, 1978
University of Mississippi

M.Ed., Guidance and Counseling, 1976
University of Memphis

B.A., English, 1974
Lambuth College

PROFESSIONAL EXPERIENCE

Instructor in University College, University of Memphis, June 2012-present

Visiting Faculty, University of Memphis at Lambuth, August 2011-2012

Head, School of Humanities, Lambuth University, January 2009-2011

Co-Chair, Department of English, Lambuth University, September 2009-2011

Professor of English, Lambuth University, 1985-2011

Adjunct Assistant Professor of English and Director of the Writing Lab, Christian Brothers University, 1984-85

Instructor of English, University of Memphis, 1980-84

Instructor of English, Blue Mountain College, summer 1980

Graduate Teaching Assistant in English, University of Mississippi, 1977-80

Teacher of English, McNairy Central High School, l974-77

PROFESSIONAL DEVELOPMENT AND SCHOLARSHIP

Publication:

“Flannery O’Connor and Mutual Forbearance,” *Integrite: A Faith and Learning Journal*, Fall 2016, Volume 15, Number 2

Papers/Presentations:

“Literary Rule Breakers and Trendsetters,” AGLSP (Association of Graduate Liberal

Studies Programs), University of Oklahoma, October 2016

“Mutual Forbearance in the Stories of Flannery O’Connor,” Mississippi Philological

Association, Mississippi University for Women, February 2016

“Defining the Southern Literary Landscape,” AGLSP, Stanford University, October 2015

Host of Southern Festival of Books Session on “Finding Creativity in the Everyday: The Author/Illustrator Way” (Authors John Rocco and Kristi Valiant), Fall 2014

Host of Southern Festival of Books Session on “Raymond Atkins and *Camp Redemption,”* Fall 2013

“Connie May Fowler and Place in Southern Literature,” Tennessee Philological Association (presented with Susan Hudacek)

“Teaching without Texts,” Tennessee Council of Teachers of English (presented with Susan Hudacek)

“Thematic Links in the Poetry of Robert Penn Warren,” Tennessee Philological Association

“A Defense of Hilda in Nathaniel Hawthorne’s *The Marble Faun*,” Tennessee Philological Association

“A Way to Teach Style in Composition,” Tennessee Council of Teachers of English

“The Eighteenth Century as Represented in *The Female Tatler*,” Tennessee Philological Association

“Transcendentalism in *The Scarlet Letter*,” Mississippi Philological Association

“The Popularity of the Ambivalent *Pamela*,” Mississippi Philological Association

“Using Imitation in Teaching Style to Basic Writers,” South Central Modern Language Association

“Competitive Writing,” Tennessee Council of Teachers of English

Programs:

“Literature and Life,” Keynote Address to University School of Jackson’s National English Honors Society Induction, February 2015

“Everyday and Academic Writing,” University of Memphis Lambuth Campus Carney-Johnston Dormitory, February 2015

“Academic Writing,” University of Memphis Lambuth Campus Criminal Justice

Class, Fall 2014

“F. Scott Fitzgerald’s ‘Babylon Revisited’: The Real Story,” University School of Jackson’s Advanced Placement Class, Fall 2011

“Fantasy and Reality in Nathaniel Hawthorne’s ‘Young Goodman Brown,’” University School of Jackson

“Southern Landscapes: The Power of Place,” *One Community, One Book* series on Connie May Fowler (presented with Susan Hudacek)

“The Meaning of Excellence,” Awards Banquet at McNairy Central High School

“The Importance of Writing,” University School of Jackson

“A ‘Stylistic’ Approach to Teaching Composition,” Madison County Schools’ In-service Training

“How to Prepare for College,” Crockett County High School

TEACHING AREAS

Foundations of Liberal Studies—UNIV 7000

Seminar in Liberal Studies (Studies in Southern Culture)—UNIV 7200

Special Graduate Project—UNIV 7996

Senior Project—UNIV 4995

Literature of the Americas—UNIV 4518

The American Experience—UNIV 3531

Action Research—RODP 5709

English Communication/Writing

Literary Heritage

Elements of Literature

English Literature

English Writers on Location—England (May 2008)

Shakespeare: Histories and Comedies

Shakespeare: Tragedies

The Short Story

Literature of the Southern United States

Modern Poetry

American Literature

American Novel

TEACHING AWARDS/HONORS

Luther L. Gobbel Outstanding Faculty Award, 2001

Billie P. Exum Outstanding Educator Award, 2002

“Most Energetic Teacher”—informal student vote, 2008

UNIVERSITY SERVICE and OUTREACH

Writing Lab volunteer for the University of Memphis Lambuth Campus, 2015-present

Board of Directors of Wesley Foundation for the University of Memphis Lambuth

Campus, January 2012-present

Academic advisor to University of Memphis students, Fall 2011-2016

Chairperson and/or committee member for graduate oral comprehensive exams, 2012-

present

Thesis Committee member for senior advanced placement students at University School

of Jackson, Fall 2011-present

Spirit Award Committee—2016-2017

Committee on Jackson Madison County General Hospital Nursing Scholarship, 2016

Committee on Professional Development Awards, Spring 2015

Committee on University College Student Awards, Spring 2015

Christmas LANA Tour Hostess, December 2014

Ad hoc Committee on Faculty Rank, Promotion, and Contracts, Fall 2014

Mentor with TNAchieves Program, 2014-2015

Interviewer for Department of Education Mock Interviews, Spring 2014

Faculty representative to Lambuth Board of Trustees

Academic Honesty presentation in Freshman Seminar (several years)

Promotion and Tenure Committee (secretary and chair)

Faculty Council

Social Committee

Student Awards Committee

Special Events Committee

Library Committee (secretary)

Student Affairs Committee

Admissions Committee

Search committees

Long Range Planning Committee

Faculty Handbook Revision Committee

Editor of Self-Study (1998)

Faculty Forum Coordinator

Faculty Advisor to The Vision

Faculty workshops for "W" courses

Lambuth Children's Center Board

United Way Committee

President of Phi Mu Parents' Council

Speaker on preview days

Speaker to parents at SOAR (Summer Orientation and Registration) on "In the Classroom" (two summers)

Speaker to new freshmen on "The College Experience"

Interviewer for Hyde Scholar applicants (several years)

Speaker during stewardship campaign at Aldersgate United Methodist Church

Speaker at two "Who's Who" convocations

Speaker on "A Glimpse of Lambuth" to Lambuth Board of Trustees

Member of faculty team to teach "Arts and Letters" of the twentieth century at Faculty Conference

Presenter of Faculty Forum entitled "The Development of Style—A Rescue for Weak Writers"

# Dr. Radie Lynn Krueger
10650 Fairway Drive
Kelseyville, CA 95451
772-233-1127


## Education

**Doctorate of Education**
Child, Youth and Human Services
Specialization: Human Service Administration
Nova Southeastern University
Ft. Lauderdale, Florida
**Masters of Science**
Educational Leadership
Nova Southeastern University
Ft. Lauderdale, Florida
**Bachelors of Arts**
Speech Communications
Wesleyan College
Macon, Georgia
**High School**
College Preparatory Track
Folsom High School
Folsom, California

## Higher Education/Adult Education Work Experience

**Fulltime Non-Tenure Track Instructor (Online)** **01/13-Present**
University of Memphis/University College/TN eCampus
Memphis, TN

Distance Learning Instructor
Online Undergraduate/Graduate Course Work
PRST 5200 Globalization and Professions
PRST 5105 Project Planning and Scheduling
CSED 4300 Family Resource Management
UNIV 3535 Family Communication
PRST 5920 Workplace Diversity
UNIV 4995 Senior Culminating Project
Course Developer
PRST 5920, 6920,7920
PRST 5105, 6105, 7105
PRST 5200

**Organizational Administration/Human Resource Training Consultant** **10/12-Present**
Managed Health Network, Inc.
San Rafael, CA

Training/Consultation Workshop Titles
Creating Work Life Balance/Coping with the Stress of Change
Understanding Your Personal Work Style
Essential Skills for Effective Management
Managing Challenging Behaviors in the Workplace

## K-12 Administration Work Experience

**Kansas City Public School**
**Dean of Academic Affairs/Assistant Principal of 7$^{th}$/8$^{th}$ and 12$^{th}$ Grade** **07/11-06/12**
Southwest Early College Campus, Kansas City, MO
(Nationwide Search via Education Weekly—One Year Position)

Program Development, Implementation
- Early College Program
- After School Tutorial Program
- Saturday School

Teacher/Staff Development
- Staff Supervision and Evaluation
- Professional Coaching and Mentoring
- Teacher Development

Professional Practices and Protocols
- Professional Protocol Development
- Curriculum and Instruction
- Conflict Resolution

Community Outreach/Community Development
- Student Recruitment Coordination
- Parent Involvement Coordination
- Community Partnership Development
- University Partners Team Member

**St. Lucie County School District, Ft. Pierce, FL**
**Assistant Principal/CTE Program Development** **07/08-07/11**
Ft. Pierce Westwood High School, Ft. Pierce, FL

Administration, Supervision and Program Development
- CTE/Core Program Merger and Curriculum Alignment
- Satellite Campus Construction Project
- Community Outreach /Establishing Community Partnerships
- Teacher/Staff Supervision and Professional Development
- English/Reading Department Administration

## Secondary Education Teaching Experience

**Upper Lake Unified School District, Upper Lake, CA** **08/16-Present**
High School English Teacher

Instructional Roles
English Teacher 9,10, and 11
ASB Co-Sponsor

**Santa Rosa City Schools, Santa Rosa, CA** **08/15-07/16**
High School English Teacher
Maria Carrillo High School

<u>Instructional Roles</u>
- English Credit Recovery Program (Spring Semester)
- Summer School (Session 1 and Session 2)
- Bay Area Writing Project
- Restorative Justice Practice
- EL Authorization/Strategy Implementation
- Special Education Training/Implementation

**Novato Unified School District**
San Marin High School English Teacher **08/13-07/15**

<u>Instructional Roles</u>
- Express Yourself Club Sponsor
- Global Academy Planning Committee
- SIOP Training/Implementation
- Restorative Justice

**St. Lucie County School District, Ft. Pierce, FL**
High School English Teacher
Lincoln Park Academy High School English Teacher **08/03-06/08**

<u>Leadership Roles</u>
- Vocabulary Protocol Development
- Aspiring Administrator Cohort (07-08)
- Runner-Up Teacher of the Year (2008)

<u>Instructional Roles</u>
- World/American Literature Instruction
- AP Language Instruction
- FCAT Preparation/Essay Writing and Speech/Debate

**St. Lucie County School District, Ft. Pierce, FL**
Middle School English Language Teacher **08/96-07/03**
Southport Middle School, Pt. St. Lucie, FL (1996-2002)
Lincoln Park Academy, Ft. Pierce, FL (2002-2003)

<u>Leadership Roles:</u>
- Writing Format Development
- $21^{st}$ Century After-School Program FCAT Tutorial Program
- Team Leader
- Student Council Sponsor

<u>Instructional Roles</u>
- $7^{th}$ Grade Language Arts Literature/Writing/Grammar
- $7^{th}$ Grade Gifted Program
- Essay Writing Tutor

## Instructional Positions Prior to 1996

**English/ESOL Interim Teacher** **03/96-06/96**
Martin County High School, Stuart, FL
**Preschool Teacher** **08/95-03/96**
Apple Tree Academy, Stuart, FL
Pk-4 Instruction /Curriculum Development
**Adjunct Professor** **07/90-03/91**
Indian River Community College, Ft. Pierce, FL
College-Prep Writing
**English Teacher 9-12/JV Cheerleading Coach** **09/84-06/86**
Satellite High School, Satellite Beach, FL

## Other Leadership Positions

**Tractor Supply Company-Assistant Manager** **02/13-08/13**
Windsor, CA
**J Vineyards and Winery-Retail Sales** **08/12-02/13**
Windsor, CA
**Manager of Educational Services Department** 0**5/94-01/95**
The Palm Beach Post, West Palm Beach, FL
Curriculum/Workshop Development
**Executive Director** **11/93-05/94**
Martin County Literacy Council, Stuart, FL
Volunteers Coordinator/Community Support
**Project Director** **02/93-08/93**
Community Help Center
Central Nebraska Council on Alcoholism, Grand Island, NE
Pilot Project Development
**Employment Communication Consultant/Trainer** **06/92-10/92**
Curtis and Associates, Inc., Grand Island, NE
Family Intervention for WIC recipients
**Youth and Adult Christian Education Director** **07/90-03/91**
First Presbyterian Church, Stuart, FL
**Training Director** **02/87-04/90**
First National Bank and Trust Company, Stuart, FL

## Professional Memberships

Phi Delta Kappa International Member
Association for Supervision and Curriculum Development (ASCD)
Marquis Who’s Who (1989-Present)

## Certifications

California Clear Single Subject Teaching Credential: First Time #123163579
Authorized Subject: English

R1S: Authorization to teach the subject area in grades twelve and below, including preschool, and in classes organized primarily for adults.

ELA1: Instruction in English language development for English learners in grades twelve and below, including preschool, and in classes organized primarily for adults.

Florida State Professional Certification # 557938

Educational Leadership (K-12)
English (grades 5-9)
English (grades 6-12)
Speech (grades 6-12)
English for Speakers of Other Language (ESOL) Endorsement (K-12)

## Educational Program Development/Implementation K-12

**Non-Fiction Writing Protocol (K-12):** Sequentially progressive writing protocol which begins with the 5 basic components of a sentence, and builds complexity through the basic sentence, paragraph, essay and advanced research writing style appropriate for high school. Developed in 1996 and successfully implemented and utilized by hundreds of students.

**Vocabulary Protocol (K-12):** Based on the 4 steps of effective teaching, the student is introduced to weekly vocabulary terms. By continuously engaging these terms in student-centered and creative ways, vocabulary acquisition was profoundly increased. Researched and developed in 2008, this protocol has been incorporated in the St. Lucie County Literacy Routine implemented in 2008.

## Publications

Krueger, R. (2008). Increasing reading comprehension scores through the use of a teaching protocol. Ed.D. Dissertation. Fischler School of Education and Human Services, Nova Southeastern University, Ft. Lauderdale, FL.

**REV. DR. THOMAS ARTHUR RUSSELL**

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University of Memphis
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**EDUCATION**

PhD Vanderbilt University, Nashville, TN (1999, History of Christianity and World Religions)
Dissertation: "Women Leaders in the Student Christian Movement and the Rise of the New Woman, 1880-1920"

MA Vanderbilt University, Nashville, TN (1992, Religious Studies)

CPE Andover-Newton Theological Seminary, Newton, MA (1980)

M Div Gordon-Conwell Theological Seminary, South Hamilton, MA (1980)

BA Furman University, Greenville, SC (1976, History and Classics)

**PROFESSIONAL CREDENTIALS**

Anglican Church of North America, Anglican Diocese of Pittsburgh
Deacon (12/6/2012)
Priest (3/22/2014)

**SPECIALIZED TRAINING FOR ON-LINE TEACHING**

Regents Online Degree Program Course Developer Training (Fall, 2012)

Preparing to Teach On-Line using the University of Memphis's D2L Learning System (Spring, 2007)

Preparing to Teach On-Line using the University of Maryland's WebTycho Program (September, 2004)

Teaching On-Line and the Use of WebCT, Regent's On-Line Degree Program, Tennessee Board of Regents (August, 2004)

Teaching On-Line and the Use of WebCT, Belmont University (August, 2004)

## CURRENT POSITION

Undergraduate Faculty, Interdisciplinary Studies, University College, The University of Memphis, Memphis, TN (2004-Present)
Graduate Faculty, Interdisciplinary Studies, University College, The University of Memphis, Memphis, TN (2008-Present)
Occasional Adjunct Professor, College of Theology and Christian Ministry, Belmont University, Nashville, TN (2003-Present)

## PROFESSIONAL EXPERIENCE (ACADEMIA)

### Graduate-Level Teaching On-Line

Excelsior College, Albany, NY (2006-2014)
Thesis Work:
MA Thesis Advisor, Topic: Religion and Post-Traumatic Stress Disorder
MA Thesis Committee Member, Topic: John Paul II
MA Thesis Advisor, Topic: Joseph of Nazareth
University College, University of Memphis, Memphis, TN (2008-Present)
Course Taught:
700-level: Professional Studies: Issues and Ethics

### Undergraduate-Level Teaching On-Line

University College, University of Memphis, Memphis, TN (2004—Present)
Courses Developed:
300-level: Faith, Reason and Imagination, Comparative Christianity, Hebrew and Greek Legacy, Senior Project Advisor, using WebCT and D2L
Courses Taught:
300-level: Faith, Reason and Imagination, Comparative Christianity, Hebrew and Greek Legacy, Senior Project, Family Communication, using WebCT and D2L
Department of Theology and Christian Ministry, Belmont University, Nashville, TN (2003-Present).
300-level: Questions that Matter
I have used WebCT and Blackboard for a significant part of all classes (see below)

### Graduate Level Teaching On-Site

Hazelip School of Theology, David Lipscomb University, Nashville, TN (2017)
Guest Professor, Instructed Eucharist
Institute for Conflict Management, Lipscomb University, Nashville, TN (2012)
MA Thesis Committee Member, Topic: The Emerging Movement: A Conflict Management and Leadership Matrix for the Church in Postmodern Culture
Reformed Theological Seminary, Charlotte, NC (2011-2012)
Master of Divinity Theological Mentor

**Undergraduate College Teaching On-Site**
Department of Philosophy and Religion, Western Kentucky University, Bowling Green, KY

Visiting Assistant Professor of Religious Studies (1999-2001, 2003-2004)
University Lecturer (1988-1999, 2001-2003)
Classes Taught:
400-level: Religious Diversity in Tennessee and Kentucky
300-level: Global Christianity, Islamic Religious Traditions, Hindu Religious Traditions, Christian Religious Traditions, Native American Religious Traditions, Religion in Contemporary America, Religions of Asia
100–level: Introduction to Religious Studies, Introduction to Old and New Testaments, Comparative Religions
Independent Study: The Nicene Controversy and Creed

Department of Theology and Christian Ministry, Belmont University, Nashville, TN (2003-Present)

Courses Taught:
100-level: Understanding the Bible, Introduction to the New Testament
300-level: Comparative Spirituality, Jesus in the Gospels and Film: Junior Cornerstone Course

Department of Religious Studies, Vanderbilt University, Nashville, TN (1986-1988)

Teaching Assistant, World Religions and Hebrew Bible

**Graduate-Level Course Development**
Argosy University, USA (2009)

700-level (Ph.D.): Non-Western Helping and Healing

**Undergraduate-Level Course Development**
Hazlip School of Theology, David Lipscomb University, Nashville, TN (2015-Present)

HST Liturgical Worship

University College, The University of Memphis, Memphis, TN (2011-present)

300-level: Comparative Christianity, Faith, Reason and Imagination Competency-Based

Department of Theology and Christian Ministry, Belmont University, Nashville, TN (2003-Present)

100-level: Understanding the Bible, Introduction to the New Testament
300-level: Jesus in the Gospels and Film, Spirituality in World Religions, Questions that Matter (Philosophy of Religion)

Department of Philosophy and Religion, Western Kentucky University, Bowling Green, KY (1989-2003)

400-level: Religious Diversity in Tennessee and Kentucky
300-level: Global Christianity, Islamic Religious Traditions, Hindu Religious Traditions, Christian Religious Traditions, Native American Religious Traditions, Religion in Contemporary America, Religions of Asia

100−level: Introduction to Religious Studies, Introduction to Old and New Testaments

**Administration--Grant Oversight**

Western Kentucky University, Bowling Green, KY (2001-2004)

I have received three research grants since 1999, which have enabled me to document new religious communities of recent immigrants to the Bible Belt. These communities are Christian and non Christian. My research grants have allowed me to write, visit services and interview people. One of my grants came from Harvard University, while the other two came from the Louisville Institute (see below).

**Administration--Organizations, Committee Work**

Western Kentucky University, Bowling Green, KY (1999-2001)

Potter College Asian Studies Minor Committees

Department of Philosophy and Religion Library Representative

Fellowship of Students of Missiology (1989-1991)

Treasurer, Fellowship of Students of Missiology, the graduate student organization officially sponsored by the American Society of Missiology

**Administration—Consulting**

For Excelsior College, Albany, NY (2005)

Participant in Standard Setting for World Religions Exam

For PBS (2001)

Television Program, Religion and Ethics Newsweekly

For Religious News (2001-2003)

The City Paper, Nashville, TN, The Tennessean, Nashville, TN, The Messenger−Inquirer, Owensboro, KY, and The Daily News, Bowling Green, KY

**Administration--Library Work**

Vanderbilt Divinity School Library, Vanderbilt University, Nashville, TN (1986-1996)

Bibliographer for World Religions

**Administration--Special Events/Projects**

Organizer of Special Presentations, Department of Philosophy and Religion, Western Kentucky University, Bowling Green, KY (2001-2004)

Dr. Chinedu Abara, “Nigerian Christianity”

Ahmad Patel, the Imam of the Islamic Center of Elizabethtown, KY

Muaz Redzic, the Imam of the Islamic Center of Bowling Green, KY

Dr. Bruce Costain, a Jain Teacher and Leader

Saman Sthitpragya, a Jain monk from India (Two presentations). The monk's presentation at WKU was the only one given in the region in a university/college setting. I introduced the local Imam who was in the audience and led a dialogue between him, the Jain monk and the class at the first presentation.

Organizer of Student Field Trips (1990-Present)
To observe a variety of religious communities, Christian and otherwise

Organizer of a Monthly Interfaith Group, Nashville, TN (2002-2003)
The Coffee Klatch with Eastern, Roman and Protestant Christians, Muslims and Jains
Furman University, Greenville, SC (1974)
Student Organizer/Director, Asian Emphasis Week

**PROFESSIONAL EXPERIENCE (CHURCH MINISTRY)**
St. Mary's of Bethany, Anglican Church of North America, Nashville, TN (2015-Present)
Preacher, Celebrant and Liturgist
Theological/Personal Mentor/Spiritual Director for Ordinands/Lay People
Prayer Ministry
Pre-Marriage Counseling
Multi-Church Wine Club Small Group: Wine Tasting, Bible Study and Communion, Nashville, TN (2015-Present)
Church of the Redeemer, Anglican Church of North America, Nashville, TN (2009-2015)
Preacher, Celebrant and Liturgist
Special Speaker for Teaching Series on the Gospels
Adult Sunday School Teacher/Bible Teacher
St. John's Anglican Church, Franklin, TN (2014-2015)
Occasional Guest Celebrant and Preacher
Inter-Varsity Graduation and Faculty Fellowship, Vanderbilt University, Nashville, TN (2013-2014)
Summer Bible Study Leader for Inter-Varsity Graduate and Faculty Fellowship, Vanderbilt University
Anglican Diocese of Pittsburgh, Pittsburgh, PA (2013-Present)
Bible Literacy Task Force
Theological/Personal Mentor/Spiritual Director (1972-Present)
For person in ministry, considering ministry or ordination processes for several denominations; recent examples include:
MTS student, Reformed Theological Seminary (2012)
Inter-Varsity Staff Worker, Vanderbilt University (2011-2015)
Two Anglican deacons (Summer, 2016)
Two Deacon Candidates, St. Mary's of Bethany Church (2016-Present)
Just Crumbs Ministry, Nashville, TN (2007-2008)
Chaplain and Pastoral Care Giver
Church of the Resurrection, Franklin, TN (2007)
Guest Bible Study Teacher
Independent Small Group Bible Study and Home Group Leader (2005-2012)
Bible Study Teacher
Home Group Leader

Pastoral Care Giver

Episcopal Diocese of Tennessee, Nashville, TN (2006-2008)

Member of Diocesan Christian Education Committee

Delegate and Alternative Delegate for special convention to elect a new bishop

Church of the Apostles, Franklin, TN (2004-2007)

Delegate and Alternate Delegate for Diocesan convention

Facilitator of all lay readers, chalice bearers and acolytes

Assign, train and evaluate all volunteers

Preacher, Lay Reader, and Chalice Bearer

Adult Sunday School Teacher

Pastoral Care Giver

St. Paul's Episcopal Church, Franklin, TN (1995-2004)

Small Group Leader

Adult Sunday School

Direct and teach an adult Sunday school class, which mixes academic and devotional aspects of Bible books, such as Romans, Acts, Hebrews, 2 Peter and Jude

Guest Youth Group Speaker

St. Bartholomew's Episcopal Church, Nashville, TN (1986-1989)

Occasional speaker

Youth Sunday School Teacher

Church of the Apostles (Episcopal), Fairfax, VA (1981-1985)

Minister of Christian Education

Developed and supervised a successful, multifaceted education program for a 1500+ congregation.

Created programs, recruited, trained and evaluated volunteer and paid staff, selected curriculum, established budgets, directed leadership and teacher training programs

Organized and directed a college internship program for over 30 college students, gave sermons and speeches, provided personal counseling

Episcopal Diocese of VA, Richmond, VA (1982-1984)

Traveling Education Team Member and Leader

Advised parishes on development of Christian Education ministries throughout dioceses

Conference Planner for diocesan-wide Christian education conferences

First United Church (Baptist-Disciples of Christ), Swampscott, MA (1977-1981)

Associate Pastor

Led worship, gave sermons, organized a college and career group and adult Sunday School Program, participated in church board meetings, provided personal counseling

**EARNED HONORS AND AWARDS**

Marquis Who's Who in America (2009)
Marquis Who's Who International (2010)
The Louisville Institute, Louisville, KY (2001-2004)

> Grant Recipient, Southern Migrations: Religious Change along "The Corridor," Part I
> Grant Recipient, Southern Migrations: Religious Change along "The Corridor," Part II
> The Louisville Institute rarely gives out two awards to the same recipient, but I was honored for my extensive research on Eastern Christianity in Middle Tennessee with a second award for research on Hispanic Roman Catholicism in Middle Tennessee

Harvard University, Cambridge, MA (2000-20004)

> Grant Recipient and Project Affiliate, The Pluralism Project, Harvard University for Southern Migrations: Religious Change Along "the Corridor" Research Project Parts I and II

Western Kentucky University, Bowling Green, KY (1999-2000)

> Honoree as one of four research grant recipients, Potter College
> Faculty Development Grant Recipient

The Graduate School, Vanderbilt University, Nashville, TN (1986-1992)

> Dissertation Enhancement Award
> Tuition Scholarships

Furman University, Greenville, SC (1974-1976)

> Phi Gamma Mu Social Sciences Honorary Society
> Sigma Phi Classics Honors Society
> Commendation for saving the life of a fellow student

Boy Scouts of America, USA (1965-1972)

> Eagle Scout
> God and Country Award
> Vigil Honor, Order of the Arrow

**NOMINATIONS FOR HONORS AND AWARDS**

University College, University of Maryland, College Park, MD (2007)

> Nominee for the Stanley J. Drazek Teaching Excellence Award and UMUC Teaching Recognition Award

Belmont University, Nashville, TN (2006)

> Nominee for the Chaney Distinguished Professor Award

Western Kentucky University, Bowling Green, KY (2001)

> Nominee for the President's Award for Diversity by faculty colleagues in the Department of Philosophy and Religion

**INVITED PAPERS, SPEECHES AND CONFERENCE PARTICIPATION**
**Scholarly Meetings**
The American Academy of Religion Annual Meetings (2001-2003)
Session Presentations
"Bible Belt Jainism" for the Asian North American Religions Session. Respondents were Dr. Diana Eck, Director for Harvard University's Pluralism Project and Dr. Vasudha Narayanan, Past Present of the American Academy of Religion (Atlanta, GA 2003)
"Latino Roman Catholicism Music City Style!" for the Latina/o Religion, Culture and Society Session (Atlanta, GA 2003)
"Immigrant Religious Communities in Nashville, TN and Bowling Green, KY" for Harvard University's Pluralism Project Session (Nashville, TN 2000)
Three of my undergraduates and I gave presentations on our field research. Undergraduates rarely make presentations at this large conclave of Religious Studies scholars.
Annual Meeting, American Society of Missiology, Pittsburgh, PA (1989)
"Can the Story Be Told Without Them? The Role of Women in the Student Volunteer Movement"

**Religious Societies**
Inter-Varsity Graduate and Faculty Fellowship, Vanderbilt University, Nashville, TN (2014)
Guest Speaker, "Biblical Authority in Eastern, Roman and Protestant Christianity"
Church of the Apostles Episcopal, Franklin, TN (2006)
Presentation and Discussion Leader, "Issues Raised by the DaVinci Code"
St. Paul's Episcopal Church, Franklin, TN (2001-2004)
Presentation and Discussion Leader
"Understanding Mel Gibson's 'The Passion of the Christ'"
"Understanding Luther the Man and the Movie, 'Luther'"
"Understanding Islam"
"Does the Bible Belt Still Exist? Religious Diversity and Immigrants in Middle Tennessee," Four Presentations
St. Stephen's Roman Catholic Community, Mt. Juliet, TN (2003)
"Understanding Buddhism"
Annual Meeting, Jain Association of North America, Cincinnati, OH (2003)
"Difficulties Faced by Recent Religious Immigrants to North America" and "Living in Harmony with Neighbors, Friends and Co Workers in Contemporary Multi Religious America." Two Presentations
Jain Society of Middle Tennessee, Clarksville, TN (2000-2001)
Two Presentations. These were featured on the Young Jains of America Website under "Regional News, the Southeast" (June, 2001)

**PUBLICATIONS**

**Books**
*Comparative Christianity: A Student's Guide to a Religion and its Diverse Traditions* (Boca Raton: Universal Publishers, 2010)

**Published Course Materials**
*Comparative Christianity* (Memphis: University of Memphis and Thomas Russell, 2014)
*Faith, Reason and Imagination Competency-Based* (Memphis: University of Memphis and Thomas Russell, 2014)

**Books in Progress**
*Women Leaders of the Student Christian Movement, 1880-1920* (under contract with the American Society of Missiology Series, Orbis Books, 2017)
*Anglicanism and Other Christian Faiths in Conversation* (looking for publisher, 2017)
*Anglican Ordination Exams Preparation Book* (looking for publisher, 2017)

**Self-Published Materials**
*Russell/Quigley Genealogy, 1600-Present* (2017)
*Russell/Fowler Genealogy, 1600-Present* (2017)

**Articles (By Me)**
Evangelical Dictionary of Missions
    "Ruth Rouse" (2000)
American National Biography
    "Wilhelm Pauck" (1998)
    "Fennell Turner" (1998)
Missiology: An International Review
    "Can the Story be Told Without Them? The Role of Women in the Student Volunteer Movement" [17 (April, 1989): 159-175]
The Vanderbilt Magazine, Vanderbilt University
    "View from a Distance: International Student Life at Vanderbilt University" (Winter, 1988)
The Spire, Vanderbilt Divinity School
    "The Narrative of a Legacy: Women Graduate Students at Oberlin School of Theology and Vanderbilt Divinity School" (Summer, 1986)
Religious Studies Review
    Miscellaneous book reviews

**Articles (About Me and/or My Research)**
The Green Hills News (Nashville, TN)

Jared Porter, “Immigrant Churches Give New Meaning to Traditional Notion of the Bible Belt” [17:38 (September 23, 2004): 1, 16]

The City Paper (Nashville, TN)

Craig Boerner, “Inside Out: The Episcopal Church Struggles” (October 9, 2003)

Kiplinger’s Personal Finance Magazine (International Coverage)

Jane Bennett Clark, “Making It in America” (October, 2001)

The Daily News (Bowling Green, KY)

“Spotlight on Diversity: Changing Cultural Landscape of Bowling Green is Getting National Attention” (September 26, 2001)

The Western Scholar 2:1 (A Publication of Western Kentucky University)

Luke E. Harlow, “Faith to Faith in the Bible Belt” (Fall, 2001: 19-21)

The Messenger-Inquirer (Owensboro, KY)

Karen Owen, “Students Learn About Non-Violent Jain Religion” (June 20, 2001: B3)

Karen Owen, “Bible Belt More Religiously Diverse than Many Realize” (July 28, 2001: B6)

The Tennessean (Nashville, TN)

Ray Waddle, “Jains Tread Gentle Path to Peace” (April 7 2001: 3B)

Ray Waddle, “Bible Belt Getting Stretched” (April 1, 2001: 1B, 4B)

**PROFESSIONAL ASSOCIATIONS**

The American Academy of Religion (1988−present)

The Tennessee Anglican Council (2003−2005)

The American Society of Missiology (1988-1992)

The National Eagle Scout Association (Lifetime Member)

# CURRICULUM VITAE
**(Chronological)**

**NAME**: Herbert Louis McCree **DEPARTMENT**: University College
**ACADEMIC**: Affiliate Graduate Faculty

## DEGREES

| DEGREE | DISCIPLINE | INSTITUTION | YEAR |
|---|---|---|---|
| Ed.D | Leadership/Policy Studies | The University of Memphis | 1996 |
| M.S. | Instructional Design | Memphis State University | 1992 |
| B.S. | Industrial Technology | Southern Illinois University | 1982 |
| AS | Vocational Technical Education | State Technical Institute Memphis | 1980 |

## EDUCATIONAL EXPERIENCE **(Expanded related and prior non-educational experiences in Appendix C)**

| RANK/POSITION | DEPARTMENT/DIVISION | INSTITUTION/COMPANY/ORGANIZATION | PERIOD |
|---|---|---|---|
| Instructor | University College | The University of Memphis | 2014-present |
| Center Director | Extended Programs | The University of Memphis | 1997-2014 |
| Acting Director Graduate Studies | University College | The University of Memphis | 2008-2010 |
| Interim Associate Dean | University College | The University of Memphis | 2006 Spring Semester |
| Visiting Instructor | Department of Leadership | The University of Memphis | 1995-1997 |
| Research and Teaching Assistant | Center for Research in Educational Policy | The University of Memphis | 1992-1995 |
| Teaching Assistance, Laboratory Instructor | Engineering Technology | The University of Memphis | 1991-1992 |
| Assistance Course Supervisor | Advance First Term Avionics | Naval Air Technical Training Center Millington | 1985-1990 |
| Senior Instructor | Avionics “A” School | Naval Air Technical Training Center Millington | 1978-1981 |

## HONORS/AWARDS

| HONOR/AWARD | INSTITUTION/COMPANY/ORGANIZATION | YEAR |
|---|---|---|
| Outstanding Advisor Award | University College, University of Memphis | 2011 |
| Provost Outstanding Service Award | University of Memphis Academic Affairs | 2007 |
| Master Training Specialist | United States Navy – Chief of Naval Technical Training | 1988 |

## TEACHING EXPERIENCE: *(Expanded Summary in Appendix A.)*

| SUBJECT AREA *(indicate Undergraduate (U), Graduate (G), Other)* | INSTITUTION |
|---|---|
| Research Methods, Liberal Studies (G) | The University of Memphis |
| Action Research and Professional Studies Culminating Projects (G) | Regents On-Line Degree Programs |
| History, Philosophy, Politics, Policy Studies of Education (G) | The University of Memphis |
| The Developing Adult | The University of Memphis |
| Introductory Foundations of Teaching (U) | The University of Memphis |
| Foundations of Education (G) | Christian Brothers University in Memphis |
| Applied Statistics (U) | The University of Memphis |

## STUDENT ADVISING/MENTORING:

**Students involved in scholarly (research, creative) activities (committees chaired).**
**Graduates (number): Undergraduate __________, Masters ___8___, Doctoral __________, Postdoctoral __________**

| Current | Name | Year of graduation (anticipated) |
|---|---|---|
| Masters | Pamela Chamberlain | 2006 |
| Masters | Tim Hardin | 2009 |

| | | |
|---|---|---|
| Masters | Lethelea Jackson | 2009 |
| Masters | Jacquelyn Jones | 2009 |
| Masters | Heather Turner | 2009 |
| Masters | Ebony Briggs | 2009 |
| Masters | Frankie Perry | 2009 |
| Masters | Lisa Coddington | (2010) |

**Number of committee memberships (other than those chaired): Masters ____10_____, Doctoral ____5____.**

## RESEARCH/SCHOLARSHIP/ CREATIVE ACTIVITIES: *(Appendix B provides additional information.)*

## PUBLICATIONS

**Refereed journal publications (include book chapters)**
Bowyer, C. H. & McCree, H. L. (1997). National goals for education and the language of education. In Harvey Siegel (Ed.), Reason and Education (pp. 139-148). Dordrecht, The Netherlands: Kluwer Academic Publishers.

Bowyer, C. H. & McCree, H. L. (1997). National goals for education and the language of education. Studies in Philosophy and Education. 16 (1-2).

**Nonrefereed publications**

McCree, H. L. (1996). A policy analysis: educational administrators, alternative teacher certification, and military veterans. Available through Dissertation Abstracts.

Etheridge, G. W., McGee, W. B., & McCree, H. L. (1994). Making things happen: the story of the Memphis Center for Urban Partnerships. Alliance 2 (1) Summer.

**Technical Reports**

Butler, E. D., Alberg, M. J., & McCree, H. L. (1992). PATS project cycle III sites. Report to Tennessee State Department of Education, Office of Professional Development.

Butler, E. D., Alberg, M. J., & McCree, H. L. (1992). Evaluation of summer 1992 PATS academies for pilot, cycle II, and add-on sites. Report to Tennessee State Department of Education, Office of Professional Development.

Butler, E. D., Kenney, G. E., & McCree, H. L. (1994). Fall 1993 baseline results for School, My Class and Me: Trezevant Vocational Center. Prepared for the Memphis Center for Urban Partnerships and Memphis City Schools.

Butler, E. D., Kenney, G. E., & McCree, H. L. (1994). Fall 1993 baseline results for School, My Class and Me: Frayser High School. Prepared for the Memphis Center for Urban Partnerships and Memphis City Schools.

Butler, E. D., Kenney, G. E., & McCree, H. L. (1994). Fall 1993 baseline results for School, My Class and Me: Frayser Elementary School. Prepared for the Memphis Center for Urban Partnerships and Memphis City Schools.

Butler, E. D., Kenney, G. E., & McCree, H. L. (1994). Fall 1993 baseline results for School, My Class and Me: Westside High School. Prepared for the Memphis Center for Urban Partnerships and Memphis City Schools.

## PRESENTATIONS (refereed marked with an asterisk)

**Conferences**

*Herb McCree; Elizabeth McDowell, Richard Osbourne (2013) Off-Campus Administrator Workshop
Pre-conference workshop at annual conference of Tennessee Association for Continuing Higher Education 38$^{th}$, Memphis Nov. 13-15, 2013

*Herb McCree; Worley, Bethany (2006) Innovative Trends in Curriculum: Accelerated Course Format and Dual Credit. Concurrent session presented at the annual conference of Tennessee Association for Continuing Higher Education 38$^{th}$, Gatlinburg Nov. 8-10, 2006

*McCree, Herb; Pruett, Albert (2005) Understanding and Capturing The Military Education Market. Concurrent session presented at the annual meeting of Association for Continuing and Higher Education Region 7 April 10-12, 2005.

*Herb McCree (2004) Multi-cultural Education. Roundtable conducted at the annual meeting of Association for Continuing and Higher Education Region 7 April 18-20, 2004.

*McCree, Herb (2002) Credit for the Experienced Climber: Applying Military Credit to Degree Programs. Concurrent session presented at the annual conference of Tennessee Association for Continuing Higher Education 34th, Gatlinburg Nov. 14-15, 2002.

*Petry, John R.; McCree, Herbert L. (1998). Evaluation of the Bridge Builders program: students involved in multicultural activities. Paper presented at the annual meeting of the Mid-South Educational Research Association, 27th, New Orleans November 4-6, 1998.

*McCree, H. L. (1993). Post-career military as an alternative pool of teacher candidates. Paper presented at the annual meeting of the Mid-South Educational Research Association, New Orleans Nov. 10-12, 1993.

*McCree, H. L., Scipio, J., McGee, W., & Bogatin, N. (1993). Forming urban partnerships for educational reform: the university leadership role. Paper presented at the annual meeting of the Mid-South Educational Research Association, New Orleans Nov. 10-12, 1993.

**Other, Invited Presentations (universities/industry)**

Herb McCree (2006) Accelerated Semester Formats presented at Tennessee Technological University

# SERVICE:

| UNIVERSITY | COMMITTEE/ACTIVITY | PERIOD |
|---|---|---|
| **Department** | Undergraduate Curriculum Committee (Department of Leadership) | 1995-1997 |
| **College/School** | Undergraduate Curriculum Committee (College of Education) | 1995-1997 |
| **University** | Provost's Veterans Services Committee | 2013 - 2014 |
| | Graduate Council | 2008 - 2010 |
| | Millington Project Planning Team | 2004 - present |
| | Servicemembers Opportunity College Representative | 1998-2004 |
| | Information Technology Academic Advisory Committee | 1998 to 2004 |

| OTHER<br>Society/Organization/Journal | COMMITTEE/EDITORIAL BOARD/OFFICE | PERIOD |
|---|---|---|
| Tennessee Alliance for Continuing Higher Education | Regional Representative and Executive Committee | 2012 -2014 |
| Tennessee Alliance for Continuing Higher Education | Historian | 11/2005 - 2009 |
| Association For Continuing Higher Education Region 7 | | |
| | Annual Conference Planning Committee | 2005 - 2008 |

# Appendix A

## Teaching Activity-Summary post-1997

| Inclusive Years | Course # | Course Name | Credit Hours | Graduate (G)<br>Undergraduate (U) | Independent Study (S) Instructed (I) |
|---|---|---|---|---|---|
| 2015-2016 | PRST 7200 | Globalization and Professions | 3 | G | |
| | UNIV 7100 | Data Based Decision Making | 3 | G | |
| | ASTL7709 | Action Research | 3 | G | |
| | UNIV 4527 | The Developing Adult | 3 | U | |
| 2012-2014 | UNIV 4527 | The Developing Adult | 3 | U | I |
| 2010 | PRST 7310 | Leadership Organization | 3 | G | I |
| 2007-2010 | PRST 7998 | Professional Project | 3 | G | I |
| 2007-2008 | ASTL 7709 | Action Research | 3 | G | I |
| 2009 | UNIV 7796 | Independent Study | 3 | G | S |
| 2003-2011 | UNIV 7996 | Special Project | 3 | G | I |
| 2003-2006 | UNIV 7100 | Research in Interdisciplinary | 3 | G | I |
| 2001-2002 | LEAD 7083 | Readings and Research in Educational Policy | 3 | G | S |
| 2000-2005 | LEAD 4000 | Education/School/American | 3 | U | I |
| 1998-2005 | LEAD 6000 | Education/School/American | 3 | G | I |
| 1998-2003 | EDPR 4541 | Fundamentals of Applied Statistical Methods | 3 | U | I |
| 1999 | LEAD 4400 | Leadership/Reform in American Schools | 3 | U | I |
| 1999 | LEAD 6400 | Leadership/Reform in American Schools | 3 | G | I |
| 1998-2008 | LEAD 2010 | Teaching and Schools in Urban Settings | 3 | U | I |
| 1998 | LDPS 8320 | Urban Education: Historical and Contemporary Perspectives | 3 | G | I |
| 1998 | LDPS 7320 | Urban Education: Historical and Contemporary Perspectives | 3 | G | I |

# Appendix B

## Research/Grants

Authored grant proposal to FISC Philadelphia, United States Navy, Student Support Services for NPRST (June 2006). unfunded

Tri-State Education Initiative (funded by National Aeronautics and Space Administration)
Assistant to Principal Investigator

Synergy Project (funded by Department of Justice)
Memphis Center for Urban Partnerships (funded by the Ford Foundation)
Data collection and analysis of project activities
Preparation of technical reports
Development and authoring of supplementary grant proposals
Assistance in budget reporting of grant activities

Center for Research in Educational Policy (funded by Tennessee Board of Regents)
Data collection and analysis of Positive Attitudes in Tennessee Schools project
Preparation of technical reports
Secondary research on various Center projects

Assisted Dr. J. Petry in preparation of grant proposal presented to U. S. Navy: Task Analysis Source Consolidation (1996) Unfunded

Assisted Dr. B. Townsend in preparation of technology grant proposal to The University of Memphis to upgrade the Department of Leadership Computer Lab (1995). Unfunded

Co-authored with Dr. Julius Scipio a grant proposal to FIPSE: Memphis Academy for Educational Excellence in Higher Education (1994). Accepted by FIPSE for development, not pursued by the authors.

Assisted Dr. G. Etheridge in preparing grant proposal to United States Department of Education: Institute for Community Education (1993). Unfunded

# APPENDIX C

## Other Relevant Post-Secondary Educational Administrative Experience Detailed (1985-1990)

The Naval Technical Training Center at Millington Tennessee was one of the largest vocational technical training facilities in the world. The enrollment would be the envy of any state technical institution or university. Much like any university, it was organized into departments with specific educational responsibilities. The Southern Association of Colleges and Schools (SACS) accredited many of the schools within these departments. All were evaluated by the American Council of Education (ACE) for transferability to college credits.

I was one of the administrators of the Advanced First Term Avionics School (AFTA). AFTA was a 19-week intensive course in electronics. It is equivalent to a technology department at a technical college or a program offered by an area vo-tech center. AFTA was fully accredited by SACS. My position as Assistant Course Supervisor would correspond to that of a department chair or assistant dean.

My administrative assignment covered 74 staff and instructors and an average daily student load of 450. Approximately 28 civilian instructors under contract taught the first half of AFTA from State Technical Institute at Memphis. One of my administrative duties required me to monitor these instructors for contract compliance and to serve as instructional liaison with State Technical Institute. Military instructors taught the bulk of the course. I was responsible for maintaining instructional quality and for primary management of the instructional staffing.

One administrative duty related to the primary management of staff was the scheduling of staff for professional courses in civilian and related military schooling, many of which were transferable for college credit. I also had oversight responsibility for the scheduling and delivery of non-credit weekly professional development seminars for staff. These covered a wide range of subjects and were often presented by local college and university personnel.

I was the administrative contact with the off-campus program personnel from State Technical Institute, Southern Illinois University Carbondale, Shelby State Community College, Embry Riddle Aeronautical University, and University of Arkansas. Staff instructors were encouraged to participate in the undergraduate and graduate programs offered by these institutions and as an educational advisor I had to be familiar with articulation procedures, programs and course offerings. I was the first link in the advising program assisting individuals in AFTA in the enrollment and completion of degree programs.

The strict adherence to required policies and quality standards ensured that AFTA maintained its SACS accreditation. My administrative role was to oversee curriculum and testing development. The school had a comprehensive criterion referenced testing program to evaluate student success. I was also responsible for the interpretation of standardized testing results such as the Armed Services Vocational Assessment Battery (ASVAB) and reading and mathematics diagnostics tests given to students. I advised students on academics and helped develop individual plans to address weaknesses. An average student-advising load would be approximately 50 per month. Often I referred students to Academic Remedial Training, equivalent to developmental studies at colleges and universities. State Technical Institute at Memphis conducted the remedial program under contract. Students were also advised on career options and how off-duty education would assist them in career goals.

By way of example, the transferability of credit specific to AFTA is based on the American Council of Education's evaluation of AFTA's curriculum and instruction program. The resultant recommendation for college credit in general education was for three credit hours in Algebra and Trigonometry I and three credit hours in Physics I. ACE also recommended college credit for a variety of electronics courses such as; AC/DC Theory, Circuits I and II, and other electronic courses. AFTA provided articulation potential for almost half of the degree requirements for an associates in electronics. Through programs like the Servicemembers Opportunity College, a consortium of colleges and universities across the nation, many military personnel receive college credit through articulation based on military training that corresponds directly to civilian education coursework. The American Council of Education and the Southern Association of Colleges and Schools as well as other accrediting bodies have recognized the value and scope of education offered by the military education system.

## Other Relevant Post-Secondary Educational Experience Detailed (1978-1981)

From 1978 to 1981 I served as an instructor of basic electronics theory and circuits including AM/FM radio circuits and theory as well as basic transistor theory. I taught classroom and laboratory five days a week for six and one-half hours. My student load would vary from 20 to 60. In addition to instruction, I was also responsible for advising and helping academically deficient students meet course requirements. I was assigned as a Senior Academic Review Board member. I chaired review boards charged with diagnosing and prescribing academic remediation for students nearing failure and attrition. I was commended for my high success rate in reducing attrition. My review boards were the most successful at the school. A constant student load of approximately 1700 students in six phases of instruction was carried year-round.

A collateral duty I preformed as additional responsibility was as a Remedial Military Instruction Supervisor. In this position I was responsible for counseling and training young adult sailors ages 17 to 25 that were having emotional, behavioral, or disciplinary difficulty. This assignment is only given to top instructors because this is the final intervention for these service members prior to administrative or legal action that results in separation from the Navy. I was commended for my successful results in returning these young people back to the normal training pipeline.

## Employment prior to 1990 summarized

**<u>1970-1990</u> United States Navy**

1985-1990 Instructor, Advanced Electronics

•Assistant Course Supervisor, Advanced First Term Avionics School

Supervised 19-week course, 74 staff and instructors, 450 students

Division Instructor Evaluator, responsible for instructional quality and the evaluation of 46 instructors

•Senior Academic Review Board Chairman, chaired academic counseling and retention committees for remedial students and reduced academic attrition

•Senior Enlisted Counselor, provided career and personal counseling to junior personnel

1981-1985 Weapons Systems Technician, P3-C

•Material Chief, Aircraft Parts Expediter, responsible for all squadron materials and assisted in oversight of operations budget

•Avionics Branch and Division Chief, responsible for supervision, training, and administration of 65 man, 3 shop division

1978-1981 Instructor, Basic Electronics

•Instruction, counseling, and advisement of students

•Remedial Military Instruction Supervisor

Counseling of deficient students

Reduction of academic and disciplinary attrition

1970-1978 Weapons Systems Technician, P3-C

•Technician and Ordnance Load Team, general rating duties

**Proposal for an MS in Biostatistics Program**

RE: New Academic Program

Program Name and Degree Designation: MS in Biostatistics

CIP Code:

Proposed Implementation Date: Fall 2018

Academic Program Liaison name: Division of Epidemiology, Biostatistics, and Environmental Health, School of Public Health, University of Memphis

Contact Information: Hongmei Zhang, email: hzhang6@memphis.edu, Tel: 901-678-4707

**Purpose and Nature of the Program**: The goal of the proposed MS in Biostatistics program is two-fold: 1) train students for positions in government and private health agencies, industry, and research institutes, and 2) prepare students who plan to enter a doctoral program in biostatistics or bioinformatics. The nature of the program includes core courses in theoretical framework of biostatistical methods, core courses in applied biostatistics, core courses in epidemiology and public health, and elective courses aligned with students' interest. Students will have a choice between 1) a Master's research thesis with an oral comprehensive exam and 2) an elective course with a written comprehensive exam. All students are required to take a qualification exam at the end of year one.

Unlike to MPH with a concentration in biostatistics, which is a better fit to students with interest in broader public health related issues, MS in Biostatistics is more focused and provides in depth training on biostatistical analytical tools and their related theoretical background. In particular, graduates of the MS Biostatistics program will be prepared to:

- Gain in depth knowledge in the theoretical background of standard statistical methods
- Pursue PhD studies in biostatistics or related fields
- Collaborate with public health researchers with the ability of doing independent data analyses on projects that require statistical expertise
- Apply up-to-date biostatistical methods to analyze public health data and interpret the findings for individuals, communities, or health care institutions (e.g., Hospitals) using statistical computing packages such as SAS, SPSS, and R

**Alignment with State Master Plan and Institutional Mission**: The Division of Epidemiology, Biostatistics, and Environmental Health has an MPH program with a concentration in biostatistics. In the past several years, we have noticed 1) the students' enrollment in this program is low, 2) students who graduated from the program are less competitive compared to students from an MS biostatistics program at other universities on job markets with focus on data analytics, and 3) students who graduated from this program lacked the competency in entering PhD program in biostatistics or bioinformatics. Our research on the enrollment of biostatistics programs at other universities suggests that the enrollment in MS programs of Biostatistics is much higher than that in MPH programs. For instance, at the University of California Los

Angeles, the number of currently enrolled Master students is 27, of which 22 (81.5%) are enrolled in MS in biostatistics and 5 in MPH (https://www.biostat.ucla.edu/list-current-students). Another example is the Biostatistics program at the University of North Carolina, Chapel Hill. The biostatistics program has 33 (82.5%) students enrolled in the MS in biostatistics program, and only 7 in MPH (http://sph.unc.edu/bios/current-student-list/). All these results support the need for offering an MS in biostatistics program.

This plan serves the institutional mission well. As a School of Public Health, we are fully dedicated to preparing students with solid quantitative skills (competencies) to apply to a wide variety of fields related to human health, and prepare them for future endeavors in their career and subsequent studies. The MS in biostatistics program brings a strong component of statistical theory and in depth innovative practical training opportunities, which will result in competitive graduate students who are more prepared for future career and research opportunities. Furthermore, the MS program (in addition to the existing MPH program with concentration in biostatistics) will have a strong potential to increase enrollment to the biostatistics program overall, based on data from other universities noted above. In addition, we expect the enrollment to courses outside the biostatistics scope will also be increased due to the close connection of biostatistics with public health related areas, including epidemiology, environmental health, social behavior and health policy and management.

**Feasibility Study:** There has been increasing market demand regionally and nationally for trained public health and health care professionals with strong skills in biostatistical methods and in depth understanding of underlying theory in established biostatistical methods. A number of students have indicated that they are longing for such a program to enhance their expertise in this area. However, to our knowledge, there is a lack of such focused programs in the Tennessee area and its surrounding regions to meet these demands. The Middle Tennessee State University has an MS in Professional Science with Biostatistics Concentration. However, its core courses are unrelated to do with public health: BCED 6820 (Managerial Communication), BCED 6910 (Internship Program), ACTG 6100 (Accounting and Legal Issues for Managers), and MGMT 6740 (Leadership and Motivation). In addition, the program is within the College of Basic and Applied Sciences and they do not have a School of Public Health. There is a similar situation at the Vanderbilt University, where the MS biostatistics program is in the School of Medicine. Furthermore, based on their curriculum, http://www.vanderbilt.edu/biostatistics/graduate/current-program/ms-program/degree-requirements/, their MS biostatistics program is more theoretical than applied.

To our knowledge, we will be the only University in Tennessee with an MS in biostatistics rooted in a School of Public Health and has a direct focus on public health theory and application. Our School has strong expertise in the aforementioned areas. In addition, we will work with statisticians in the Department of Mathematical Sciences, which has a Statistics Program. All statisticians and biostatisticians have a long track record in collaborating with health professionals. This provides our school and the University of Memphis with a unique opportunity to offer formalized training in order to meet the needs of health care analysts with strong analytical skills, establish a solid foundation for new career options in these areas, and prepare graduate students to pursue subsequent PhD studies in biostatistics.

The courses are carefully selected to cover statistical theory, classical statistical analytical methods, and advanced and established methods in conjunction with statistical programing, aiming to provide a thorough training in biostatistics methods and their applications. Students completing this MS program will be competitive for a wide number of positions in public health and corporate fields, and be well prepared for subsequent PhD studies in biostatistics.

As noted earlier, in many universities, MS in biostatistics has greater demand compared to an MPH with a biostatistics concentration. In addition, we have not identified any universities in Tennessee offering a MS in Biostatistics nested within a School of Public Health. Based on this evidence, we expect this MS program will be attractive and have sustainable needs and demands.

**Program Costs/Revenues:** No new courses or additional faculty are required. We do not expect any costs, but potential revenues are clear.

**Existing Programs Offered at Public and Private Tennessee Institutions:** Middle Tennessee State University has an MS in Professional Science with Biostatistics Concentration. However, its core courses are related to public health: BCED 6820 (Managerial Communication), BCED 6910 (Internship Program), ACTG 6100 (Accounting and Legal Issues for Managers), and MGMT 6740 (Leadership and Motivation). In addition, the program is within College of Basic and Applied Sciences and they do not have a School of Public Health. A similar situation exists at the Vanderbilt University, where the MS biostatistics program is in the School of Medicine. Furthermore, based on their curriculum, http://www.vanderbilt.edu/biostatistics/graduate/current-program/ms-program/degree-requirements/, their MS biostatistics program is more theoretical than applied.

**Tennessee Higher Education Commission**
**Attachment A: THEC Financial Projections**
**Division of Epidemiology, Biostatistics, and Environmetnal Health, School of Public Health, University of Memphis**
**MS in Biostatistics**

Seven-year projections are required for doctoral programs.
Five-year projections are required for baccalaureate and Master's degree programs
Three-year projections are required for associate degrees and undergraduate certificates.
Projections should include cost of living increases per year.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 |
|---|---|---|---|---|---|---|---|
| **I. Expenditures** | | | | | | | |
| | | | | | | | |
| **A. One-time Expenditures** | | | | | | | |
| New/Renovated Space | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Equipment | | - | - | - | - | - | - |
| Library | - | | - | - | - | - | - |
| Consultants | | - | - | - | - | - | - |
| Travel | - | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| **Sub-Total One-time** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **B. Recurring Expenditures** | | | | | | | |
| **Personnel** | | | | | | | |
| **Administration** | | | | | | | |
| Salary | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Benefits | - | - | - | - | - | - | - |
| **Sub-Total Administration** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **Faculty (See #2. below)** | | | | | | | |
| Salary | $ 925,729 | $ - | $ - | $ - | $ - | $ - | $ - |
| Benefits | 336,965 | - | - | - | - | - | - |
| **Sub-Total Faculty** | $ 1,262,694 | $ 1,287,948.00 | $ 1,313,707 | $ 1,339,981 | $ 1,366,781 | $ - | $ - |
| | | | | | | | |
| **Support Staff (See #2 below)** | | | | | | | |
| Salary | $ 126,377 | $ - | $ - | $ - | $ - | $ - | $ - |
| Benefits | 46,001 | - | - | - | - | - | - |
| **Sub-Total Support Staff** | $ 172,378 | $ 175,826 | $ 179,343 | $ 182,930 | $ 186,589 | $ - | $ - |
| | | | | | | | |
| **Graduate Assistants** | | | | | | | |
| Salary | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Benefits | - | - | - | - | - | - | - |
| Tuition and Fees* (See Below) | - | - | - | - | - | - | - |
| **Sub-Total Graduate Assistants** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **Operating** | | | | | | | |
| Travel | | $ - | $ - | $ - | $ - | $ - | $ - |
| Printing | - | - | - | - | - | - | - |
| Equipment | | - | - | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| **Sub-Total Operating** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **Total Recurring** | **$ 1,435,073** | **$ 1,463,774** | **$ 1,493,049** | **$ 1,522,911** | **$ 1,553,369** | **$ -** | **$ -** |
| | | | | | | | |
| **TOTAL EXPENDITURES (A + B)** | **$ 1,435,073** | **$ 1,463,774** | **$ 1,493,049** | **$ 1,522,911** | **$ 1,553,369** | **$ -** | **$ -** |

***If tuition and fees for Graduate Assistants are included, please provide the following information.**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Base Tuition and Fees Rate | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Number of Graduate Assistants | - | - | - | - | - | - | - |

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 |
|---|---|---|---|---|---|---|---|
| **II. Revenue** | | | | | | | |
| Tuition and Fees[1] | 30,706 | 36,847 | 44,217 | 53,060 | 63,672 | - | - |
| Institutional Reallocations[2] | 1,404,367 | 1,426,926 | 1,448,833 | 1,469,851 | 1,489,697 | - | - |
| Federal Grants[3] | - | - | - | - | - | - | - |
| Private Grants or Gifts[4] | - | - | - | - | - | - | - |
| Other[5] | - | - | - | - | - | - | - |
| **BALANCED BUDGET LINE** | **$ 1,435,073** | **$ 1,463,774** | **$ 1,493,049** | **$ 1,522,911** | **$ 1,553,369** | **$ -** | **$ -** |

**Notes:**

**(1) In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.**

*It is expected that tuition and fee revenue will be generated in the first year of operation. The following tuition rates were used in the computation of tuition revenues:*

| Tuition | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|---|---|---|---|---|---|
| In-state | $9,497 | $11,396 | $13,676 | $16,411 | $19,693 |
| Out-of-state | $21,209 | $25,451 | $30,541 | $36,649 | $43,979 |

**(2) Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.**

**No new state funds are required for the start-up of the program. No new faculty members nor staff will be hired (the dollar amount included in the table above are for existing faculty and staff members). The program is built upon existing sources.**

**(3) Please provide the source(s) of the Federal Grant including the granting department and CFDA(Catalog of Federal Domestic Assistance) number.**

*Following is a listing of currently funded grants focusing on public health issues. These grants are used to support faculty salaries and graduate assistantships.*

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Bartelli | Not awarded Hungry Seniors Year 3 | MIFA | 20-Dec-16 | $49,919 | 1 | Yes 1/26/2017 | $ 49,919 |
| Bartelli | No hungry seniors year 2 | Plough Foundation/MIFA | 21-Jan-16 | $58,431 | 1 | Yes 1/21/2016 | $ 58,431 |
| Gurney | BERD- Year 2 | UTHSC | 01-Jun-16 | $71,500 | 1 | Yes 8/5/2016 | $ 71,500 |
| Jia | Indoor VOC Exposure and Home Energy Insecurity (year 2 | Harvard University | 01-Nov-16 | $91,000 | 1 | Yes 11/1/2016 | $ 91,000 |
| Jia | Smoke-free living: evaluating compliance and refining enforcement of smoke-free | HUD/Columbia | 05-Aug-16 | $30,000 | 3 | Yes 2/1/2017 | $ 30,000 |
| Jiang | Bayesian integrated analysis of multidimensional | UM Faculty Research Grant | 15-Mar-16 | $6,000 | 1 | Yes 4/1/2016 | $ 6,000 |
| Karmaus | Effect of Prenatal Compounds on Adult Lung Function via | NIH/NHLBI | 05-Jun-15 | $3,282,776 | 5 | Yes 9/1/2016 | $3,282,776 |
| Yang | Healthy ageing in European cities: understanding environmental, behavioral, psychosocial and | Eurpoean Commission Horizon 20/20 Programme/Drexel University | 17-Mar-16 | $20,000 | 1 | Yes 4/19/2016 | $ 20,000 |
| Zhang | Does epigenetic methylation explain the gender-switch in adolescent | NIH/NIAID | 06-Jun-15 | $3,036,427 | 5 | Yes 01/01/2016 | $3,036,427 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Zhang | Epigenome-wide association study of childhood asthma | NIH/La Jolla | 25-Feb-16 | $51,572 | 3 | Yes 12/28/2016 | $ 51,572 |
| | | | | | | | $ 6,697,625 |

**(4) Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).**

None.

**(5) Please provide information regarding other sources of the funding.**

**Other**

a. Travel: These expenses are anticipated to be used for travel-related expenses to professional conferences to meet with accreditation representatives to support the development of the School of Public Health and to meet with grant agencies to support obtaining external funding for the school.

b. Equipment: Equipment purchases will be needed to support presentations of student and faculty research.

**Proposal for an MS in Biostatistics Program**

**New Academic Program Proposal**

**Curriculum:** The total number of credit hours is 36, including two (2) core courses (6 credit hours), seven (7) biostatistics/statistics core courses (21 credit hours), two (2) elective courses (6 credit hours), and a thesis (3 credit hours). Instead of doing a thesis and thesis defense (oral comprehensive exam), students have the option to take a written comprehensive exam plus one elective course (3 credit hours). Students are required to take a qualification exam at the end of year one. Details of the courses are listed below.

General core courses (6)

1) Epidemiology in Public Health I (PUBH 7170) (3)
2) Foundations of Public Health (PUBH 7180) (3)

Biostatistics/Statistics core courses (21)

3) Biostatistics Methods I (PUBH 7150) (3)
4) Biostatistics Methods II (PUBH 7152) (3)
5) Applied Categorical Data Analysis (PUBH 7311) (3)
6) Applied Survival Analysis in Public Health (PUBH 7309) (3)
7) Mixed Model Regression Analysis (PUBH 7310) (3)
8) *Introduction to Statistical Theory (MATH 6636) (3)
9) Inference Theory (MATH 7654) (3)

Elective courses (6)

1) Advanced SAS/R Programming – PUBH 7190 (3)
2) Bayesian Inference – MATH 7680 (3)
3) Applied Multivariate Statistics – PUBH 7308 (3)
4) Large Data Sets – PUBH 7104 (3)
5) Biostatistics in Bioinformatics – PUBH 7153 (3)
6) Epidemiology in Public Health II (PUBH 7172) (3)
7) Epidemiologic Survey Methods (PUBH 7141) (3)
8) Spatial Analysis and Simulation for Urban Health (PUBH 7300) (3)
9) Randomized Clinical Trials (PUBH 7450) (3)
10) Managerial Epidemiology (HADM 7206) (3)
11) Health Administration Information Systems (HADM 7109) (3)

*Students to take MATH 6636 are required to meet its pre-requisite, Introduction to Probability Theory (MATH 6635). Given the importance of this pre-requisite course, each student's academic advisor will ensure that his/her advisees meet the requirement before taking MATH 6636.

All the above courses are existing courses and no new courses are needed. Some of the courses are available online, including PUBH 7150, PUBH 7170, and PUBH 7180. Syllabus of each course is attached with the packet.

The structured curriculum meets the competencies defined by CEPH for Academic Public Health Master's Degrees. In the following, the CEPH competencies are listed and the corresponding courses are included in parentheses:

1. Explain public health history, philosophy and values (PUBH 7180)
2. Identify the core functions of public health and the 10 Essential Services (PUBH 7180)
3. Explain the role of quantitative and qualitative methods and sciences in describing and assessing a population's health (PUBH 7152)
4. Introduce established biostatistical methods used to analyze public health data using (PUBH 7150, PUBH 7152, PUBH 7311)
5. Biostatsitical methods to analyze clinical data (PUBH 7309, PUBH 7311)
6. Introduce advanced methods to analyze public health and clinical data (PUBH 7309, PUBH 7310)
7. Introduce statistical and inference theory to establish a strong background for understanding the rationale behind each biostatistical method (MATH 6636, MATH 7654)
8. List major causes and trends of morbidity and mortality in the US or other community relevant to the school or program (PUBH 7170)
9. Discuss the science of primary, secondary and tertiary prevention in population health, including health promotion, screening, etc. (PUBH 7180)
10. Explain the critical importance of evidence in advancing public health knowledge (PUBH 7170, PUBH 7180)
11. Explain effects of environmental factors on a population's health (PUBH 7170, PUBH 7152)
12. Explain biological and genetic factors that affect a population's health (PUBH 7170, PUBH 7153)
13. Explain behavioral and psychological factors that affect a population's health (PUBH 7180, PUBH 7310)
14. Explain the social, political and economic determinants of health and how they contribute to population health and health inequities (PUBH 7180)
15. Explain how globalization affects global burdens of disease (PUBH 7180)
16. Explain an ecological perspective on the connections among human health, animal health and ecosystem health (e.g., One Health) (PUBH 7180)

**Academic Standards:** *The admission, retention and graduation standards should be clearly stated, be compatible with institutional or governing board policy, and encourage high quality.*

<u>School Admission Requirements:</u> A bachelor degree is required for admission. It is required that an applicant have a necessary mathematical and probability background (e.g., calculus and linear algebra, and basic probability theory). Applicants for this MS program must show a potential for further study by having maintained a GPA of at least a 3.0 average in their bachelor's-level coursework. An acceptable score on the Graduate Record Examination (GRE) general test (verbal and quantitative) is required from within the past five years. Verbal and quantitative GRE scores at 50% or above are preferred in each area. Applicants already holding a master degree or

its professional equivalent may be exempted from the GRE requirement. Other professional school standardized test scores (MCAT, DAT, GMAT, or LSAT) may be substituted for the GRE by applicants who are working toward or who have already earned post-baccalaureate degrees for example, in medicine, dentistry, management, or law. Test scores must be sent directly to Graduate Admissions by the testing agency. The University of Memphis institution code number for reporting ETS scores is R-1459.

All applicants who will be attending the University on a visa and who are not native speakers of English and are not graduates of the University of Memphis must supply a minimum score of 79 on the internet-based Test of English as a Foreign Language (TOEFL/iBT), 220 on the computer-based test, and 550 on the paper-based test (TOEFL/PBT). International English Language Testing System (IELTS) will also be acceptable in lieu of the TOEFL with a minimum acceptable score of 6.0.

Letters of recommendation from three individuals (at least one letter from a former professor or instructor) familiar with the applicant’s academic background or experience in public health related issues, specifying in detail the applicant’s capabilities for graduate study and for future performance as a public health professional, are required. Applicants must also submit a personal statement of approximately 750 to 1000 words indicating his/her present interests and career goals, including how the MS in biostatistics will prepare the candidate to achieve these goals.

Materials submitted will be reviewed by the faculty admissions committee. Admissions decisions are made on the overall quality of the applicant’s scholarship and academic ability (based on GPAs, GRE scores, undergraduate coursework completed, and recommendations) as well as the applicant’s “fit” for the program in terms of research interests and career goals.

Retention Requirements: Students must earn a grade of B (3. 0) or higher in all required courses. The MS program will adhere to Graduate School policy regarding course grades and repetition of courses. All courses applied toward MS degree program requirements must have the advisor’s written approval.

Graduation Requirements: To qualify for graduation, students need to meet the following requirements: Complete a minimum of 36 semester hours of graduate course work beyond the bachelor’s degree including a 3 hour thesis credits (students have an option to replace these 3 credits by an elective course and written comprehensive exam).

**Diversity:** *Provide information regarding how the proposed program will serve a diverse population of students (e.g., adult learners, students working and unable to relocate, students with preference for various delivery modes) or an underserved, historically underrepresented population of students or international students.*

Based on the composition of student body in the past years at the University of Memphis, School of Public Health (SPH), we are confident that the MS biostatistics program will serve a diverse population of students, as well as underserved, and historically underrepresented population of students or international students. The SPH has a large body of adult learners and part-time students, minority students, and international students. One of the strengths of the SPH is the diversity of its student body, with 46% of the student population representing U.S. minority communities and international students. Among all the students, about 15-20% students are adult part-time students.

**Program Enrollment and Graduates:** Please see the table below for projected enrollment and graduations. We expect relatively low enrollment in the first two years. The numbers of enrollment will gradually grow with an average enrollment of five from years 3 to 5 since the first launch of the program. Based on our existing programs (MPH and MHA), we anticipate approximately 20% will be part-time students, and majority of the students (about 80%) will be in-state students.

| Year | 2018/19 | 2019/20 | 2020/21 | 2021/22 | 2022/23 |
|---|---|---|---|---|---|
| Projected Number of Declared New Majors | 2 | 3 | 4 | 4 | 4 |
| Projected Accumulated Number of Declared Majors | 2 | 5 | 9 | 13 | 17 |
| Projected Number of Graduates Expected* | -- | 2 | 2 | 3 | 3 |

*The number of graduates is projected based on the consideration of part time students, who may take longer to graduate. We are estimating a bolus of applicants in the first year from among those who have expressed interest in the program. By year 3, we anticipate having a steady stream of enrollment of three full-time and one part-time admittances.

**Administrative Structure:** *Provide the administrative unit and program director that will be responsible to ensure success of the proposed program.*

Dr. James Gurney, the Interim Dean of the School of Public Health will supervise this MS program. The primary role of Dr. Gurney is to support the administrative, research, and training programs in the SPH.

Director of the Division of Epidemiology, Biostatistics, and Environmental Health and Coordinator of the Biostatics Program: The Division Director and Biostatistics Program Coordinator, Dr. Hongmei Zhang, works collaboratively with the Interim Dean (Gurney), other academic units, and community partners to launch and administer the master program in biostatistics and ensure its conformity with the accreditation guidelines of the Council on Education for Public Health (CEPH). The Program Coordinator also is responsible for master student recruitment, matriculation, and degree completion. It is anticipated that Dr. Zhang will teach two courses per year.

**Faculty Resources:** *Current and/or anticipated faculty resources should ensure a program of high quality. The number and qualification of faculty should meet existing institutional standards and should be consistent with external standards, where appropriate. The adequacy of the number of faculty should be paramount in the planning process as institutions build increasing numbers of interdisciplinary and cross-disciplinary academic programs. The student/faculty ratio for the proposed program should be included in the documentation.*

- *Current Faculty – List the name, rank, highest degree, primary department and estimate of the level of involvement of all current faculty members who will* *participate in the program. If the proposed program is at the graduate level, designate current graduate faculty status in relation to eligibility to chair thesis and/or dissertation. Attach a three page vita for each faculty member listed including relevant related activities for the past five years.*

- *Anticipated Faculty - Describe the additional faculty needed during the next five years for the initiation of the program and list the anticipated schedule for addition of these faculty members.*

The MS in biostatistics program is a multidisciplinary program involving faculty and faculty affiliates holding academic degrees in several disciplines including biostatistics, statistics, epidemiology, and environmental health. SPH along with the Statistics Program at the Department of Mathematical Sciences have all the needed faculty resources. We do not plan to recruit new faculty members. Information about core and affiliate faculty members is provided below.

<u>Core Biostatistics (tenured or tenure-tracked) Faculty Members:</u> All the biostatistics core faculty members are in the Division of Epidemiology, Biostatistics, and Environmental Health at the School of Public Health.

**Hongmei Zhang, PhD.:** Dr. Zhang is an Associate Professor in Biostatistics and is the Division Director. She is also the Program Coordinator of Biostatistics. Dr. Zhang is a full graduate faculty member and is qualified to advise graduate students. She is the recipient of several NIH research grants for her collaborative work in cancer and allergic disease studies, and for her statistical methodology development in variable selection, joint clustering, and Bayesian network.

**Yu Jiang, PhD.:** Dr. Jiang is an Assistant Professor in Biostatistics and joined SPH in the year of August 2015. She will be teaching the core biostatistics courses. Dr. Jiang is a graduate faculty at the Associate level and is qualified to advise graduate students. Her general research interests include Bayesian data analysis, clinical trial studies, cancer epidemiology and cancer genomics. As a biostatistician, she has broad interests in collaborating with researchers in biological science, medicine, public health

**Meredith Ray, PhD.:** Dr. Ray is an Assistant Professor in Biostatistics and joined SPH in the year of January 2015. She will be teaching the core biostatistics courses. Dr. Ray is a full graduate faculty member and is qualified to advise graduate students. Her general research interests are in Bayesian methods, fMRI brain imaging analysis, bioinformatics (epigenetics) and semi-parametric modeling. Her primary research focuses on methods for identifying significant regions of brain activation using fMRI meta-data and methods for identifying associations of DNA methylation with outcomes of interest.

**George Relyea, MS:** Professor Relyea is an Associate Research Professor. He has taught statistics/biostatistics courses at the University for more than 20 years and has rich experience in teaching. Professor Relyea will be teaching biostatistics core courses. He is a full graduate faculty and is qualified to advise MS biostatistics students. Professor Relyea collaborates extensively with faculty and students across the university on diverse research projects. He has developed many applied statistics courses and teaches advanced statistical modeling.

**Matthew Smeltzer, Ph.D.:** Dr. Smeltzer is an Assistant Professor in Biostatistics and joined SPH in the year of January 2015. He will be teaching the core biostatistics courses. Dr. Smeltzer spent 11 years in the Department of Biostatistics at St. Jude Children's Research Hospital, and thus is with strong expertise in teaching the core courses. Dr. Smeltzer's research focus is in epidemiology and will not be required to advise MS biostatistics students. Dr. Smeltzer has research experience in childhood cancer, breast cancer, immunology, anesthesiology, and biomedical engineering. He is active in the American College of Epidemiology and is an Accredited Professional Statistician by the American Statistical Association.

Statistics (tenured or tenure-tracked) Faculty Members: All the statistics core faculty members are in the Department of Mathematical Sciences in the College of Arts and Sciences. This Department has offered statistical inferences for a number of years, which will benefit substantially the MS biostatistics program.

**E. Olusegun George, Ph.D.:** Dr. George is a Professor in statistics and Graduate Coordinator of Statistics and has been teaching statistics at the University for more than 30 years. He will be teaching core and elective statistics courses.

**Dale Bowman, Ph.D.:** Dr. Bowman is an Assistant Professor in statistics. She will be teaching the core and elective statistics courses.

**Su Chen, Ph.D.:** Dr. Chen is an Assistant Professor in statistics. She will be teaching the core statistics courses.

**Lih-Yuan Deng, Ph.D.:** Dr. Deng is a Professor in statistics. He will be teaching the core statistics courses.

Core Epidemiology (tenured or tenure-tracked) Faculty Members: All the epidemiology core faculty members are in the Division of Epidemiology, Biostatistics, and Environmental Health at the School of Public Health.

**Xinhua Yu, M.D.,Ph.D.:** Dr. Yu is an Associate Professor in Epidemiology and the Program Coordinator of Epidemiology. He will teach core and elective epidemiology courses. Dr. Yu's research focus is in epidemiology and will not advise MS biostatistics students. However, he is a full graduate faculty and is qualified to be on a thesis committee.

**James Gurney, Ph.D.:** Dr. Gurney is a Professor in Epidemiology. He is the interim Dean of the School of Public Health. Dr. Gurney will teach elective epidemiology courses. Dr. Gurney's research focus is in epidemiology and will not advise MS biostatistics students. However, he is a full graduate faculty and is qualified to be on a thesis committee.

**Wilfried Karmaus, M.D., MPH:** Dr. Karmaus is a Professor in Epidemiology. He will be teaching elective epidemiology courses. Dr. Karmaus' research focus is in epidemiology and will not advise MS biostatistics students. However, he is a full graduate faculty and is qualified to be on a thesis committee.

**Fawaz Mzayek, M.D., Ph.D.:** Dr. Mzayek is an Associate Professor in Epidemiology. He will be teaching elective epidemiology courses. Dr. Mzayek' research focus is in epidemiology and will not advise MS biostatistics students. However, he is a full graduate faculty and is qualified to be on a thesis committee.

**Vikki Nolan, Ph.D.:** Dr. Nolan is an Associate Professor in Epidemiology. She will be teaching core and elective epidemiology courses. Dr. Nolan' research focus is in epidemiology and will not advise MS biostatistics students. However, she is an associate graduate faculty and is qualified to be on a thesis committee.

<u>Environmental Health (tenured or tenure-tracked) Faculty Members:</u> All the environmental health faculty members are in the Division of Epidemiology, Biostatistics, and Environmental Health at the School of Public Health.

**Chunrong Jia, Ph.D:** Dr. Jia is an Associate Professor and Program Coordinator in Environmental Health. He will be teaching elective environmental health courses. Dr. Jia's research focus is in environmental health and will not advise MS biostatistics students. However, he is a full graduate faculty and is qualified to be on a thesis committee.

**Pratik Banerjee, Ph.D.:** Dr. Banerjee is an Assistant Professor in Environmental Health. He will be teaching elective environmental health courses. Dr. Banerjee's research interest is in environmental health and will not advise MS biostatistics students. However, he is an associate graduate faculty and is qualified to be on a thesis committee.

**Yong Yang, Ph.D.:** Dr. Yang is an Assistant Professor in Environmental Health. He will be teaching elective environmental health courses. Dr. Yang's research interest is in environmental health and will not advise MS biostatistics students. However, he is an associate graduate faculty and is qualified to be on a thesis committee.

<u>Social and Behavioral Sciences (SBS) (tenured or tenure-tracked) Faculty Members:</u> All the social and behavioral sciences faculty members are in the Division of Social and Behavioral Sciences at the School of Public Health

**Kenneth Ward, Ph.D.:** Dr. Ward is a Professor and Division Director. He will be teaching elective SBS courses. Dr. Ward's research interest is in social and behavioral sciences and will not advise MS biostatistics students. However, he is a full graduate faculty and is qualified to be on a thesis committee.

**Marian Levy, Dr.P.H.:** Dr. Levy is a Professor. She will be teaching the core course Foundations in Public Health. Dr. Levy's research interest is in social and behavioral sciences and will not advise MS biostatistics students. However, she is a full graduate faculty and is qualified to be on a thesis committee.

**Library and Information Technology Resources:** *Provide documentation to demonstrate adequate current and/or anticipated library and information technology resources to support a high quality program which meets recognized standards for study at a particular level or in a particular field.*

The University libraries are significant resources for both The University of Memphis and the Mid-South region. While the primary mission of the University libraries is to serve the University community, library services are extended to students and faculty in other colleges and universities in the Memphis area, local and regional corporations, governmental agencies, and adult citizens of the community. The Ned R. McWherter Library was designed to provide state-of-the-art access to information technology and to be fully accessible to the disabled. It has 725 network connections throughout the building, including those in study carrels, group study rooms, and the 24-hour TigerLan Lab. The University of Memphis library system partners with other libraries across the state, affording researchers the opportunity to access electronic journals. The library has added $15,000 from their budget to support national and international journals, books, and databases focusing on public health.

For the commonly used statistical computing software such as SAS and SPSS, the University offered students for free online access. These software can be used at any time and on any computer. This is a tremendous help to students financially, in addition to easy access.

**Support Resources:** *Provide documentation to demonstrate adequate other existing and/or anticipated support resources including clear statements of support staff, student advising resources, arrangement for clinical or other affiliations, and professional development for faculty necessary for a successful program.*

The School of Public Health currently has four full-time support staff members that include a Business Officer III (Lisa Krull), Academic Services Coordinator (Shirl Sharpe), and two Administrative Associates (level II) (Kena Johnson-Beamon and Erica Boyce). They service all divisions and programs of the School of Public Health, including the Division of Epidemiology, Biostatistics, and Environmental Health. The Academic Services Coordinator services master and PhD programs in the SPH. Both Administrative Associates are dedicated to the administrative functions of the SPH, serve all the faculty at the SPH, and the training programs, including the MS in biostatistics.

**Facilities and equipment:** *Provide documentation to demonstrate adequate existing and/or anticipated facilities and equipment. New/or renovated facilities required to implement the program should be clearly outlined by amount and type of space, costs identified and source of funds to cover costs.*

The MS program will utilize the existing facilities currently applied to the existing MPH programs, including classrooms and graduate assistants' offices. We do not anticipate any additional facilities and equipment are needed.

**Marketing and recruitment plan:** *A plan, including marketing and recruitment, to ensure all prospective students will have equitable access to the program so as not to impede the state's commitment to diversity and access in higher education (Post Geier). Note: Programs may not be advertised nor students admitted prior to Commission approval.*

The SPH routinely recruit graduate students nationally, regionally, and locally at professional/academic conferences and university recruitment fairs. We also attend recruitment events at health care and public health agencies. The Academic Services Coordinator (Shirl Sharpe) leads the recruitment of graduate students. We also visit local and regional colleges/universities to recruit students. Table 1 is our recruitment event schedule for the 2016/2017 academic year. Additionally, faculty members send out program announcements to their professional listservs to recruit graduate students.

**Assessment/Evaluation:** *Although the primary responsibility for program quality rests with the institution and its institutional governing board or its system, THEC considers pertinent information to verify that high standards have been established for the operation and evaluation of the programs. Evidence must be proposed to demonstrate that careful evaluation is undertaken periodically throughout the lifetime of the program indicating:*

- *the schedule for program assessments or evaluations, (including program evaluations associated with Quality Assurance, institutional program review, student evaluations, faculty review, accreditation, and employer evaluation),*
- *those responsible for conducting program assessments or evaluations, and accreditation, and*
- *a plan for how results will inform the program post-approval.*

Assessment plans for the School of Public Health mirror the standards of the Tennessee Higher Education Commission and accreditation criteria for the Council on Education for Public Health. The Tennessee Higher Education Commission assesses productivity primarily through graduation rates.

Outcomes related to accreditation criteria of the Council on Education for Public Health will be measured as follows:

a) A database will be maintained documenting demographics and status of applicants, acceptances, and enrollment rates based on criteria such as standardized test scores, GPA, and gender, and number of underrepresented students.
b) A portfolio will be maintained on each student, compiling their academic, research, and other scholarly achievements during their doctoral study.
c) Prior to their graduation, students will be asked to complete a survey related to their experience with the program, perceptions of their training, preparedness for public health careers, and general satisfaction with the program.
d) A database will be maintained to track graduation statistics, including the number of students graduating and their gender, ethnicity, time enrolled in program, and credit hour production.
e) Employers will be surveyed periodically to obtain their perceptions of students' training and level of preparedness.
f) After one year, graduates will be contacted by telephone to determine their employment status, professional responsibilities, and overall impression of the level of preparedness for their career in public health.
g) Alumni will be requested to maintain contact with the program on a yearly basis via a publication that highlights their current employment and achievements (publications, scholarly achievements, presentations, research). A database of these accomplishments will be maintained.

h) A faculty database will detail faculty supporting the degree including status (i.e., core, adjunct, part-time, or secondary), academic rank, tenure status, FTE, demographics, discipline, research expertise, and teaching area.
i) Core faculty will document their research activity, presentations and publications, teaching and mentoring experience, and community service as part of the routine annual evaluation and tenure/promotion processes.
j) Core faculty research activity will be tracked in terms of submissions, funded projects, funding sources, amount of award, student participation on grants, and whether a project is community-based.
k) A database of staff supporting the program will include social and demographic information, FTE (full or part-time), and duties.

**Accreditation:** National accreditation body for this degree is "Council on Education for Public Health (CEPH)." The School of Public Health received CEPH accreditation in June 2015. The program will be reviewed again every five years. The next review will be in July, 2020.

**Funding:** *A budget projection using the THEC Financial Projection form that documents the institution's capacity to deliver the proposed program within existing and projected resources must be submitted including an explanation of the current departmental budget in which the proposed program will be housed and estimated additional costs for the first three years (associate degrees), 5 years (undergraduate and master's degrees) or 7 years (doctoral degrees) for the proposed program. Please note that these costs for each year are incremental costs not cumulative costs. Include all accreditation costs and proposed external consultations as related to accreditation. Identify any grants or gifts which have been awarded or anticipated.*

All the courses in the curriculum are existing courses and no new courses are needed for the proposed MS Biostatistics program. In addition, for Master students, we will not offer graduate assistantships. Thus we do not anticipate any additional costs. On the other hand, faculty members in SPH with research fund will have a potential to support graduate students.

| Table 1. SPH Recruitment Places Fall 2016 & Spring 2017 | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Date | Place | Time | Who Attended | Cost to Attend | Travel Cost | Contact Person | Email | Phone Number |
| 9/13-9/15/2016 | TPHA | | Shirl Sharpe/Marian Levy | | | Marian | | |
| 9/21/2016 | Sewanee | 11:30 - 1:30 PM | Shirl Sharpe | | | Lisa Howick | lhowick@sewanee.edu | 931-598-3208 |
| 9/21/2016 | Rhodes | 3:00 - 6:00 PM | Shirl Sharpe and Mark Hendricks | $90 | $10 | | careers@rhodes.edu | 901-843-3800 |
| 9/22/2016 | CBU | Noon - 2:00 PM | Shirl Sharpe and Mark Hendricks | $90 | $10 | Curt Rogers | career@cbu.edu | 901-321-3330 |
| 9/22/2016 | Graduate School Recruitment Fair | 3 - 6:30 PM | Shirl Sharpe | $0 | | Graduate School | marykyle@memphis.edu | 901-678-4512 |
| 9/29/2016 | Pre-Health Sciences | 10 AM - 2 PM | Shirl Sharpe | $0 | | Jessica Clifford-Kelso | jgclffrd@memphis.edu | 678-5454 |
| 10/17/2016 | UTK | 8 AM - 3:30 PM | Shirl Sharpe | | | | - | |
| 10/20/2016 | MsState University | Noon - 3 PM | Shirl Sharpe | $200 | $250 | Cassandra Latimer | clatimer@career.msstate.edu | 662-325-3344 |
| 10/27/2016 | MTSU | 1 PM - 4 PM | Shirl Sharpe | $200 | $333.7 | Pat Stamps | pat.stamps@mtsu.edu | 615-898-2862 |
| 10/20/2016 | LeMoyne-Owen College | 10:30 AM - 2:30 PM | Shirl Sharpe | $75 | | Wanda Blair-Jones | wanda_blair-jones@loc.edu | 901-435-1729 |
| 4/06-4/07/2017 | NCUR Recruitment | 10:00 AM - 3:00 PM | Shirl Sharpe and Marian Levy | $0 | | Mary Kyles | marykyle@memphis.edu | |
| 4/18/2017 | Vanderbilt | 1 PM - 6 PM | Marian Levy | | | Lauren Rains | lauren.rains@vanderbilt.edu | 615-322-2446 |
| | Austin Peay | | Shirl Sharpe | | | This is for Austin Peay and Vanderbilt | | |

Office of the Dean
University College

218 Brister Hall
Memphis, Tennessee 38152-3440

Office: 901.678.2716
Fax: 901.678.4913

www.memphis.edu/univcoll/

**MEMORANDUM**

**TO:** Dr. M. David Rudd
President, University of Memphis

**FROM:** Dr. Dan Lattimore
Dean, University College

**DATE:** May 15, 2017

**SUBJECT:** BPS in Commercial Aviation

President Rudd, attached is the University College proposal for the Bachelor of Professional Studies in Commercial Aviation. The program and degree were approved Spring 2015 by the Undergraduate Curriculum Committee. The proposal conforms to the THEC format for their required Letter of Notification.

University College plans to partner with Crew Training International (CTI) in Millington, TN to provide this program to students. University College will provide the initial administrative support and work closely with the personnel at CTI in order to service the students. Flight training will be completed by flight instructors from CTI and additional required coursework will be taught by current University of Memphis faculty. Two new courses (AVIA 1500 and AVIA 1600) have already been approved at the Undergraduate Curriculum Council with more to follow once we receive approval from the Board of Trustees and THEC. As the program grows, we plan on adding an Instructor/Coordinator in the second year.

We believe this degree will provide a service to the region and its employers, as well as to our potential students. Furthermore, we feel it will provide a good addition to what is currently being offered at our Millington campus.

Thank you for consideration of this proposal, and we look forward to hearing from the Board of Trustees regarding this proposal.

**Letter of Notification (LON)**

**Program name, degree designation and CIP code:**

*BPS in Commercial Aviation, CIP code:*

**Proposed implementation date:**

*Fall 2017*

**Academic Program Liaison (APL) name and contact information –** The APL will serve as the information resource on academic approval actions and notification for the institution.

*Dr. Joanne Gikas, Assistant Dean, Undergraduate Programs, University College,*
*jgikas@memphis.edu; 901-678-2683*
*Dr. Dan Lattimore, Dean, University College*
*dlattimr@memphis.edu; 901-678-2991*

**Purpose and Nature of Program**

*The University College at the University of Memphis proposes to offer a Bachelor of Professional Studies (BPS) in commercial aviation. This program is designed for students who wish to receive their undergraduate degree while also obtaining their commercial flight training. The program combines courses required by the Federal Aviation Administration for flight training as well as general education requirements and the University College thematic studies and senior project.*

**Alignment with state master plan and institutional mission –** Explain how the proposed academic program is consistent with the state's economic development, workforce development and research needs (as applicable) as well as the mission and strategic direction statement of the institution.

**Feasibility Study – Provide supporting documentation addressing:**

- Student interest for the proposed academic program.
- Local and regional need/demand for the proposed academic program.
- Employer need/demand as demonstrated in a market analysis or similar evidence of the employer need and an assessment of the employment opportunities of the program (i.e., number of anticipated job openings) in appropriate service area(s) demonstrated through an employer needs assessment, current labor market analysis, future workforce projections during the first three years (associate and certificate programs), 5 years (undergraduate and master's programs) or 7 years (doctoral programs).
- Future sustainable need/demand as evidenced in letters from employers of increased need, preference for proposed degree, willingness to pay increased salaries for proposed degree, and that the demand for graduates is sustainable, i.e. exceeds beyond the three years of the program, if approved.

*The mission of the University of Memphis clearly states an interest in interdisciplinary education and collaboration. Additionally, we seek to advance the community in which we live and work through innovative educational programs. The BPS in Commercial Aviation is uniquely positioned to enhance that opportunity and addresses the requests we have received for this program, specifically as it addresses the local pilot shortage and the needs of the community. (Please see Appendix A.1 - A.4: Letters of Support). Educational Advisory Board (EAB), a nonprofit higher education research company, assisted in determining the need for a commercial aviation program in west Tennessee. Top employers of aviation professionals in the immediate Memphis area, including FedEx, hire high volumes of aviation professionals across the region. United Technologies Corporation comprised roughly one-third of the local job postings and one-fifth of all regional job postings. Partnerships with top employers could create possible internship or job opportunities for students and inform future decisions about our program curriculum.*

*There continues to be a great need for pilots as aviation continues to grow, yet according to Goglia (2014) the number of trainees is significantly decreasing and more enrollees and availability of programs would add value to the workforce. Memphis is a major metropolitan area in Tennessee and services a tri state region. Memphis is the corporate headquarters for FedEx with their primary hub here. Other air carriers also have a significant presence at the Memphis International Airport and would benefit from locally trained pilots. There is no single solution to the predicted pilot shortage and the FAA and the industry acknowledges the problem (Blair & Freye, n.d.). The THEC Academic Program Supply and Occupational Demand Projections for 2012 – 2025 identifies a growth in aviation/aeronautics graduates. Memphis is a recognized international transportation hub indicating the long term need for a training program of this nature.*

*There are no other public institutions in our region with this degree. The closest public aviation schools are 140 miles away – Delta State University in Cleveland, MS and 250 miles away – Middle Tennessee State University in Murfreesboro, TN. The impact in this area will be high for students interested in receiving aviation training but unable to leave the area. The program provides a unique opportunity for veterans through their Post 9/11 benefit packages. Additionally, this program will impact traditional age students. Woodale High School, a Shelby County school in Memphis, TN has an aviation program. By offering a local university program for these graduating seniors, students would not have to relocate to another area.*

*Furthermore, by earning a bachelor's degree in aviation, pilots reduce the required number of flight hours needed to become commercial pilots by 500 hours. Additionally, a commercial pilot's license is currently required to fly drones, which opens the door further for our students in this emerging industry. We trust this program of study will* *result in higher completion rates than typical undergraduate degrees, as these students, both traditional and non-traditional, will be highly dedicated to their craft.*

**Program Costs/Revenues – Provide supporting documentation that program costs will be met from internal reallocation, tuition and fees or from other sources such as grants and gifts. Existing programs offered at public and private Tennessee institutions – List all programs within the same CIP code definition at the same level (bachelor's, Master's, doctoral) currently offer in public and private higher education in Tennessee.**

*Tuition and fees will cover the program costs from the beginning for this program. The University uses a Strategic Resource Initiative (SRI) model to cover a unit's expenses with its revenue. Please see attached THEC Financial Projections, Appendix B.*

*The only program within this CIP code in the state at the bachelor's level is Middle Tennessee State University.*

References

Blair, J. & Freye, J. (n.d.) Flight training capacity in the context of recent legislation: An exception of the impacts of reduced training capacity, and the declining rates of airmen certification. Retrieved September 10, 2015 from http://www.nafinet.org/whitepaper.aspx

Goglia, J. (2014). Outlook for aviation career brightens with looming pilot and mechanic shortages. Retrieved September 10, 2015 from http://www.forbes.com/sites/johngoglia/2014/01/04/2014-outlook-for-aviation-careers-brightens-with-looming-pilot-and-mechanic-shortages/

Appendix A.1

**DEPARTMENT OF THE AIR FORCE**
**AIR UNIVERSITY (AETC)**

02 May 2017

MEMORANDUM FOR University College
University of Memphis
Memphis, TN 38152

FROM: Air Force Reserve Officer Training Corps (AFROTC) / Detachment 785
University of Memphis
Memphis, TN 38152

SUBJECT: Letter of Recommendation

1. As the AFROTC Detachment Commander and the Professor of Aerospace Studies at the University of Memphis, I give my full endorsement and support toward the university's endeavor to initiate an Aviation Concentration into the degree options for University of Memphis students. This program option would greatly benefit my existing student-cadets, as well as local high school students as they decide which university provides the best pathway toward aviation.

2. Over the past 2 years we have seen a steady increase of Air Force pilot openings for our cadets. However, in order to be nationally competitive, accumulation of flying hours is sometimes a delineating factor for selection into these positions. Allowing cadets interested in aviation to receive some basics in ground school, flight safety and experience in the cockpit, would be extremely valuable and make them more competitive nationally for these positions.

3. Additionally, an Aviation Concentration would provide a viable option for future students in the local area who want to fly and would like to stay in the Memphis area. One of my roles as the Detachment Commander is as a recruiter. My team and I visit most of the local high schools in the surrounding Memphis area. Each year we interview 40-80 well-qualified, high school students who express the need to leave the Memphis area in order to pursue an aviation degree. These kids know they want to fly and pursue a career in aviation. They also want to be competitive for the limited pilot positions offered by the Air Force. However, they do not see any opportunities in Memphis to assist them in both endeavors. The addition of an Aviation Concentration would be a step in the right direction to keep these students local.

4. Please feel free to contact me if you have any questions or need any further information. I can be reached at 901-678-2681.

KYLE G. BELLUE, Lt Col, USAF
Commander

April 30, 2017

To whom it may concern:

I am writing this letter in support of the development of an aviation degree program and associated educational opportunities to be offered by the University of Memphis. As a commissioner for the Memphis-Shelby County Airport Authority (MSCAA) and the owner of a Memphis-based aviation company, I have a vested interest in the pipeline of talent feeding our local aviation industry and the opportunities available for our local residents to achieve an education in aviation-related disciplines. I sincerely believe that offering this program would be of benefit to our community, our international airport, and our current local aviation-based businesses. Furthermore, a strong program producing top notch graduates could draw additional related businesses to the Memphis Metro area, providing more jobs and more tax revenues.

It is widely accepted that commercial airline utilization and airline transport needs are growing at a pace that will soon result in a shortage of pilots, maintenance technicians, and crew members. Meeting the demand will require proactive measures and innovative educational programs. I feel that it is mutually advantageous for Memphis to be able to recruit, educate, and train locally sourced pilots and technicians. Likewise, offering local aviation degree programs and additional lucrative aviation jobs would be a huge benefit to our diverse population. Currently, there is only one Tennessee University where interested students can achieve an aviation degree with in-state tuition rates and state funded support. Many local prospects are forced financially to pursue other career paths.

From an employer's perspective, there is a national trend toward universities and community colleges developing educational training tailored to the needs of large local employers, like the programs developed for Arkansas State University. I believe the University of Memphis has a unique opportunity to ultimately collaborate with FedEx and others to produce specifically-trained professionals to support their efforts. Likewise, I suspect that local companies like FedEx that offer tuition assistance would appreciate the option of having their funds disbursed locally. For the reasons offered above, I truly believe that an aviation degree program offered by the University of Memphis would provide benefit to both the university and the community.

Sincerely,

Keri Wright

Keri Wright
CEO – Universal Assets Management, Inc.
Commissioner – Memphis-Shelby County Airport Authority

**Organization of Black Aerospace Professionals**

Email: nationaloffice@obap.org
www.obap.org

1 Westbrook Corporate Center
Suite 300
Westchester, Illinois 60154

t: 800.JET.OBAP



May 15, 2017

To whom it may concern:

I am writing to express my support and endorsement for the development of an aviation degree program at the University of Memphis. Being the chair of organization of black aerospace youth programs and former director of Flight operation for FedEx Express, I have a genuine interest in local aviation industry and the source of talent that will sustain and grow that industry in the near future. Being fortunate enough to be an alumni of U Of M , Memphis has a great need for some of the best and brightest pilots and aviation professionals in the country. Likewise, the Memphis International Airport will need talented pilots and professionals to achieve its goal of being a world class airport.

Currently, the state of Tennessee has only two university offering degrees in aviation. Memphis students who are interested in a career in aviation are forced to leave this community and take their mental and financial assets with them, or stay and pursue other career paths. Boeing is predicting a need for 617,000 pilots over the next 20 years. Many experts suggest that we will likely experience a deficit of 15,000 pilots in the U.S. alone within the next 10 years if changes are not made to accommodate the impending demand. Due to this shortage Memphis has seen flight operation cease due to this shortage.

Given this reality, I believe that the University of Memphis has a unique opportunity to create a pilot training program and offer its local students and businesses a solution. Having a local college that offered in-state tuition and state-sponsored financial support for aviation degrees would be a great asset to our lower and middle-income families, and likewise, Memphis' diverse range of demographics would serve the aviation industry well. Additionally, the university could work with local employers like FedEx to develop programs and training tailored to their specific needs. For these reasons and others, I feel that initiating an aviation program at the University of Memphis would prove to be a very promising development, in line with the objectives of our community, the state, and the university. I suspect that many others in the community would agree.

Sincerely,

Albert Glenn

Captain Albert Glenn
Chair Project Aerospace
Organization of Black Aerospace Professionals, Inc. (OBAP)

**Executive Director**
Roy Remington, C.M.
r.remington@millingtontn.gov

**Website:**
www.millingtonregionaljetport.com

**Assistant Airport Manager**
Linda L. Leavitt
l.leavitt@millingtontn.gov



February 19, 2016

Dr. David Rudd
University of Memphis
341 Administration Building
Memphis, TN 38152

**RE: Aerospace Program**

Dear Dr. Rudd,

This letter is in regards to the proposed University of Memphis aerospace program in partnership with Crew Training International (CTI). As Executive Director of the Millington Airport, I support this program as it addresses our local pilot shortage, while providing students a gateway to the aviation industry.

As reported in the *Memphis Business Journal*[1], our industry faces a pilot shortage of unprecedented proportion. This shortage has caused canceled flights and service cuts for regional airlines. A local training program could have prevented these losses.

FedEx is another airline with its hub in Memphis. FedEx will retire 64% of their pilots by 2027. If a local training program is not created, the Memphis labor market will be unable to meet these vacancies with qualified candidates.

Training programs elsewhere in the state are unsatisfactory at addressing the local challenges faced by Memphis. Entry level positions at Southern Airways Express require crew members to have already integrated their resources and living arrangements into the Memphis community. For an effective placement program to exist, Memphis students must work alongside these companies during their program coursework.

Lastly, there are currently no college-based flight training programs to serve veterans of the NSA Mid-South Navy Base or 164th Air National Guard Base located in Memphis. These veterans have earned the right to pursue an aviation career through a VA-approved flight training program while stationed in our community.

[1] Arnold, E. (2015, July 29). *Flight school opened to address worldwide pilot shortage*

Simply stated, the proposed partnership with CTI is too valuable to Memphis to be left uncultivated. The local flight training program as envisioned will bestow enduring benefits to the community, aviation industry, University of Memphis, and most importantly the students it serves.

Sincerely,

Roy Remington, C.M.
Executive Director
Millington Airport Authority

**8182 HORNET AVE. * MILLINGTON, TN 38053 * (901) 872-7495 * FAX (901) 873-5795**

**Tennessee Higher Education Commission**
**Attachment A: THEC Financial Projections**
**University of Memphis, University College**
**BPS Commercial Aviation**

Seven-year projections are required for doctoral programs.
Five-year projections are required for baccalaureate and Master's degree programs
Three-year projections are required for associate degrees and undergraduate certificates.
Projections should include cost of living increases per year.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 |
|---|---|---|---|---|---|---|---|
| **I. Expenditures** | | | | | | | |
| | | | | | | | |
| **A. One-time Expenditures** | | | | | | | |
| New/Renovated Space | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Equipment | - | - | - | - | - | - | - |
| Library | - | | - | - | - | - | - |
| Consultants | - | - | - | - | - | - | - |
| Travel | | | | | | | |
| Other | - | - | - | - | - | - | - |
| **Sub-Total One-time** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **B. Recurring Expenditures** | | | | | | | |
| **Personnel** | | | | | | | |
| **Administration** | | | | | | | |
| Salary | $ 7,000 | $ 8,000 | $ 9,000 | $ 10,000 | $ 11,000 | $ 12,000 | $ 13,000 |
| Benefits | 2,492 | 2,848 | 3,204 | 3,560 | 3,916 | 4,272 | 4,628 |
| **Sub-Total Administration** | $ 9,492.00 | $10,848.00 | $ 12,204.00 | $13,560.00 | $ 14,916.00 | $16,272.00 | $17,628.00 |
| | | | | | | | |
| **Faculty** | | | | | | | |
| Salary | $ 5,000 | $ 50,000 | $ 51,500 | $ 53,045 | $ 54,636 | $ 56,275 | $ 58,000 |
| Benefits | 305 | 3,050 | 18,334 | 18,884 | 19,450 | 20,034 | 20,648 |
| **Sub-Total Faculty** | $ 5,305 | $ 53,050 | $ 69,834 | $ 71,929 | $ 74,086 | $ 76,309 | $ 78,648 |
| | | | | | | | |
| **Support Staff** | | | | | | | |
| Salary | $ 4,563 | $ 5,000 | $ 5,500 | $ 6,000 | $ 6,500 | $ 7,000 | $ 7,500 |
| Benefits | 1,624 | 1,780 | 1,958 | 2,136 | 2,314 | 2,492 | 2,670 |
| **Sub-Total Support Staff** | $ 6,187 | $ 6,780 | $ 7,458 | $ 8,136 | $ 8,814 | $ 9,492 | $ 10,170 |
| | | | | | | | |
| **Graduate Assistants** | | | | | | | |
| Salary | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Benefits | - | - | - | - | - | - | - |
| Tuition and Fees* (See Below) | - | - | - | - | - | - | - |
| **Sub-Total Graduate Assistants** | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| | | | | | | | |
| **Operating** | | | | | | | |
| Travel | $ 3,000 | $ 3,000 | $ 3,000 | $ 3,000 | $ 3,000 | $ 3,000 | $ 3,000 |
| Printing | 500 | 500 | 250 | 250 | 250 | 250 | 250 |
| Equipment | - | - | 3,000 | - | - | - | - |
| Other | - | - | - | - | - | - | - |
| **Sub-Total Operating** | $ 3,500 | $ 3,500 | $ 6,250 | $ 3,250 | $ 3,250 | $ 3,250 | $ 3,250 |
| | | | | | | | |
| **Total Recurring** | **$ 24,484** | **$ 74,178** | **$ 95,746** | **$ 96,875** | **$ 101,066** | **$ 105,323** | **$ 109,696** |
| | | | | | | | |
| **TOTAL EXPENDITURES (A + B)** | **$ 24,484** | **$ 74,178** | **$ 95,746** | **$ 96,875** | **$ 101,066** | **$ 105,323** | **$ 109,696** |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| ***If tuition and fees for Graduate Assistants are included, please provide the following information.** | | | | | | | |
| Base Tuition and Fees Rate | $ - | $ - | $ - | $ - | $ - | $ - | $ - |
| Number of Graduate Assistants | - | - | - | - | - | - | - |

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 |
|---|---|---|---|---|---|---|---|
| **II. Revenue** | | | | | | | |
| Tuition and Fees[1] | 72,615 | 124,650 | 205,420 | 264,475 | 272,425 | - | - |
| Institutional Reallocations[2] | (48,131) | (50,472) | (109,674) | (167,600) | (171,359) | 105,323 | 109,696 |
| Federal Grants[3] | - | - | - | - | - | - | - |
| Private Grants or Gifts[4] | - | - | - | - | - | - | - |
| Other[5] | - | - | - | - | - | - | - |
| **BALANCED BUDGET LINE** | **$ 24,484** | **$ 74,178** | **$ 95,746** | **$ 96,875** | **$ 101,066** | **$ 105,323** | **$ 109,696** |

**Notes:**

**(1) In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.**

In 2017-2018 assumes 3% tuition increase each year.

**(2) Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.**

No reallocation needed.

**(3) Please provide the source(s) of the Federal Grant including the granting department and CFDA(Catalog of Federal Domestic Assistanc**

No grants anticipated.

**(4) Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).**

N/A

**(5) Please provide information regarding other sources of the funding.**

N/A

**New Academic Program Proposal (NAPP) Checklist**

**ALL ITEMS INCLUDED IN LETTER OF NOTIFICATION**

- CURRICULUM - An adequately structured curriculum which meets the stated objectives of the academic program, and reflects breadth, depth, theory and practice appropriate to the discipline and the level of the degree. The curriculum should be compatible with disciplinary accreditation, where applicable, and meet the criteria for the general education core as well as articulation and transfer (where applicable for undergraduate programs based on Policy XX. Articulation and Transfer).

  *General Education: 35-41 hours*
  *Major Field Core: 63 hours*
  *College Requirements 9 hours*
  *General Electives 7-13 hours*
  *Please see attached detailed program summary – Appendix C: Program Summary.*

- Program Requirements – Include the minimum number of SCH overall, required curriculum (course prefix and number, title, SCH) and any special requirements including theses, internships.

  *The minimum number of credit hours needed to successfully complete this program of study is 120. These include nine hours of college requirements including two thematic studies (interdisciplinary courses) and a senior capstone project. In this program, the senior capstone project will be the Flight Instructor Certification course. Please see more details in Appendix D: Certification Course.*

- Current Courses and Existing Programs- List current courses and existing institutional programs which will give strength to the proposed program.

  *Twenty-four new courses with AVIA prefixes will be developed for this program. Two of those courses (AVIA 1500 and AVIA 1600) have already been approved at the University Undergraduate Curriculum Council.*

- New Courses Needed- List any new courses which must be added to initiate the program; include a catalog description for each of these courses.

  *Proposed future courses:*

  **AVIA 1500 Introduction to Flight 1 credit*
  *Demonstrate, by passing a written test (which meets the pre-solo aeronautical knowledge requirements of FAR 61.87 (b), an understanding of the primary training aircraft used for the students first solo flight. The course introduces the student to the applicable sections of federal aviation regulations parts 61 and 91; airspace rules and procedures for the airport where the solo flight will be performed; and flight*

*characteristics and operational limitations for the make and model of aircraft to be flown.*

**AVIA 1600 Private Pilot Ground School 3*

*Demonstrate, and apply the aeronautical knowledge & skills learned in this course to the degree necessary to meet the prerequisites specified in Title 14 CFR Part 61 for the FAA aeronautical knowledge test "Private Pilot – Airplane"*

*AVIA 1601 Private Pilot Flight Lab 1*

*Stage 1 is designed to provide a strong foundation prior to the first solo flight. Basic maneuvers are introduced, practiced, and reviewed. The student develops the knowledge, skill, and habit patterns needed for solo flight. In addition, the student will practice airport operations, different types of takeoffs and landings, emergency procedures, and ground reference maneuvers. Student must complete the presolo written exam and briefing prior to the first solo flight.*

*AVIA 1700 Aviation Safety 3*

*Course designed for a pilot to understand and identify safety issues affecting the operation of flight. Throughout the course a review of incidents, accidents, safety studies, and accident investigations with a focus on causal and contributing factors to those investigated events and any resulting changes to mitigate future risk.*

*AVIA 1800 Systems I: Basic Aircraft Systems 3*

*Introduces the basic systems found in light training aircraft including: aircraft engines, propellers, fuel systems, flight controls, instruments, hydraulic systems, brakes, wheels, electrical, ignition, and FAR part 43 & related publications.*

*AVIA 2000 Aviation Weather 3*

*This course covers meteorology theory and weather services. The course includes a study of weather, concepts of weather, weather hazards, meteorological flight planning, aviation weather equipment, and considerations of weather conditions.*

*AVIA 2100 Theory of Flight 3*

*This course is designed for a pilot to understand the principles of airplane aerodynamics and aircraft performance. Aerodynamic topics include aerodynamics and terminology with emphasis on lift, weight, thrust and drag forces acting upon an airplane in flight; calculation of stall speed; weight and balance; stability and control; operating data; low speed aerodynamics, fundamentals associated with supersonic flight. Aircraft performance topics include performance of aircraft powered by reciprocating, turboprop, or jet turbine engines.*

*AVIA 2101 Instrument Flight Lab 1*

*Stage I of the syllabus is designed to provide the student with a strong foundation in attitude instrument flight and instrument navigation. At the*

*completion of this stage, the student is thoroughly prepared for the introduction of holding patterns and instrument approaches.*
*During this stage, the student learns to perform holding patterns and instrument approaches. This training prepares the student for the introduction of IFR en route procedures in Stage III.*
*This stage of training teaches the student IFR en route procedures and provides a review of all previously learned maneuvers. Through the use of three instrument cross-country flights and review, the student is able to attain the proficiency level of an instrument rated pilot. The ground and flight portions of the instrument course are completed in Stage III. The student should also successfully pass the FAA instrument rating airman knowledge test and take the FAA instrument rating practical test at the completion of this stage.*

*AVIA 2200 Instrument Ground School 3*
*This course provides the preparation for the FAA instrument rating knowledge test and meets the requirements of FAR 61.65 (b). Includes the study of Federal Aviation Regulations that apply to flight operations under IFR; appropriate information that applies to flight operations under IFR in the "Aeronautical Information Manual;" Air traffic control system and procedures for instrument flight operations; IFR navigation and approaches by use of navigation systems; use of IFR en route and instrument approach procedures charts; procurement and use of aviation weather reports and forecasts and the elements of forecasting weather trends based on that information and personal observation of weather conditions; recognition of critical weather*

*AVIA 3200 Commercial Pilot Ground School 3*
*This course provides the preparation for the FAA commercial pilot knowledge test and meets the requirement of FAR 61.125 (b). Includes the study of applicable Federal Aviation Regulations that relate to commercial pilot privileges, limitations, and flight operations; accident reporting requirements of the NTSB; basic aerodynamics and the principles of flight; meteorology theory and weather services; safe and efficient operation of aircraft; weight and balance computations; use of performance charts; significance and effects of exceeding aircraft performance limitations; use of aeronautical charts and a magnetic compass for pilotage and dead reckoning; use of air navigation facilities; aeronautical decision making and judgement; principles and functions of aircraft systems; maneuvers, procedure, and emergency operations appropriate to the aircraft; night and high-altitude operations; and procedures for operating within the National Airspace System.*

*AVIA 3201 Commercial Flight Lab Single Eng 1*
*Stage IV builds upon previously learned ground and flight training. The student will review and practice day and night VFR cross-country procedures in preparation for commercial pilot operations. Stage IV also provides a thorough introduction and pilot-in-command checkout in the complex airplane.*

*AVIA 3300 Multi-Engine Ground School 2*
*This course covers multi-engine operations, aircraft systems, normal procedures, emergency procedures and flight characteristics.*

*AVIA 3301 Commercial Flight Lab Multi-Eng 1*
*Stage V, which is for the multi-engine portion of the training, provides a foundation for all relevant multi-engine maneuvers and procedures, cross-country, instrument, and night flight training including normal and engineout operations. The final portion of the stage concentrates on the multiengine procedures in the IFT environment with both normal instrument approaches and engine-out instrument approach procedures.*

*AVIA 3400 Air Traffic Control and Airspace 3*
*Course designed for a pilot to understand and apply critical element of ATC within the National Airspace System (NAS). Discussed throughout the course of the NAS: A fundamental knowledge of the ATC system in the United States; navigational aids; airspace; communications; the Code of Federal Aviation Regulations; ATC procedures; control tower operations; nonradar operations; radar operations; and differing types of environmental concerns within a geographical area.*

*AVIA 3500 Systems II: Turbine Aircraft 3*
*Course designed for a pilot to understand turbine engines and turboprop aircraft systems.*

*AVIA 4100 Advanced Meteorology 3*
*The course includes a study of the nature and utility of the atmosphere, temperature, wind, moisture, air masses and frontal systems, and an analysis of weather reports, forecasts, and charts. This course will incorporate techniques for flying in various weather conditions and environments.*

*AVIA 4200 Systems III: Transport Category Aircraft Systems 3*
*This course covers multi-engine operations, aircraft systems, normal procedures, emergency procedures and flight characteristics.*

*AVIA 4300 Air Carrier Operations 3*
*Introduction course to air carrier dispatch procedures, weather analysis, and Crew Resource Management (CRM)*

*AVIA 4401 Flight Lab 1*
*This course is designed for students requesting additional flight training to increase his/her skill to complete a flight course beyond a normal progress gate.*

*AVIA 4700 Flight Instructor Ground School 4*
*This course provides the required areas of instructor knowledge to aid the student in preparing for the Fundamentals of Instructing (FOI) knowledge test, and the Flight Instructor Airplane knowledge test. The course covers aeronautical knowledge areas for the recreational, private, and commercial pilot certificate. Different teaching methods and communication techniques are studied and practiced. Includes team teaching, one-on-one instruction and in classroom practice on lessons following the current FAA practical test standards.*

*AVIA 4800 Human Factors & Crew Resource Management 3*
*Course designed for a pilot to understand and identify human performances that affect aviation. General areas discussed include: decision-making, situational awareness, crew coordination, communication, human error, fatigue, attitudes, training devices, controls, workload management, CRM, and man/machine interference that may include pilot/aircraft interference or flight deck/cockpit design.*

*AVIA 4550 Aviation Law & Regulation 3*
*Course designed for a pilot to understand and apply 14 CFR. Course discusses aviation law and regulations including: constitutional law, administrative law, enforcement actions, and international law affecting aviation. This course also includes the consideration and analysis of aviation regulatory environments and processes, such as regulatory certifications, rulemaking, and legislation.*

*AVIA 4560 Aviation Physiology & Survival 3*
*Course designed for a pilot to understand physiological aspects that can affect flight crew. The course includes: human factors; basic human anatomy; the atmosphere; situational awareness; altitude physiology; hearing and vibration; vision; orientation; self-imposed medical stress; environmental stresses; sleep, jet lag, and fatigue; acceleration; CRM; human factors and automation; inflight medical emergencies; health maintenance program; medical standards, regulations, and certification; and basic introduction to wilderness survival.*

*AVIA 4701 Flight Instructor Certification course 3*
*Flight Instructor Certification uses the Jeppesen flight instructor syllabus. The Certified Flight Instructor (CFI) rating enables the pilot to do initial instruction (students seeking private license), commercial-level instruction, and even instructor-instruction after a certain amount of experiences.*

**Courses have already been approved for use by the undergraduate curriculum council.*

- Distance Learning – Indicate whether this program will be offered via distance learning and which courses are available via distance learning.

  *AVIA courses will be face to face courses. Remaining courses in Section A and B of Major Field core can be taken face to face, online or hybrid depending on student choice.*

- Course Syllabi

    *For the first two course syllabi that have been approved by the undergraduate curriculum council at the University of Memphis please see Appendix E.1: AVIA 1500 & E.2 1600 Syllabi.*

**ACADEMIC STANDARDS** – The admission, retention and graduation standards should be clearly stated, be compatible with institutional or governing board policy, and encourage high quality.
**DIVERSITY** – Provide information regarding how the proposed program will serve a diverse population of students (e.g., adult learners, students working and unable to relocate, students with preference for various delivery modes) or an underserved, historically underrepresented population of students or international students.

*University of Memphis is one of the most diverse institutions in Tennessee. University College has a large number of non-traditional and underrepresented students. Furthermore, University College has a history of graduating a greater percentage of minority students than any other college on campus.*

**PROGRAM ENROLLMENT AND GRADUATES** – Provide the projected number of declared majors and graduates expected over the first three years (associate and certificate), 5 years (baccalaureate and master's programs) or 7 years (doctoral programs).

| *Year (specify Term & AY start)* | *Full-Time Headcount* | *Part-time Headcount* | *International Headcount Anticipated* | *Total Year Headcount* | *FTE* | *Graduates* |
|---|---|---|---|---|---|---|
| *1* | *5* | *5* | *0* | *10* | *7.5* | *0* |
| *2* | *10* | *5* | *0* | *15* | *12.5* | *0* |
| *3* | *15* | *10* | *0* | *25* | *20* | *2* |
| *4* | *20* | *10* | *0* | *30* | *25* | *5* |
| *5* | *20* | *10* | *0* | *30* | *25* | *15* |
| *6* | | | | | | |
| *7* | | | | | | |

*Projections based on consultation with CTI. The recruitment plan will be in collaboration with CTI Flight Training School.*

**ADMINISTRATIVE STRUCTURE** – Provide the administrative unit and program director that will be responsible to ensure success of the proposed program.

*University College will be working collaboratively with CTI to offer the flight courses required for this degree. The University College staff – specifically a dedicated academic* *advisor and the assistant dean – will work closely with representatives from CTI to ensure students are properly advised and students are knowledgeable about program requirements. Adjunct faculty identified as flight instructors by CTI will be used for year one and two. A full-time instructor/coordinator for the program will be added in year two as enrollment grows to help manage the program for University College in addition to the adjunct faculty from CTI.*

*Furthermore, CTI is an FAA Part 141- approved flight school located in Millington, Tennessee, just minutes from the University of Memphis's Millington campus. (Please see Appendix F: MOU between CTI and the Millington Airport.) It has an additional location in Fort Lauderdale, Florida, which has been in operation since 1988. CTI PFT is a wholly-owned subsidiary of Crew Training International, Inc., a local Memphis company that specializes in designing and offering training courses to the US Department of Defense. The flight program is currently not accredited; however, FAA oversight requires a substantial amount of experience and internal checks for higher level instructors. CTI is also working on a standardization program for onboarding new instructors at any level.*

**FACULTY RESOURCES** – Current and/or anticipated faculty resources should ensure a program of high quality. The number and qualification of faculty should meet existing institutional standards and should be consistent with external standards, where appropriate. The adequacy of the number of faculty should be paramount in the planning process as institutions build increasing numbers of interdisciplinary and cross-disciplinary academic programs. The student/faculty ratio for the proposed program should be included in the documentation.

- Current Faculty – List the name, rank, highest degree, primary department and estimate of the level of involvement of all current faculty members who will participate in the program. If the proposed program is at the graduate level, designate current graduate faculty status in relation to eligibility to chair thesis and/or dissertation. Attach a three-page vita for each faculty member listed including relevant related activities for the past five years.
- Anticipated Faculty - Describe the additional faculty needed during the next five years for the initiation of the program and list the anticipated schedule for addition of these faculty members.

*Initially, faculty will include current University of Memphis faculty and adjunct faculty. Additionally, the CTI flight staff, who have extensive and varied instructor backgrounds including: instructors with long training and instructing experience at major airlines, airline check airman, Navy Top Gun instructor pilots, weather modification pilots, ex-military pilots, seaplane pilots, and instructors with multiple aircraft type ratings, will train students in the flight courses. All flight instructors are highly qualified, skilled, and motivated.*

*The existing personnel at the University of Memphis, including a dedicated academic advisor in University College, the assistant dean of University College, and the Bursar's* *office representatives at the University of Memphis, will work with these students. Personnel at CTI will handle administration of student attendance, billing, and course selection until student load necessitates additional support. As enrollment grows, we will add a dedicated Instructor/Coordinator for the program in year two with at least a master's degree in an appropriate discipline.*

**LIBRARY AND INFORMATION TECHNOLOGY RESOURCES** – Provide documentation to demonstrate adequate current and/or anticipated library and information technology resources to support a high-quality program which meets recognized standards for study at a particular level or in a particular field.

- Library and Information Technology Acquisitions Needed – Describe additional library and information technology acquisitions needed during the first three years (associate and certificate), 5 years (undergraduate and master's programs) or 7 years (doctoral programs) for the successful initiation of the program.

  *Students will have access to all library and information technology resources available to students enrolled at the University of Memphis, both online and face to face.*

**SUPPORT RESOURCES** – Provide documentation to demonstrate adequate other existing and/or anticipated support resources including clear statements of support staff, student advising resources, arrangement for clinical or other affiliations, and professional development for faculty necessary for a successful program.

- Evidence of willingness to partner - Include government, education, health and business entities.
- Other Support Currently Available - Include support staff, university and non-university assistance.
- Other Support Needed -- List additional staff and other assistance needed during the first three years (associate and certificate), 5 years (baccalaureate and master's programs) or 7 years (doctoral programs).

  *The University College staff – specifically a dedicated academic advisor and the assistant dean – will work closely with representatives from CTI to ensure students are properly advised and students are knowledgeable about program requirements. Students will have a University College advisor, specifically for the program, and that individual will be in close communication with CTI.*

**FACILITIES AND EQUIPMENT** – Provide documentation to demonstrate adequate existing and/or anticipated facilities and equipment. New/or renovated facilities required to implement the program should be clearly outlined by amount and type of space, costs identified and source of funds to cover costs.

- Existing Facilities and Equipment - Assess the adequacy of the existing physical facilities and equipment available to the proposed program. Include special classrooms, laboratories, physical equipment, computer facilities, etc.

- Additional Facilities and Equipment Required or Anticipated - Describe physical facilities and equipment that will be required/anticipated during the first three years (associate or certificate programs), 5 years (undergraduate and master's programs) or 7 years (doctoral programs).

  *Our flight training program will be affiliated with Crew Training International (CTI), an established flight training school at the Millington Regional Jetport. This facility is adjacent to the University of Memphis Millington campus, which will allow us to utilize these facilities for some of our instruction. CTI PFT's facility also houses an in-house maintenance department and full-service Fixed Base Operator (FBO). The FBO provides fuel to its own aircraft and local pilots, and also currently holds the Defense Logistics Agency's Into-Plane Fueling contract for the Millington Airport. As a result, students at the facility would have regular contact with the local aviation community as well as a vast array of military pilots. The maintenance department is monitored and approved by the FAA on the high standards applicable to flight schools. CTI PFT's flight school, FBO, and maintenance department share use of reception (1 FTE), accounting (4 FTE), and compliance (2 FTE) personnel. Administration of student attendance, billing, and course selection will be handled by the existing personnel, as applicable, until student load necessitates additional personnel.*
  *CTI Professional Flight Training (CTI PFT) is an FAA Part 141-approved flight school located in Millington, Tennessee, just minutes from the University of Memphis's Millington campus. It has an additional location in Fort Lauderdale, Florida, which has been in operation since 1988. CTI PFT is a wholly-owned subsidiary of Crew Training International, Inc., a local Memphis company that specializes in designing and offering training courses to the US Department of Defense.*

  *The CTI PFT facility is a recently renovated 20,000 square foot facility. It includes 12 one-on-one training rooms and two large areas usable as classrooms for up to 25 students each. Student facilities include a large lounge area for students to socialize or work in study groups, a study area with private work carrels, and an observation area with a 270-degree view of the airport for dispatching training flights and observing local aviation activity.*
  *CTI PFT's aircraft fleet includes three types of aircraft, all of which feature state-of-the-art avionics and safety features. The primary training aircraft is the Diamond DA20-C1. This plane is used for the private pilot's license, instrument rating, and for building time experience necessary for the commercial pilot's license. CTI PFT has three DA-20s on site in Millington, with an additional nine at its Fort Lauderdale location and eight more on order from the Diamond factory. The DA20 is used for both flight instruction and supervised solo flight.*

  *The multi-engine training aircraft is the Diamond DA42-NG. This aircraft is used to train towards the commercial multi-engine license and multi-engine instructor license. CTI PFT has one DA42 and will acquire additional aircraft as necessitated by student demand.*

*Because relatively few training hours are necessary in this aircraft, a ratio of approximately five to seven DA20's for every one DA42 is appropriate.*

*The third aircraft is a fully aerobatic Great Lakes 2T-1A-2 biplane. This plane is used for aerobatic training, tailwheel endorsements, and a safety orientation program called Upset Prevention and Recovery Training (UPRT). UPRT is one of the latest safety initiatives being address by the FAA. All of programs offered in the Great Lakes would be optional for university program students. CTI PFT also uses an on-site Advanced Aviation Training Device (AATD), the Redbird FMX1000, which simulates flight in either the DA20 or DA42 and allows the students to practice their skills or familiarize themselves with the cockpit while safely on the ground. While FAA regulations do place limits on the proportion of training that can be accomplished in an AATD, the availability of the Redbird FMX can greatly reduce the costs of training while increasing the students' safety.*

**MARKETING AND RECRUITMENT PLAN** – A plan, including marketing and recruitment, to ensure all prospective students will have equitable access to the program so as not to impede the state's commitment to diversity and access in higher education (Post Geier). Note: Programs may not be advertised nor students admitted prior to Commission approval.

*The Marketing department at the University of Memphis will handle marketing once this program is approved for implementation. Until then, the university, along with CTI, have begun discussing this potential program with students.*

**ASSESSMENT/EVALUATION** – Although the primary responsibility for program quality rests with the institution and its institutional governing board or its system, THEC considers pertinent information to verify that high standards have been established for the operation and evaluation of the programs. Evidence must be proposed to demonstrate that careful evaluation is undertaken periodically throughout the lifetime of the program indicating:

- the schedule for program assessments or evaluations, (including program evaluations associated with Quality Assurance, institutional program review, student evaluations, faculty review, accreditation, and employer evaluation),
- those responsible for conducting program assessments or evaluations, and accreditation, and
- a plan for how results will inform the program post-approval.

*Student evaluations are required every semester for every course taught at the University of Memphis. Alumni and career services do a survey every three years. Faculty and staff are evaluated once a year. The college and its programs undergo program review every five years per the THEC standard. Information from all assessments is examined by faculty and staff and changes are made in the structure, curriculum and personnel as needed.*

*The dean, associate dean and assistant dean of the college are responsible for various parts of the evaluation process, its implementation and post-assessment changes in the program.*

**ACCREDITATION** – Where appropriate, professional disciplinary accreditation organizations should be identified. The proposed accreditation timeline must be submitted. Any substantive change that may requires a SACS-COC review should be indicated.

*University College undergoes periodic program review as prescribed by THEC. CTI is an FAA Part 141- approved flight school. The flight program itself is not currently accredited; however, FAA oversight requires a substantial amount of experience and internal checks for higher level instructors. Additionally, according to the U.S. Department of Transportation Federal Aviation Administration Advisory Circular AC 61-139, for an institution to offer a bachelor's degree in aviation, the institution of higher education must be accredited – in this specific case the University of Memphis is SACS COC accredited; include at least 60 semester credit hours of aviation and aviation-related coursework that has been recognized by the Administrator as coursework designed to improve and enhance the knowledge and skills of a person seeking a career as a professional pilot; and hold either of the following: a) A part 141 pilot school certificate with a TCO(s) approved for flight and ground training; or b) A part 141 pilot school certificate with a TCO(s) approved for ground training only and have a formal training agreement with a part 141 pilot school with a TCO approved for flight training.*

**FUNDING** – A budget projection using the THEC Financial Projection form that documents the institution's capacity to deliver the proposed program within existing and projected resources must be submitted including an explanation of the current departmental budget in which the proposed program will be housed and estimated additional costs for the first three years (associate degrees), 5 years (undergraduate and master's degrees) or 7 years (doctoral degrees) for the proposed program. Please note that these costs for each year are incremental costs not cumulative costs. Include all accreditation costs and proposed external consultations as related to accreditation. Identify any grants or gifts which have been awarded or anticipated.

*No additional funding is being requested at this time to fund this new degree in University College. However, a fee structure for flight training has been proposed. Students will pay tuition and fees to the University of Memphis. Working closely with the Bursar's Office at the university, the Bursar's office will set up a "pay as you go" account similar to MTSU's model to pay CTI for flight training. Please see Appendix B: THEC Financial Projection.*

Student Name:____________________________________________

THE UNIVERSITY OF MEMPHIS | University College

**Bachelor of Professional Studies**
**Commercial Aviation**
**218 Brister Hall | 901.678.2716**
**memphis.edu/univcoll**

## Description of Program

The degree program in Commercial Aviation prepares persons for careers in corporate aviation, general aviation, aviation-related business, airport operations and governmental regulation of aviation. It does so by offering studies in aviation, management, business operations, human resources, transportation, logistics and aviation administration. These studies are combined with flight labs, experiential learning, and internships in an aviation setting. Aviation training is provided by professional aviation instruction certified by the Federal Aviation Administration.

For information on careers in this and other disciplines students should consult the career counselor located in 211 Wilder Tower, 678-2068.

## Career Development

For information on careers, students should consult the Career Services Office located on the 4th Floor of Wilder Tower, 678-2239.

## UMdegree

You can review information regarding your current academic pursuits, including Degree Requirements, General Education Requirements, Major/Concentration Requirements, and Minor Requirements by accessing the UMdegree audit tool. This tool reflects all changes to a student's academic record and is used in determining whether or not a student has successfully completed all graduation requirements. www.my.memphis.edu

## UNIV 3900 Experiential Learning Credit

Experiential Learning Credit may be granted for college level knowledge and understanding related to the student's area of study. This credit may be gained from work experience, life experience, or non-college instruction in one of the following ways: 1) pre-assessed military transcripts, 2) pre-assessed professional training, licensure, or certifications or 3) student developed learning portfolio reflective of their learning experiences which is assessed for credit by a faculty member. For more information:
http://www.memphis.edu/innovation/elc/experiential_learning.php

Student Name:_______________________________________________

**Program Summary Commercial Aviation**

I. General Education 35 – 41 hours
II. Major Field Core: 63 hours
III. College Requirements 9 hours
IV. General Electives 7-13 hours

Minimum Required for Graduation: 120 hours

- Students must complete at least 60 hours from a 4-year institution.
- Students must complete at least 42 hours of upper-division credit (3000 or 4000-level).
- Students must complete at least 30 of the last 60 hours through the University of Memphis.
- Students must complete at least 9 graded hours in the major at the University of Memphis.

**I. General Education (35 - 41 hours)**

See Graduation from the University for the University General Education Program requirements. Students who have completed one year of American History in high school are exempt from the six credit-hour History General Education Program requirement; otherwise, students will have to meet the History requirement.

**II. Major Field Core (63 hours)**

**A. Management and Business Operations (6 hours) Choose two courses from these:**

ACCT 2010 Fundamentals of Accounting I (3)
ACCT 2020 Fundamentals of Accounting II (3)
MIS 2749 Foundations of Information Systems (3)
MGMT 3110 Organization and Management (3)
MKTG 3010 Principles of Marketing (3)

**B. Human Resources, Staffing and Development (6 hours)**

**1. Choose one**:

MGMT 3215 Management of Human Resources (3)
MGMT 4260 Employee Staffing and Development (3)
MGMT 4420 Organizational Behavior in Business (3)
LDSP 3000 Leadership Development (3)
BMGT 3630 Human Resources Management (3)

**2. Choose one:**

COMM 4011 Communication in Organizations (3)
PSYC 3508 Industrial and Organizational Psychology (3)
COMM 3010 Integrated Corporate Communications (3)
PM 4120 Organizational Theory and Behavior (3)

**C. Professional Aviation Instruction (51 credits)**

| | | |
|---|---|---|
| AVIA 1500 | Introduction to Flight | 1 credit |
| AVIA 1600 | Private Pilot Ground School | 3 |
| AVIA 1601 | Private Pilot Flight Lab | 1 |
| AVIA 1700 | Aviation Safety | 3 |
| AVIA 1800 | Systems I: Basic Aircraft Systems | 3 |
| AVIA 2000 | Aviation Weather | 3 |

Student Name:__________________________________________________

| | | |
|---|---|---|
| AVIA 2100 | Theory of Flight | 3 |
| AVIA 2101 | Instrument Flight Lab | 1 |
| AVIA 2200 | Instrument Ground School | 3 |
| AVIA 3200 | Commercial Pilot Ground School | 3 |
| AVIA 3201 | Commercial Flight Lab Single Eng | 1 |
| AVIA 3300 | Multi-Engine Ground School | 2 |
| AVIA 3301 | Commercial Flight Lab Multi-Eng | 1 |
| AVIA 3400 | Air Traffic Control and Airspace | 3 |
| AVIA 3500 | Systems II: Turbine Aircraft | 3 |
| AVIA 4100 | Advanced Meteorology | 3 |
| AVIA 4200 | Systems III: Transport Category Aircraft Systems | 3 |
| AVIA 4300 | Air Carrier Operations | 3 |
| AVIA 4401 | Flight Lab | 1 |
| AVIA 4700 | Flight Instructor Ground School | 4 |
| AVIA 4800 | Human Factors & Crew Resource Management | 3 |

**III. College Requirements**

**A. Thematic Studies** (6 hours)

Any UNIV 3500-3599 or UNIV 4500-4599

Students complete a total of 6 hours in a University College thematic studies course(s) of their choosing. These courses are designed to broaden a student's knowledge of significant AVIA 4500 themes. Only specifically designated courses will meet this requirement.

AVIA thematic studies course are the following:

| | | |
|---|---|---|
| AVIA 4550 | Aviation Law & Regulation | 3 |
| AVIA 4560 | Aviation Physiology & Survival | 3 |

**B. Senior Project (3 hours)**

The senior project is a student's culminating experience or capstone designed to synthesize and integrate the content of a student's program of study.

**For this concentration, the senior project is the AVIA 4701 Flight Instructor Certification course.**

**IV. General Electives (7-13 hours)**

Electives will be chosen to bring the total number of hours to 120 with a minimum of 42 upper-division hours.

Appendix C

Student Name:_______________________________________________

**General Education Requirements (35-41hours)**

| Course Category | Course | Semester | Grade | Hours |
|---|---|---|---|---|
| English Composition (6 hrs.) minimum grade of "C"<br>ENGL 1010 (3 hrs.)<br>ENGL 1020 (3 hrs.) | | | | |
| | | | | |
| Oral Communication and Rhetoric (3 hrs.)<br>COMM 2381 Oral Communication | | | | |
| Mathematics (3 hrs.): pick any one of the following MATH 1420, 1530, 1710, 1830, OR 1910 | | | | |
| Humanities (9 hrs.)<br>1. Literature Course – ENGL 2201 or ENGL 2202<br>2.<br>3. | | | | |
| | | | | |
| | | | | |
| American History (6 hours)<br>University College students are exempt from American Heritage<br>requirement ONLY if they have completed one year of American History in high school. If courses are required, see UMdegree for options to complete this requirement. | One year of American History documented on UMdegree OR courses must be completed to fulfill requirement. If courses are required, list them below: | | | |
| Social Science (6 hrs.)<br>1.<br>2. | | | | |
| | | | | |
| Natural Science (8 hrs.)<br>1.<br>2. | | | | |
| | | | | |
| Total General Education Hours Required | 35 – 41 hours | | | |

Questions about transfer-credit equivalencies should be directed to the University College advisors.

Need to complete ALEKS assessment?  Yes________ No ________  MPL score:_____________

Student Name:____________________________________________

**Commercial Aviation**

A minimum grade of "C-" is required in each course and an overall GPA of 2.25 is required in the major. An overall and U of M GPA's of 2.00 are also required.

| Required Courses | Course | Semester | Grade | Hours |
|---|---|---|---|---|
| **Major Field Core (63 hours)** | | | | |
| A. Management & Business Operations (6 hours) | | | | |
| | | | | |
| B. Human Resources, Staffing & Development (6 hours) | | | | |
| | | | | |
| C. Professional Aviation Instruction (51) hours) | AVIA 1500 | | | 1 |
| | AVIA 1600 | | | 3 |
| | AVIA 1601 | | | 1 |
| | AVIA 1700 | | | 3 |
| | AVIA 1800 | | | 3 |
| | AVIA 2000 | | | 3 |
| | AVIA 2100 | | | 3 |
| | AVIA 2101 | | | 1 |
| | AVIA 2200 | | | 3 |
| | AVIA 3200 | | | 3 |
| | AVIA 3201 | | | 1 |
| | AVIA 3300 | | | 2 |
| | AVIA 3301 | | | 1 |
| | AVIA 3400 | | | 3 |
| | AVIA 3500 | | | 3 |
| | AVIA 4100 | | | 3 |
| | AVIA 4200 | | | 3 |
| | AVIA 4300 | | | 3 |
| | AVIA 4401 | | | 1 |
| | AVIA 4700 | | | 4 |
| | AVIA 4800 | | | 3 |

Student Name:________________________________________________

| | | | | |
|---|---|---|---|---|
| **University College Requirements (9 hours)**<br>A. Thematic Studies (3)<br>A. Thematic Studies (3) | AVIA 4550 | | | |
| | AVIA 4560 | | | |
| B. Senior Project (3) | AVIA 4701 | | | |
| **General Electives (7-13 hours)** | | | | |

Student Name:_______________________________________________

**PRIOR LEARNING ASSESSMENT**
**Students entering the program with prior aviation experience may receive up to 30 credits of experiential learning upon presentation of portfolio demonstrating completion of any of the following pre-assessed credit. For more information about experiential learning credit and cost visit http://www.memphis.edu/innovation/elc/experiential_learning.php**

| **Credit for Flight Instruction:** | **Course No.** | **Hours Credit** |
|---|---|---|
| Private Pilot License | UNIV 2900 | 5 |
| Commercial Pilot License | UNIV 3900 | 3 |
| Instrument Rating | UNIV 3900 | 3 |
| Multi-Engine Rating | UNIV 3900 | 3 |
| Certified Flight Instructor | UNIV 3900 | 3 |
| Airline Transport Pilot License | UNIV 3900 | 5 |
| Flight Engineer | UNIV 3900 | 5 |
| Flight Navigator-Commercial | UNIV 3900 | 6 |
| Captain Air Carrier | UNIV 3900 | 6 |
| Aircraft Type Rating: (varies) | UNIV 3900 | 4 |
| Multi-Engine Flight Instructor | UNIV 3900 | 1 |
| Seaplane | UNIV 3900 | 1 |
| Certified Ground Instructor-Basic | UNIV 3900 | 3 |
| Certified Ground Instructor-Instruments | UNIV 3900 | 3 |
| Certified Ground Instructor-Advanced | UNIV 3900 | 3 |
| | | |
| **Credit for Airframes/Powerplant License:** | | |
| Intro to Airframe/Powerplant Systems | UNIV 1900 | 4 |
| Airframe Systems/Components | UNIV 2900 | 4 |
| Aircraft Structure/Repair | UNIV 2900 | 4 |
| Aircraft Electric Systems Maintenance | UNIV 2900 | 4 |
| Jet Engine Inspection/Repair | UNIV 2900 | 4 |
| Recip. Eng. Systems in/RPR | UNIV 2900 | 4 |
| | | |
| **Credit for the Aircraft Dispatcher's License:** | | |
| Federal Aviation Regulations | UNIV 3900 | 3 |
| Aviation Meteorology | UNIV 3900 | 3 |
| Principles of Aircraft Navigation | UNIV 3900 | 3 |
| Flight Operations | UNIV 3900 | 3 |
| Aircraft Performance Systems | UNIV 3900 | 3 |
| | | |
| **Credit for Air Traffic Controllers:** | | |
| Phase III Journeyman (Center) | UNIV 3900 | 30 |
| Phase V Journeyman (Air Traffic/Control Tower) | UNIV 3900 | 30 |
| Phase III Journeyman (Flight Service) | UNIV 3900 | 30 |
| Technician Level (Airway Facility) | UNIV 3900 | 30 |

**AVIA 4701 Flight Instructor Certification: Senior Capstone**

AVIA 4701 Flight Instructor Certification uses the Jeppesen flight instructor syllabus.
The Certified Flight Instructor (CFI) rating enables the pilot to do initial instruction (students seeking private license), commercial-level instruction, and even instructor-instruction after a certain amount of experiences.

The FAA regulations (14 CFR Part 141, Appendix F) require the following material to be covered in a CFI course:

**Aeronautical knowledge training**

(a) Each approved course must include at least the following ground training in the aeronautical knowledge areas listed in paragraph (b) of this section:
  (1) 40 hours of training if the course is for an initial issuance of a flight instructor certificate; or
  (2) 20 hours of training if the course is for an additional flight instructor rating.
(b) Ground training must include the following aeronautical knowledge areas:
  (1) The fundamentals of instructing including—
    (i) The learning process;
    (ii) Elements of effective teaching;
    (iii) Student evaluation and testing;
    (iv) Course development;
    (v) Lesson planning; and
    (vi) Classroom training techniques.
  (2) The aeronautical knowledge areas in which training is required for—
    (i) A recreational, private, and commercial pilot certificate that is appropriate to the aircraft category and class rating for which the course applies; and
    (ii) An instrument rating that is appropriate to the aircraft category and class rating for which the course applies, if the course is for an airplane or powered-lift aircraft rating.
(c) A student who satisfactorily completes 2 years of study on the principles of education at a college or university may be credited with no more than 20 hours of the training required in paragraph (a)(1) of this section.

**Flight training**

(a) Each approved course must include at least the following flight training on the approved areas of operation of paragraph (c) of this section appropriate to the flight instructor rating for which the course applies:
  (1) 25 hours, if the course is for an airplane.
  (b) [discussion of flight simulators]

(c) Each approved course must include flight training on the approved areas of operation listed in this paragraph that are appropriate to the aircraft category and class rating for which the course applies—

(1) For an airplane—single-engine course:

(i) Fundamentals of instructing;
(ii) Technical subject areas;
(iii) Preflight preparation;
(iv) Preflight lesson on a maneuver to be performed in flight;
(v) Preflight procedures;
(vi) Airport and seaplane base operations;
(vii) Takeoffs, landings, and go-arounds;
(viii) Fundamentals of flight;
(ix) Performance maneuvers;
(x) Ground reference maneuvers;
(xi) Slow flight, stalls, and spins;
(xii) Basic instrument maneuvers;
(xiii) Emergency operations; and
(xiv) Postflight procedures.

# AVIA 1500
# INTRODUCTION TO FLIGHT
# 1 Credit Hours

*Please read carefully each section of the syllabus and abide by its guidelines. Compliance with the syllabus will play a major role toward successful completion of your course. You should print the syllabus and refer to it throughout the semester.*

*University College students must earn one hour of credit by successful completion of AVIA1500 in order to graduate. Successful completion equates to a minimum grade of 'C' or better.*

## Course Objectives

At the end of this course, you should be able to:

1. Demonstrate, by passing a written test (which meets the pre-solo aeronautical knowledge requirements of FAR 61.87 (b), an understanding of the primary training aircraft used for the students first solo flight. The course introduces the student to the applicable sections of federal aviation regulations parts 61 and 91; airspace rules and procedures for the airport where the solo flight will be performed; and flight characteristics and operational limitations for the make and model of aircraft to be flown.
2. The student must have mastery of the following concepts:

    Federal aviation regulations related to solo flight;
    Aircraft operations;
    Flight school rules and procedures;
    Safety policies and procedures
    Aircraft control function
    System Operation
    Airport Traffic patterns
    Aircraft ground operations
    Basic principles of fight

## Classroom Procedure

### Classroom Meetings

Program counseling, enrollment into the appropriate FAA Part 141 flight course, and flight slot assignments will be completed the Monday or day before this class starts.

Class meetings will take place at the Millington Regional Jetport N7 hangar classroom.

## Prerequisites

- Accepted flight student status
- Valid 1st or 2nd Class FAA Aviation Medical Certificate

## Attendance

Attendance in all classes is required. All class time and material must be completed before the final exam will be issued.

## Required Textbooks

Introduction to Flight (By CTI Professional Flight Training)

DA20-C1 Flight Information Manual

Airplane Flying Handbook FAA-H-8083-3A

Pilot's Handbook of Aeronautical Knowledge FAA-H-8083-25A

Logbook

## Hardware Requirements

Student's are highly encouraged to purchase an iPad mini with wi-fi + cellular. The iPad mini with wi-fi and cellular have internal GPS, which will be used for all additional AVIA ground and flight courses.

Student's are also highly encourage to purchase an aviation headset. Students will have the opportunity once enrolled in the Part 141 flight course and assigned a flight instructor to start flying at the same time this course is offered.

## Grading Procedure

One final comprehensive written test will be given. A failing grade will be issued for any student who does not complete all the required modules for the course or receives a grade below 70% on the final exam. Students who receive a grade below 80% must study and retake this test; however, the original grade will be the one used to determine the final grade. The student will review their final exam with their assigned flight instructor who is authorizing the student to conduct their first solo flight. After the student reviews all incorrect answer with the instructor who will authorize them to conduct their first solo flight, they will receive an endorsement per FAR 61.87 (b).

Your success in this course will depend on your willingness to read and study all material presented.

## Grading Scale

Final Grades are calculated as follows. **You must make a C in this course to continue on in the program.**

90-100 - A
80-89 - B
70-79 – C

## Assignments and Participation

| Module | Reading Assignment | Topic | Points |
|---|---|---|---|
| Module 1 | Flight Information Manual & Basics of Flight | General Aircraft Info<br>Operating Limitations<br>Emergency Procedures<br>Normal Operating Procedures<br>Performance<br>Weight & Balance<br>Systems<br>Airplane Handling, Care and Service<br>Supplements | |
| Module 2 | Flight School Rules, Procedures & Safety | *Rules & Procedures*<br>*Training Course Outline*<br>*Aircraft Safety*<br>*Federal Aviation Regulations Part 61 & 91*<br>*Safety*<br>*Aircraft Checklists* | |
| Module 3 | *Airport and Flight in the Local Area* | *Airport Diagram and Information*<br>*Flight Patterns, Taxiways & Runways* | |

| | | | |
|---|---|---|---|
| | | *Radio Communication*<br>*Orientation & Local Flying Area*<br>*Time conversion*<br>*Light Gun Signals and Lost Communication*<br>*Practice Area Boundaries*<br>*Airspace Relating to First Solo* | |
| Module 4 | Final | Comprehensive final written test | *100* |

## Students With Disabilities

Qualified students with disabilities will be provided reasonable and necessary academic accommodations if determined eligible by the appropriate disability services staff. Prior to granting disability accommodations in this course, the instructor must receive written verification of a student's eligibility for specific accommodations from the disability services staff. It is the student's responsibility to initiate contact with their home institution's disability services staff and to follow the established procedures for having the accommodation notice sent to the instructor. A review of Federal Aviation Regulations Part 67 may be required with the Chief Flight Instructor or Assistant Chief Flight Instructor if a student does not meet the pre-requisite of a 1st or 2nd class FAA medical.

## Syllabus Changes

The instructor reserves the right to make changes as necessary to this syllabus. If changes are necessitated during the term of the course, the instructor will immediately notify students of such changes both by individual email communication and posting both notification and nature of change(s) on the course bulletin board.

## Technical Support

If you are having problems logging into your course, timing out of your course, using your course web site tools, or other technical problems, please contact the Help Desk by calling 901-678-8888

Appendix E.2

# AVIA 1600
# PRIVATE PILOT GROUND SCHOOL
# 3 Credit Hours

*Please read carefully each section of the syllabus and abide by its guidelines. Compliance with the syllabus will play a major role toward successful completion of your course. You should print the syllabus and refer to it throughout the semester.*

*University College students must earn three hours of credit by successful completion of AVIA1600 in order to graduate. Successful completion equates to a minimum grade of 'C' or better.*

Note: Any student who currently holds and FAA Private Pilot- Airplane certificate with Chief Pilot approval may challenge this course.

## Course Objectives

At the end of this course, you should be able to:

1. Demonstrate, and apply the aeronautical knowledge & skills learned in this course to the degree necessary to meet the prerequisites specified in Title 14 CFR Part 61 for the FAA aeronautical knowledge test "Private Pilot – Airplane".

## Course Procedures

### Classroom Meetings

This course will follow the approved flight schools Part 141 training course outline that has been approved by the FAA. Instruction may be one on one with the students assigned ground instructor or in a traditional ground school classroom & group setting at the Millington Regional Jetport N7 hangar. Course modules can take several lessons to complete required content.

### Prerequisites

- AVIA1500 or Chief Pilot/Assistant Chief Pilot approval
- Valid 1st or 2nd Class FAA Aviation Medical Certificate

### Attendance

Attendance in all classes is required. If you are absent from a class, you must makeup this time in order to meet FAA ground school time guidelines. All makeup's not completed in one week from the date you returned to class will result in a 5% decrease in the students final grade (this may be waived by the instructor considering the absences circumstances). A failing grade will be given if a student fails to complete all of the required time and content of the course as listed in the CTIPFT Training Course Outline (TCO) by the last day of this class. All class time and material must be completed before the final exam will be issued.

## Required Textbooks

Appendix E.2

Private Pilot Manual (Jeppesen Sanderson Training Products)

Pilot's Handbook of Aeronautical Knowledge FAA-H-8083-25A

Airplane Flying Handbook FAA-H-8083-3A

Flight Computer E6B

Plotter

Memphis Sectional Chart

DA20-C1 Flight Information Manual

Private Pilot FAA Knowledge Test book – Irvin N. Gleim, Garrett W. Gleim, ISBN: 978-58194-513-3

Current Airport Facility Directory

Current FAR/AIM

## Hardware Requirements

Student's are highly encourage to purchase an iPad mini with wi-fi + cellular. The iPad mini with wi-fi and cellular have internal GPS, which will be used for all additional AVIA ground and flight courses.

Student's are also highly encourage to purchase an aviation headset. Students will have the opportunity once enrolled in the Part 141 flight course and assigned a flight instructor to start flying at the same time this course is offered.

## Grading Procedure

Tests will include three stage exams and two end of course exams. Any exam, daily quiz, homework assignment not passed per the lesson completion standards with a minimum of 80% will have to be rewritten to a passing grade. Your original 1st take grade will be the grade entered. Your retake grade will not count towards your final grade and is a requirement of the FAA. All retakes are due the following class period. Failure to hand in a retake will result in a 2% decrease in your final grade for every class period in which the retake is not handed in.

## Grading Scale

Final Grades are calculated as follows. **You must make a C in this course to pass.**

90-100 - A
80-89 - B
70-79 – C

| | |
|---|---|
| Stage Exam I | 10% of final grade |
| Stage Exam II | 10% of final grade |
| Stage Exam III | 10 % of final grade |
| End of Course Exam I | 35% of final grade |
| End of Course Exam II | 35% of final grade |

Appendix E.2

## Assignments and Participation

| Module | Reading Assignment | Academic Content: | Points |
|---|---|---|---|
| Module 1 | Private Pilot Manual – Chapter 1 Discovering Aviation | • Pilot Training<br>• Aviation Opportunities<br>• Introduction to Human Factors | |
| Module 2 | Private Pilot Manual – Chapter 2 Airplane Systems | • Airplanes<br>• The Powerplant and Related Systems<br>• Flight Instruments | |
| Module 3 | *Private Pilot Manual – Chapter 3 Aerodynamic Principles* | • Four Forces of Flight<br>• Stability<br>• Aerodynamics of Maneuvering Flight | |
| Module 4 | *Private Pilot Manual – Chapter 4 The Flight Environment* | • Safety of Flight<br>• Airports<br>• Aeronautical Charts<br>• Airspace | |
| Module 5 | *Private Pilot Manual – Chapter 5 Communication and Flight Environment* | • Radar and ATC Services<br>• Radio Procedures<br>• Sources of Flight Information | |
| Module 6 | *Private Pilot Manual – Chapter 1 through Chapter 5* | Stage 1 Exam<br><br>• Airplane Systems<br>• Aerodynamic Principles<br>• The Flight Environment<br>• Communication and Flight Information | *10%* |
| Module 7 | *Private Pilot Manual – Chapter 6* | • Basic Weather Theory<br>• Weather Patterns<br>• Weather Hazards | |

Appendix E.2

| | | | |
|---|---|---|---|
| | | | |
| Module 8 | *FAR/AIM Manual or FAR/AIM CD-ROM Private Pilot FAR's* | • FAR Part 1, 39, 43, 61, 91, NTSB 830 | |
| Module 9 | *Private Pilot Manual – Chapter 7 Interpreting Weather Data* | • The Forecasting Process<br>• Printing Reports and Forecasts<br>• Graphic Weather Products<br>• Sources of Weather Information | |
| Module 10 | *Private Pilot Manual – Chapters 6 and 7, FAR/AIM – Private Pilot FAR* | Stage II exam<br><br>• Meteorology for Pilots<br>• Federal Aviation Regulations<br>• Interpreting Weather Data | *10%* |
| Module 11 | *Private Pilot Manual – Chapter 8 Airplane Performance*<br>*DA20 Flight Information Manual* | • Predicting Performance<br>• Weight and Balance<br>• Flight Computers | |
| Module 12 | *Private Pilot Manual – Chapter 9 Navigation* | • Pilotage and Dead reckoning<br>• VOR Navigation<br>• ADF Navigation<br>• Advanced Navigation | |
| Module 13 | *Private Pilot Manual – Chapter 10 Applying Human Factors Principles* | • Aviation Physiology<br>• Aeronautical Decision Making | |
| Module 14 | *Private Pilot Manual – Chapter 11 Flying Cross-Country* | • The Flight Planning Process<br>• The Flight | |
| Module 15 | *Private Pilot Manual – Chapter 8-11* | Stage III Exam<br><br>• Airplane Performance<br>• Navigation<br>• Human Factors Principles<br>• Aeronautical Decision | *10%* |

| | | | |
|---|---|---|---|
| | | Making<br>• Flying Cross-Country | |
| Module 16 | *Private Pilot Manual – Chapter 1-11* | End of Course Practice Exam "1" | *35%* |
| Module 17 | *Private Pilot Manual – Chapter 1-11* | End of Course Practice Exam "2" | *35%* |

## Guidelines for Communications

### Email

- Always include a subject line.
- Remember without facial expressions some comments may be taken the wrong way. Be careful in wording your emails. Use of emoticons might be helpful in some cases.
- Use standard fonts.
- Do not send large attachments without permission.
- Special formatting such as centering, audio messages, tables, html, etc. should be avoided unless necessary to complete an assignment or other communication.
- Respect the privacy of other class members

## Students With Disabilities

Qualified students with disabilities will be provided reasonable and necessary academic accommodations if determined eligible by the appropriate disability services staff. Prior to granting disability accommodations in this course, the instructor must receive written verification of a student's eligibility for specific accommodations from the disability services staff. It is the student's responsibility to initiate contact with their home institution's disability services staff and to follow the established procedures for having the accommodation notice sent to the instructor. A review of Federal Aviation Regulations Part 67 may be required with the Chief Flight Instructor or Assistant Chief Flight Instructor if a student does not meet the pre-requisite of a 1st or 2nd class FAA medical.

## Syllabus Changes

The instructor reserves the right to make changes as necessary to this syllabus. If changes are necessitated during the term of the course, the instructor will immediately notify students of such changes both by individual email communication and posting both notification and nature of change(s) on the course bulletin board.

## Technical Support

If you are having problems logging into your course, timing out of your course, using your course web site tools, or other technical problems, please contact the Help Desk by calling 901-678-8888.

# Memorandum of Understanding (MOU)
# Between
# Millington Airport Authority, Crew Training International, & BWSC

**PARTIES:** Millington Airport Authority (MAA)
CTI Professional Flight Training (CTI)
Barge, Waggoner, Sumner, & Cannon (BWSC)

**SUBJECT:** Rehabilitation of Hangar N-7 as a Flight Training Academy

**Purpose:** MAA is currently expensing $1,363,000 to renovate Hangar N-7 for accommodation of student flight training. Crew Training International has placed a $4,500,000 order for training aircraft. The purpose of this document is to formalize the key items needed to establish a CTI Flight Training Academy at the Millington Regional Jetport.

1. **Project Timeline:** The following project schedule is established for renovation of Hangar N-7:
   - Design Development Drawings 5/27/14
   - 100% Construction Documents 6/30/14
   - Advertise for Bid Published 7/10/14
   - Bid Opening 8/1/14
   - Construction Notice to Proceed 8/11/14
   - Substantial Comp. (120 Days) 12/9/14
   - Initial Walkthrough & Punch List 12/10/14
   - Final Walkthrough 12/17/14

2. **Weekly Telecons:** Beginning May 20, 2014, in so much as is practical, BWSC will host weekly telecons on Tuesdays at 9:00 AM until renovation of N-7 is complete. Invitees include: BWSC, Subconsultant(s), MAA, and CTI. Calls will cover previous week work accomplished, work assignments for current week, and approval/data needs from MAA/CTI.

3. **Occupancy Date:** January 1, 2015 pending successful negotiation of lease agreement between CTI and MAA, and receipt by MAA of proof of insurance naming MAA as an additional insured.

4. **Liquidated Damages:** Damages of not less than $200 per day against the contractor will be included in project contract documents for each day beyond 120 Calendar Days after NTP that a Notice of Substantial Completion has not been received. Exception will be granted for unforeseen events of extraordinary nature that impede the proposed construction schedule.

5. **Shade Ports:** Pending signed lease agreement, CTI may lease from MAA the asphalt area northwest of N-7 at the initial rate of $0.09 PSFPY for the purpose of milling/constructing pavements, and erecting Shade Port structures. Any construction thereon will be subject to FAA 7460 airspace approval, engineering review, and MAA approval. It is agreed that CTI will be responsible for removal of said structure(s) if requested by MAA at such time that CTI does not renew its lease of the area.

---

| Millington Airport Authority | Crew Training International | Barge, Waggoner, Sumner, Cannon |
|---|---|---|
| **By:** Roy Remington, C.M, | **By:** Alan Mullen | **By:** Randy Hudgings, P.E. |
| **Executive Director** | **President** | **Director - Aviation Services** |
| **Signature:** Roy Remington | **Signature:** Alan Mullen | **Signature:** ____________ |
| **Date:** 5/9/14 | **Date:** 5/8/2014 | **Date:** ____________ |

Page 1 of 1

# 8.2. Tenure Upon Appointment

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Academics, Research, & Student Success Committee**

Item: **Approval of Tenure upon Appointment**

- **i. Dr. Aram Dobalian, Professor Director of Division of Health Systems Management and Policy**
- **ii. Dr. Shelley Keith, Associate Professor Criminology and Criminal Justice**
- **iii. Dr. Michael Monahan, Associate Professor Philosophy**

Recommendation: Approval

Presented by: Karen Weddle-West, Ph.D., Provost/Director of Diversity Initiatives

**Background**:
Dr. Aram Dobalian will begin his position as Professor and Director of Division of Health Systems Management and Policy in the School of Public Health Fall 2017. He previously served as Director of the Veterans Emergency Management Evaluation Center at VA Greater Los Angeles Healthcare System. Dr. Dobalian's offer letter and curriculum vitae follow in Appendix D.

Dr. Shelley Keith will begin her position as Associate Professor in the Department of Criminology and Criminal Justice Fall 2017. She previously served as Associate Professor in the Department of Sociology at Mississippi State University. Dr. Keith's offer letter and curriculum vitae follow in Appendix E.

Dr. Michael Monahan will begin his position as Associate Professor in the Department of Philosophy Fall 2017. He previously served as Associate Professor of Philosophy at Marquette University. Dr. Monahan's offer letter and curriculum vitae follow in Appendix F.

**Committee Recommendation:**
The Academics, Research, & Student Success Committee met June 6, 2017, and recommends the board grant tenure to Drs. Dobalian, Keith, and Monahan upon appointment.

# The University of Memphis
# School of Public Health

*Memorandum*

Date: April 10, 2017

From: Satish Kedia, PhD, Chair, School of Public Health Tenure and Promotion Committee

T&P Committee members: Drs. Hongmei Zhang, Kenneth Ward, Lisa Klesges, Marian Levy, and Wilfried Karmaus

To: Professor Jim Gurney, PhD, Interim Dean, School of Public Health

Re: Committee report for Dr. Aram Dobalian's tenure and promotion to Full Professor

The School of Public Health (SPH) Tenure and Promotion Committee reviewed Dr. Aram Dobalian's materials via email communication during the week of April 3, 2017 for an expedited review for his tenure. Dr. Dobalian has been offered a position of Professor and Director of Division of Health Systems Management and Policy (HSMP), starting Fall 2017. Given his current academic rank as full professor and prior work experience consistent with this rank, he is being considered for exemption from the usual six-year pre-tenure probationary period.

The review process for Dr. Dobalian was as follows: The T&P Committee for this review consisted of all tenured Full Professors in the SPH, except for the Interim Dean. Each committee member had the opportunity to review the candidate's materials. His CV and reference letters from the external reviewers received at the time of his interview for this position were circulated to the committee members. The committee members were given the option to convene a meeting, if so desired. Committee members chose to send theirs votes via email to the committee chair. At the end of the process, the committee chair compiled all votes and drafted this recommendation letter. All members had the opportunity to review and comment on the draft letter, ensuring that the views of all members were appropriately incorporated. This final memo represents the consensus opinion and recommendation of the T&P Committee. Dr. Dobalian's accomplishments in each of the three major areas of tenure criteria (i.e., teaching, scholarship, and service) are discussed below:

Dr. Dobalian received a PhD in Health Services Statistics in 2001 from the University of California, Los Angeles in 2001. He also has an MPH with Health Services Organization concentration from the University of California, Los Angeles in 1996 and a J.D. Law degree from Whittier Law School, Costa Mesa, CA in 1995.

*Teaching and Mentorship:* Dr. Dobalian has adequate experience teaching graduate level courses. He has taught three courses at the University of California, Los Angeles: Health Systems Organization and Financing (2-semester sequence), Health Services Organization, and Ethical Issues in Healthcare Policy and Management, in addition to directed student self-study and student research. At University of Florida, Dr. Dobalian taught five courses: Legal Issues and Health Administration, Legal Aspects of Health Administration, Ethical Issues in Health Administration, Community-Based Health System Analysis, and

Research Foundations of Health Policy. He has served as a member on two doctoral dissertation committees and provided mentorship to two postdoctoral fellows.

*Scholarship:* Dr. Dobalian's research has focused primarily on public health preparedness and response. He has obtained 19 grants, the majority of them from federal sources (VAMC, NIH, and AHRQ), as either PI or Co-PI. Dr. Dobalian has 70 peer-reviewed publications in respectable journals, 17 as first author. He also has 94 conference presentations. One reviewer commented, "Dr. Dobalian has an extremely strong research and publication portfolio, consistent in quantity and focus with our most successful peers. There is no need to restate the basic facts....highly successful grantsmanship, resulting in many millions of dollars awarded, in an increasingly competitive environment, resulting in numerous high-visibility and high-impact publications." Another reviewer wrote, " Dr. Dobalian has a most impressive resume, with 80 journal articles published or submitted, and is a leading national expert in two particular areas of public health: emergency preparedness and management, and response to public health disasters... [these publications have] allowed him to rise to national prominence and has enabled him to effect changes in the VA, nationally."

*Administration and Service:* Dr. Dobalian has strong leadership experience. He has been the Director of the Veterans Emergency Management Evaluation Center at the Los Angeles Veterans Administration Medical Center. This center's mission including research, education, and practice in public health emergency preparedness and response. As center director, Dr. Dobalian manages approximately two dozen faculty and staff members and oversees a $2.5 million annual budget. He formerly was an Assistant Professor at University of Florida and Associate Director for Executive Education Programs in Healthcare Management and Policy at UCLA. In this latter role, he co-led successful accreditation efforts for CAHME and NCHL.

Dr. Dobalian has been active in service to the profession. He has served as a peer reviewer for 17 journals and a guest editor for a special issue of *Disaster Medicine and Public Health Preparedness* commemorating the 10th anniversary of 9/11. He has been a grant reviewer eight times, an abstract reviewer for conferences three times, and a textbook reviewer. In addition, he has participated in 20 workgroups and other professional associations, including four times as chair and twice as either co-chair or co-director at the national level.

*Overall Summary and Recommendation:* The committee felt that Dr. Dobalian's prior administrative, teaching, and research experiences will be very useful to effectively manage the HSMP division, build the Health Systems and Policy PhD program, and provide mentorship to junior faculty. In addition, his research expertise in emergency preparedness would be relevant to the Memphis community and would likely be a fundable area of research. The T&P committee agreed that Dr. Dobalian's accomplishments are consistent with expectations of the School of Public Health and The University of Memphis for tenure.

The SPH T&P Committee voted 6 Yes/0 No in favor of recommending that Dr. Dobalian to receive tenure.

The University of Memphis offers a comprehensive benefits program. To learn about the benefits available to faculty, please visit the Human Resources website at http://bf.memphis.edu/hr/benefits/faculty.php.

In addition to the aforementioned salary and benefits, your start-up package will include $30,000 in discretionary seed money, office space and furniture, and a desktop computer. Discretionary funds will be housed in a School account and are expected to cover any personnel costs as well as supplies and equipment for your research endeavors.

In addition, the university will provide a one-time signing bonus of $15,000, and a moving allowance of $10,000. Please sign the attached moving allowance form and return it with this offer letter.

To process your appointment, an official transcript is required. Please have the institution that awarded your highest degree submit an official transcript directly to The University of Memphis, Office of Faculty Administrative Services, 374 Administration Building, Memphis, TN 38152-3120.

Shortly after you return this offer letter, you will receive an email from "Application Station" asking you to fill out a form. Please watch for this email as it triggers the final step in the hiring process.

The foregoing contract terms are contingent upon the approval of the Provost, the President of the University, and the Board of Trustees as necessary. Please return your signed acceptance as soon as possible so that processing of your appointment can proceed.

Sincerely,

J. Gurney

James G. Gurney, Ph.D.
Professor and Interim Dean

I accept this offer of employment:

Aram Dobalian

Aram Dobalian, PhD

Date 3/23/2017

THE UNIVERSITY OF
MEMPHIS.
School of Public Health

March 22, 2017

Dr. Aram Dobalian
1652 Amherst Avenue
Los Angeles, CA 90025-3616

Dear Dr. Dobalian:

I am pleased to offer you an appointment as a tenured full Professor and Director of the Division of Health Systems Management and Policy in the School of Public Health at The University of Memphis. The tenure designation is pending approval of the Board of Trustees. The Director reports to and serves at the discretion of the Dean of the School of Public Health. The appointment will commence on August 21, 2017. Your compensation package will include a 9-month base salary (institutional base pay) of $138,720 for the fall and spring semesters. The salary will be paid in twelve monthly payments, in accordance the University of Memphis policy #1613, with the first monthly payment at the end of September 2017. Starting May 2018, 10% summer salary support ($13,872 per year) will be provided to you for the first two years of your appointment.

The research compensation program at the University of Memphis allows faculty to enhance their 9-month institutional base pay upon successful awarding of external grants and contracts. You may negotiate with your Dean to receive up to a maximum of 50% of academic year salary recovery as an additional salary amount.

Your initial effort allocation will be 35% teaching and student advising, 30% research and scholarship, and 35% administrative responsibilities directing the Division. With your input, the Dean will determine effort allocation in subsequent years. The teaching loads as stated in this letter are subject to your productivity in research and scholarship, as well as the University's financial resources.

Your primary responsibilities as Director will involve direction and further development of research and academic programs in the Division of Health Systems Management and Policy. Responsibilities will include overseeing the academic graduate programs; maintaining all requirements, regulations, and documentation required for reaccreditation by CAHME, CEPH, and SACS; managing budgets; supervising, mentoring, and evaluating faculty; participating as a member of the Dean's Executive Committee; and participating in strategic planning and implementation of programs and initiatives for the School of Public Health.

16111 PLUMMER ST. MS-152 • NORTH HILLS, CA 91343
PHONE: (818) 891-7711, EXT. 36102 • E-MAIL: ARAM.DOBALIAN@UCLA.EDU

# ARAM DOBALIAN

## EDUCATION

**University of California, Los Angeles** Los Angeles, CA
**School of Public Health**
*Ph.D., Health Services Research* September 2001

- Dissertation: Advance directives and resource use in nursing homes.
- Dissertation committee: Ronald M. Andersen, PhD (chair); Patricia A. Ganz, MD; Ron D. Hays, PhD; Thomas H. Rice, PhD; John F. Schnelle, PhD.
- Cognate in Social Psychology.

**University of California, Los Angeles** Los Angeles, CA
*M.P.H., Health Services Organization* June 1996

**Whittier Law School** Costa Mesa, CA
*J.D., Law* May 1995

- Editor-in-Chief of Whittier Law Review.

**Vanderbilt University** Nashville, TN
*B.S., Physics; Minor, Mathematics* May 1992

## HONORS AND FELLOWSHIPS

**Department of Veterans Affairs**

- Special Contribution Award, Emergency Management Strategic Healthcare Group/VA Office of Public Health and Environmental Hazards, 2009, 2010 (contributions to research on emergency management within VA)
- Performance Award, VA Greater Los Angeles Healthcare System, 2011

**University of California, Los Angeles**

- UCLA Graduate Division Research and Conference Grant, 1999.
- Honorable Mention, Laurence G. Branch Student Research Award (Gerontological Health Section of the American Public Health Association), 2000.
- Agency for Healthcare Research and Quality Pre-doctoral Traineeship Grant, 2000-01.
- Delta Omega Honorary Society in Public Health, 2007; Inducted as a faculty member in honor of teaching and research in public health.
- Upsilon Phi Delta National Academic Honor Society in Healthcare Administration, 2010.

**Whittier Law School**

- Eugene S. Mills Scholarship, 1994-95.
- Whittier Law Review: Editor-in-Chief, 1994-95; Member, 1993-95
- Moot Court Honors Board, 1994-95.
- American Jurisprudence Awards: Law Review, 1994 and 1995; Moot Court Oral Argument, 1994.

**Vanderbilt University**

- Marvin P. Freedman Scholarship, 1987-88.

## PROFESSIONAL EXPERIENCE

**VA Greater Los Angeles Healthcare System** Sepulveda, CA

**Veterans Emergency Management Evaluation Center (VEMEC)**

*Director* July 2010 – present

- Directs and manages research program of 18 full-time and part-time faculty located across the nation (most hold academic appointments) and 25 additional personnel with diverse professional backgrounds. Manages annual budget of about $2.3+ million. As the Director, oversees all of the Center's activities, including its applied research and evaluation projects. These projects are designed to build an evidence base to improve the conduct of VA's emergency management operations.
- Provides strategic planning and direction in the initiation and integration of the Center's research enterprise. Provides guidance to staff on development and coordination of research projects. Responsible for the development and implementation of the Center's strategic plan and the management of its research infrastructure and operations to assure a productive research environment. Responsible for development of marketing and dissemination program. Responsible for professional development of full-time faculty and staff. Reports to the Steering Committee of VEMEC.
- My research primarily focuses on public health preparedness and response, including the development of performance metrics, community health resilience, leadership, facility evacuation, workforce readiness, and behavioral health.
- VA funded little research on disasters prior to a consensus development effort I proposed and led during 2008 and 2009. In 2008, sought and obtained support from senior leaders of multiple VA program offices in Washington, DC, for a strategic plan to position VA as a national leader in disaster research by having VA serve as a "laboratory" for developing evidence-based emergency management practices. Brought together researchers, emergency management practitioners, clinicians, and academicians from VA, NIH, AHRQ, CDC, ASPR, DoD, various CDC-funded university preparedness centers, state public health departments, and other organizations to identify strategic priorities for a VA research agenda and propose

options for building disaster research capacity within VA. Ultimately led to the founding of VEMEC.

- VEMEC's work focuses on cutting-edge policy and operations questions that support VA's public health preparedness and response responsibilities – to ensure timely access to high quality health care for Veterans during emergencies and disasters, and to support national, state, and local emergency management, public health, safety, and homeland security efforts.

**VA Greater Los Angeles Healthcare System** Sepulveda, CA
**HSR&D Center of Excellence for the Study of Healthcare Provider Behavior**
*Research Health Scientist* July 2004 – present

- Principal Investigator on VA and other federally-funded grants.
- Merit Review Entry Program (Career Award) recipient (July 2004 - Sept. 2007).

**University of California, Los Angeles** Los Angeles, CA
**Department of Health Policy and Management at Jonathan and Karin Fielding School of Public Health & School of Nursing**
*Adjunct Professor* July 2015 – present
*Associate Adjunct Professor* July 2008 – June 2015
*Assistant Adjunct Professor* April 2005 – June 2008
*Associate Director for Executive Education Programs in Healthcare Management and Policy* July 2006 – July 2007
*Visiting Assistant Professor* September 2004 – April 2005

- Secondary Appointment in Nursing effective July 2011.
- Teaching and mentoring/advising responsibilities for graduate-level Executive Master of Public Health (EMPH) program for returning professionals. Health Services Systems Track Leader: August 2005-June 2006.
- For Executive Education Programs, assisted Director with programmatic activities including strategic planning, financial and staff management, faculty recruitment and oversight (22 faculty), curriculum oversight, marketing (including advertising and branding), and student admissions, July 2006-July 2007. Co-led CAHME and NCHL accreditation efforts for EMPH program. Co-led development of Global Health Certificate Program. Worked with recruiters, executives, and managers to strengthen partnerships outside the program and build its visibility in the region.
- Committees: Admissions 2006-2009; Advisory Board for EMPH 2006-2010 (*ex-officio* 2006-2007); Healthcare Collaborative Board 2006-2007. Ad hoc committee to review future curriculum development in Dept. of Health Services self-sustaining programs, 2010.

**University of Florida** Gainesville, FL

**Department of Health Services Research, Management & Policy, College of Public Health and Health Professions**
(formerly the Department of Health Services Administration, College of Health Professions)

*Assistant Professor* July 2001 – June 2004

- Research, grant-writing, teaching, and mentoring/advising responsibilities for Ph.D., Executive M.H.A., traditional M.H.A., and M.P.H. programs.
- Member, Ph.D. and M.H.A. committees. Member, Committee to Develop College of Public Health. Member, Executive Search Committee for Recruitment of Public Health Faculty. Departmental Representative, M.P.H. program. Member, Minority Mentor Program.

**UCLA, School of Public Health** Los Angeles, CA
*Research Associate (with Ronald M. Andersen, PhD)* March 1999 – Jur

- Secondary analysis of data from HIV Cost and Services Utilization Study (HCSUS). Examined relationships among HIV severity, oral health status, and dental services utilization using structural equation modeling (using EQS).

**RAND Corporation** Santa Monica, CA
*Resident Consultant (with Kimberly Jinnett, PhD)* June 1999 – June 20(

- Conducted qualitative research of practitioners and administrators at organizations in Los Angeles that provide care for persons living with HIV and serious and persistent mental illness (using Atlas/ti).

**Agency for Healthcare Research and Quality** Rockville, MD
**Center for Cost and Financing Studies**
*Program Analyst (with D.E.B. Potter, MS)* July – October 2000

- Analyzed and edited medical provider use data from the 1996 Nursing Home Component of the Medical Expenditures Panel Survey for creation of "public use file" (using SAS and Stata). Assisted in development of imputation schemes for missing data.

**Peekskill Area Health Center** Peekskill, NY
*Consultant (with Robert O. Valdez, PhD)* June 1997 – Feb. 1999

- Analyzed patient-centered care models (e.g. Planetree) for implementation in clinic.

**UCLA, Neuropsychiatric Institute** Los Angeles, CA
*Research Associate (with Kenneth B. Wells, MD, MPH)* Summer 1997

- Conducted research on state and federal legislation impacting mental health, alcohol abuse, and substance abuse.

**National Health Law Program, Inc.** Los Angeles, CA
*Volunteer Attorney* July – Sept. 1996

- Conducted research on section 1115 Medicaid waivers with emphasis on adolescent health care, cultural and linguistic accessibility, and consumer involvement. Analyzed legislation governing state and local responsibility for indigent health care.

**Medical Group for Eyes** — Los Angeles, CA
*Administrative Manager* — 1992 – 1996

- Management, marketing, and purchasing responsibilities.

**Whittier Law Review** — Costa Mesa, CA
*Editor-in-Chief* — Summer 1994 – Spring 1995

- Planning of journal and management of editorial board and staff. Editing. Implemented successful desktop publishing system.

## RESEARCH SUPPORT (ONGOING)

- Principal Investigator and Director; Veterans Health Administration (VHA) Office of Public Health (OPH); XVA 65-020; "Veterans Emergency Management Evaluation Center (VEMEC)." 7/12/2010-9/30/2016. Total Costs: $12,816,819 (FY10: $26,000; FY11: $820,000; FY12: $2,042,692; FY13: $2,267,000; FY14: $3,127,127; FY15: $2,267,000; FY16: $2,267,000; FY17: $2,467,000).
  - VEMEC projects: "Big data" analyses of Hurricanes Ike & Sandy on health status and utilization; Manhattan VA medical center evacuation after Hurricanes Irene and Sandy; Home-based primary care (home health) preparedness and practitioner toolkit; VA and non-VA interorganizational collaboration on emergency preparedness; Team Rubicon, reintegration and readjustment to civilian life, mental health status, rapid response research; Homeless shelter continuity of operations and organizational preparedness; Toolkit to integrate the needs of the homeless into preparedness planning; VA medical center & regional network disaster readiness; ISO 9001 quality metrics & standards development for VA emergency management; Computer simulation modeling (with Sandia National Laboratories) on hospital resilience and influenza vaccination; Veteran survey of risk communication preferences and access to care; Veteran survey of community resilience; VA's Disaster Emergency Medical Personnel System survey on training, education, and readiness to deploy for disaster response; National Call to Action to promote nursing readiness and leadership in preparedness and response; Practitioner toolkit to promote patient disaster preparedness; Porter Ranch gas leak, health status and healthcare utilization

## RESEARCH SUPPORT (COMPLETED)

- National Research Service Award (Pre-doctoral Traineeship) (PI: R Andersen); 5T32HS000046-09, Agency for Healthcare Research and Quality. "UCLA/RAND Health Services Research Training Program." 7/1/2000-6/30/2001. Total Costs: $15,060.
- Principal Investigator; P. A. Foote Small Grants Program in Health

Outcomes and Pharmacoeconomics Research; "Palliative Care Pharmacy, 'Winning Through Care and Consistency.'" 4/2002-4/2003. Total Costs: $5,000.

- Co-Investigator (PI: RP Duncan); Contract No. 230-02-0006, American Medical Student Association Foundation (Health Resources and Services Administration). "Evaluation of the Leadership Seminar Series." 10/1/2002 – 9/30/2007. Total Costs: $194,375.
- Lead Investigator (PI: R Frank); Contract No. M0344, Florida Agency for Health Care Administration (AHCA). "Evaluation of the Bristol-Myers-Squibb sponsored Disease Management Programs for Florida Medicaid Populations." (Lead Investigator for "Behavioral Wellness Project" – Depression Disease Management). 5/16/2003 – 6/30/2004. Total Costs: $576,944.
- Co-Principal Investigator (PI: JCI Tsao); 1 R04RH01310, Health Resources and Services Administration (HRSA); "Impact of bioterrorism on rural mental health needs." 9/1/2003-8/31/2004. Total Costs: $150,000.
- Co-Investigator (PI: RP Duncan); Contract No. 230-02-0006 (1-P09OA01680-0100), Florida Agency for Health Care Administration/HRSA. Developing a Strategic Plan to Extend Health Insurance to More Floridians. 11/1/2003 – 11/30/2004. Total Costs: $916,872.
- Co-Principal Investigator (PI: JCI Tsao); 1 R03DA017026, National Institute on Drug Abuse (NIDA); "Pain and drug abuse in HIV: Impact on health services." 6/1/04-5/31/07. Total Costs: $154,000.
- Principal Investigator; 1 U01HS14355, 7 U01HS014355, Agency for Healthcare Research and Quality (AHRQ); "Bioterrorism preparedness in rural and urban communities." 9/30/2003-9/29/2007. Total Costs: $889,072.
- Principal Investigator; MRP 03-328, Merit Review Entry Program (MREP) career development award (Primary Mentor: Lisa V. Rubenstein, MD, MSPH; Co-Mentors: Debra Saliba, MD, MPH & Elizabeth M. Yano, PhD); VHA HSR&D Service. "Advance directives and resource use in VA nursing homes." 7/01/04-9/30/07 (Focus shifted to public health emergency preparedness in 2006). Total Costs: $323,699 (approx.).
- Principal Investigator; RRP 06-134; VHA HSR&D Service. "Evacuation of veterans from nursing homes due To Katrina and Rita." 10/01/06-9/30/07. Total Costs: $49,990.
- Principal Investigator; SHP 08-159, Veterans Health Administration (VHA) Health Services Research and Development (HSR&D) Service. "Understanding Variations in the IRB Review Process: Pilot Study." 4/1/2008-9/30/2008. Total Costs: $74,971.
- Evaluation Manager; Office of the National Coordinator for Health Information Technology (ONCHIT) subcontract from Long Beach Network for Health; Nationwide Health Information Network Trial Implementation. 9/30/2007-9/29/2008. Total Costs: $45,898 (subcontract costs only).

- Principal Investigator; Veterans Health Administration (VHA) Office of Public Health & Environmental Hazards (OPHEH); XVA 65-012; "Developing a Comprehensive VA Emergency Preparedness and Response Research Agenda." 10/1/2008-9/30/2009. Total Costs: $140,000.
- Principal Investigator; Veterans Health Administration (VHA) Office of Public Health & Environmental Hazards (OPHEH); XVA 65-012; "2010 VHA Comprehensive Emergency Management Program Evaluation and Research Conference." 10/1/2009-9/30/2010. Total Costs: $92,000.
- Principal Investigator; Robert Wood Johnson Foundation (RWJF); (co-PI: J. Needleman); 64104; "Inaugural Conference on Innovations in Nursing Education: Evaluation of the VA Nursing Academy." 12/15/2008-12/14/2010. Total Costs: $399,924.
- Principal Investigator; Veterans Health Administration (VHA) Office of Academic Affiliations (OAA) (co-PI: J. Needleman); XVA 65-010; "Program Evaluation of the VA Nursing Academy: Enhancing Academic Partnerships Program." 10/1/2007-9/30/2013. Total Costs: $1,882,550.
- Principal Investigator; VHA Office of Emergency Management (OEM). XVA 65-048; "Technical Assessment of the VHA EMCAP (Emergency Management Capabilities Assessment Program)." 10/1/2012-9/30/14. Total Costs: $589,946 (FY13: $255,593; FY14: $334,535).
- Co-Investigator (PI: D Hall); SDR 11-39, VA HSR&D. "Describing Variation in IRB Efficiency, Quality and Procedures." 7/1/2012-12/31/2014. Total Costs: $7,014 (Dobalian only).
- Principal Investigator; VHA OEM. "Impact of Hurricane Sandy on Veterans: Aftermath of Hurricane Sandy on VA Users." 6/3/2013-12/30/2015. Total Costs: $305,000.

## TEACHING EXPERIENCE

| | |
|---|---|
| **University of California, Los Angeles** | Los Angeles, CA |
| *Adjunct Professor* | July 2015 – present |
| *Associate Adjunct Professor* | July 2008 – June 2015 |
| *Assistant Adjunct Professor* | April 2005 – June 2008 |
| *Visiting Assistant Professor* | September 2004 – April 2005 |

- Teaching has primarily focused on health systems, health policy, and health ethics. Currently teach two classes. Student teaching evaluations consistently rank between mean scores of 8.2 and 8.7 on a scale of 1 to 9.
- Graduate teaching in Executive M.P.H. program; Guest lecturer for traditional (day) graduate program.
- Courses: Health Systems Organization and Financing HPM 200A (formerly HS 200A) (Fall 2005, Fall 2006, Fall 2007, Fall 2008, Fall 2009, Fall 2010, Fall 2011, Fall 2012, Fall 2013, Fall 2014, Fall 2015, Fall 2016). Health Systems Organization and Financing HPM 200B

(formerly HS 200B) (Winter 2005, Winter 2006, Winter 2007, Winter 2008, Winter 2009, Winter 2010, Winter 2011, Winter 2012, Winter 2013, Winter 2013, Winter 2014; Winter 2015). Health Services Organization HPM 100 (formerly HS 100)(Spring 2007, Spring 2008. Spring 2016). Ethical Issues in Healthcare Policy & Management HPM 285 (formerly Special Topics in Health Services: Ethical Issues In Public Health HS M249L) (Spring 2007, Spring 2008, Fall 2008, Spring 2010, Spring 2011, Spring 2012, Spring 2013, Winter 2014; Winter 2015). Directed Individual Study and Research HS 596 (Spring 2007, Spring 2008, Spring 2010). Student Research Program Public Health 99 (Winter 2013).

**University of Florida** Gainesville, FL
*Assistant Professor* July 2001 – June 2004

- Graduate teaching in M.H.A., executive M.H.A., M.P.H. and Ph.D. programs.
- Courses: Legal Issues and Health Administration; Legal Aspects of Health Administration; Ethical Issues in Health Administration; Community-Based Health System Analysis; Research Foundations of Health Policy; Public Health Internship; Independent Study.

**University of California, Los Angeles** Los Angeles, CA
*Teaching Assistant (Special Reader)* September 1996 – June 2001

- Traditional MPH and MPH for Health Professionals programs.
- Courses: Practices of Evaluation in Health Services: Theory and Methodology; Health Services Organization and Financing; Health Policy Analysis and Management Techniques; Managed Health Care: Quality and Cost; Legal Environment of Health Services Management; Journal Review; Introduction to Biostatistics.

**California State University, Los Angeles** Los Angeles, CA
*Lecturer* January – March 2001

- Course: Community, Environmental safety, and Public Health Law.

**Chapman University** Orange, CA
*Lecturer* March – May 2000

- Course: Legal Aspects of Health Care.

**University of Redlands** Redlands, CA
*Adjunct Assistant Professor* September 1999 – February 2000

- Courses: Political and Legal Issues in Health Care Administration; Law for Business Administration.

## PEER-REVIEWED ARTICLES

- 1. Dobalian A. Copyright protection for the non-literal elements of computer programs: the need for compulsory licensing. Whittier Law Review. 1994. 15(4):1019-1074.
- 2. Dobalian A, Rivers PA. Accountability and quality in managed care: implications for health care practitioners. International Journal

of Health Care Quality Assurance. 1998. 11(4):137-142.

- 3. Dobalian A, Rivers PA. Ensuring quality and accountability in managed care. Journal of Health and Human Services Administration. 1998. 21(1):30-41.
- 4. Dobalian A, Andersen RM, Stein JA, Hays RD, Cunningham WE, Marcus M. The impact of HIV on oral health and subsequent use of dental services. Journal of Public Health Dentistry. 2003. 63(2):78-85.
- 5. Dobalian A, Tsao JCI, Radcliff TA. Diagnosed mental and physical health conditions in the United States nursing home population: Differences between urban and rural facilities. Journal of Rural Health. 2003. 19(4):477-483.
- 6. Dobalian A, Tsao JCI, Duncan RP. Pain and the use of outpatient services among persons with HIV: Results from a nationally representative survey. Medical Care. 2004. 42(2):129-138.
- 7. Tsao JCI, Dobalian A, Moreau C, Dobalian K. Stability of anxiety and depression in a national sample of adults with human immunodeficiency virus. Journal of Nervous and Mental Disease. 2004. 192(2):111-118.
- 8. Dobalian A. Nursing facility compliance with do-not-hospitalize orders. The Gerontologist. 2004. 44(2):159-165.
- 9. Johnson CE, Hedgecock DK, Oakley ML, Dobalian A, Salmon J, Hyer K, Polivka L. Predictors of lawsuit activity against nursing homes in Hillsborough County Florida. Health Care Management Review. 2004. 29(2):150-158.
- 10. Tsao JCI, Dobalian A, Naliboff BD. Panic disorder and pain in a national sample of HIV patients. Pain. 2004. 109(1-2):172-180.
- 11. Johnson CE, Dobalian A, Burkhard J, Hedgecock DK, Harman J. Factors predicting lawsuits against nursing homes in Florida 1997-2001. The Gerontologist. 2004. 44(3):339-347.
- 12. Johnson CE, Dobalian A, Burkhard J, Hedgecock DK, Harman J. Predicting lawsuits against nursing homes in the United States 1997-2001. Health Services Research. 2004. 39(6 Pt 1):1713-1732.
- 13. Johnson CE, Handberg E, Dobalian A, Gurol N, Pearson V. Improving perinatal and neonatal patient safety: The AHRQ patient safety indicators. Journal of Perinatal and Neonatal Nursing. 2005. Jan-Mar. 19(1):15-23.
- 14. Rivers PA, Dobalian A, Germinario FA. A review and analysis of the Clinical Laboratory Improvement Amendment of 1988: Compliance plans and enforcement policy. Health Care Management Review. 2005. 30(2):93-102.
- 15. Radcliff TA, Dobalian A, Duncan RP. A comparison of seasonal resident and year-round resident hospitalizations in Florida. Florida Public Health Review. 2005. 2:63-72.
- 16. Moseley R, Dobalian A, Hatch R. The problem with advance directives: Maybe it is the medium, not the message. Archives of Gerontology and Geriatrics. 2005. Sep-Oct;41(2):211-9.
- 17. Tsao JCI, Dobalian A, Myers CD, & Zeltzer LK. Pain and use of

complementary and alternative medicine in a national sample of persons living with HIV. Journal of Pain and Symptom Management 2005. Nov;30(5):418-432.

- 18. Tsao JCI, Dobalian A, Stein JA. Illness burden mediates the relationship between drug dependence and pain in persons living with HIV. Pain. 2005. Dec 15;119(1-3):124-32.
- 19. Tsao JCI, Dobalian A, Wiens BA, Gylys JA, Evans GD. Posttraumatic stress disorder in rural primary care: Improving care for mental health conditions following bioterrorism. Journal of Rural Health. 2006. Winter;22(1):78-82.
- 20. Dobalian A. Advance care planning documents in nursing facilities: Results from a nationally representative survey. Archives of Gerontology and Geriatrics. 2006. Sep-Oct;43(2):193-212.
- 21. Rivers PA, Dobalian A, Oyana TJ, Bae S. Socioeconomic determinants of planned methadone treatment. American Journal of Health Behavior. 2006. Sep-Oct;30(5):451-459.
- 22. Tsao JCI, Dobalian A, Wiens BA, Gylys JA, Clawson A, Brooks R. PTSD and substance use: Unrecognized sequelae of bioterrorism in primary care providers. Southern Medical Journal. 2006. Aug;99(8):817-22.
- 23. Radcliff TA, Dobalian A, Levy C. Do Orders Limiting Aggressive Treatment Impact Care for Acute Myocardial Infarction? Journal of the American Medical Directors Association. 2007 Feb;8(2):91-7. PMID: 17289538.
- 24. Tsao JCI, Stein JA, Dobalian A. Pain, problem drug use history, and aberrant analgesic use behaviors in persons living with HIV. Pain. 2007 Dec 15;133(1-3):128-37. Epub 2007 Apr 20. PMID: 17762692.
- 25. Dobalian A, Tsao JCI, Putzer GJ, Menendez SM. Improving rural community preparedness for the chronic health consequences of bioterrorism and other public health emergencies. Journal of Public Health Management and Practice. 2007. Sep/Oct;13(5) :476-80. PMID: 17762692.
- 26. Dobalian A, Rivers PA. Racial and ethnic disparities in the use of mental health services. Journal of Behavioral Health Services & Research. 2008 Apr;35(2):128-41. Epub 2007 Dec 12. PMID: 18074230.
- 27. Dobalian A, Claver M, Fickel JJ. Hurricanes Katrina and Rita and the Department of Veterans Affairs: A Conceptual Model for Understanding the Evacuation of Nursing Homes. Gerontology. 2010;56(6):581-8. Epub 2010 Mar 24. PIMD: 20332609.
- 28. Tsao JCI, Stein JA, Dobalian A. Sex Differences in Pain and Misuse of Prescription Analgesics Among Persons with HIV. Pain Med. 2010 Jun;11(6):815-24. Epub 2010 Apr 29. PMID: 20456074.
- 29. Pevnick J, Claver ML, Dobalian A, Asch SM, Stutman H, Tomines A, Fu, Jr. P. Provider Stakeholders' Perceived Benefit from a Nascent Health Information Exchange: A Qualitative Analysis. 2010 May 22. 2012 Apr, 36(2):601-13. PMID: 20703673.
- 30. Dobalian A, Claver ML, Pevnick J, Stutman H, Tomines A, Fu,

Jr. P. Organizational Challenges in Developing One of the Nationwide Health Information Network Trial Implementation Awardees. Journal of Medical Systems. 2010 Jul 20. 2012 Apr, 36(2):933-40. PMID: 20703640.

- 31. Bowman CC, Johnson L, Cox M, Rick C, Dougherty M, Alt-White AC, Wyte T, Needleman J, Dobalian A. The Department of Veterans Affairs Nursing Academy (VANA): Forging strategic alliances with schools of nursing to address nursing's workforce needs. Nursing Outlook. 2011, 59(6):299-307. PMID: 21684561.
- 32. Bossert WH, Dobalian A. VA's Involvement in the Aftermath of the 9-11 Attacks. Disaster Med Public Health Prep. 2011 Sep;5 Suppl 2:S167. PMID: 21908691.
- 33. Subbarao I, Dobalian A, James JJ. Reflections on the Discipline and Profession of Disaster Medicine and Public Health Preparedness. Disaster Med Public Health Prep. 2011 Sep;5 Suppl 2:S168-69. PMID: 21908692.
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- 70. Wyte-Lake T, Claver M, Der-Martirosian C, Davis D, Dobalian A. Developing a Home-Based Primary Care Disaster Preparedness Toolkit. Disaster Med Public Health Prep (in press).

## MANUSCRIPTS (SUBMITTED AND IN PREPARATION)

- Kranke D, Der-Martirosian C, Dobalian A. Conceptual framework of self-stigma in the context of disasters (revise & resubmit to Social Work in Mental Health).
- Dobalian A, Claver M, Riopelle D, Wyte-Lake T, Canelo I. The Development of a Veterans Health Administration Emergency Management Research Agenda (under review).
- Luck J, Hagigi FA, Dobalian A. The Business Case for Hospital Preparedness (in preparation).
- DeMenno MB, Beyeler WE, Finley PD, Wyte-Lake T, Dobalian A. A modeling study of public-private partnerships in influenza vaccine

distribution (in preparation).

## OTHER PUBLICATIONS (ABSTRACTS, CHAPTERS, MONOGRAPHS, REPORTS)

- Tsao JCI, Dobalian A, Duncan RP. Role of pain in the use of outpatient services in a national sample of adults with HIV. Poster presented at the 22nd Annual Scientific Meeting of the American Pain Society. Chicago, IL. March 2003. Published in Journal of Pain (2003), 4(Suppl. 1):2.
- Radcliff T, Davidson G, Call K, Dobalian A. Are there geographic disparities in out-of-pocket spending by Medicare beneficiaries? University of Minnesota Rural Health Research Center Working Paper 049. October 2003.
- Dobalian A, Tsao JCI, Zeltzer LK. Pain and use of complementary and alternative medicine in a U.S. national sample of persons with HIV. Published in Journal of Pain (2005), 6(Suppl. 1):S3.
- Tsao JCI, Dobalian A, Wiens BA, Gylys JA, DeLeon JM, Menendez SM. An educational intervention to improve rural primary care providers' knowledge of PTSD following bioterrorism. Depression and Anxiety (2005), 22:242-243.
- Tsao JCI, Dobalian A, Zeltzer LK. (2006). Pain and utilization of health services. In A. Lucas (Ed.), Frontiers in Pain Research (pp. 1-26). Hauppauge, NY: Nova Science Publishers, Inc.
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- Dobalian A. Privacy and Legal Challenges with the Use of Social Media (Chapter 5; pp. 41-48). Public Response to Alerts and Warnings Using Social Media: Report of a Workshop on Current Knowledge and Research Gaps. The National Academies Press. Washington, DC. 2013.

## PRESENTATIONS AND POSTERS AT PROFESSIONAL MEETINGS

- Dobalian A. Does uninsurance increase the likelihood of inpatient stays for individuals under age 65? Poster presented at 16th annual meeting of the Association for Health Services Research. Chicago, IL. June 1999.
- Dobalian A. Individual and facility characteristics that determine completion of living wills by nursing home residents. Poster presented at 17th annual meeting of the Association for Health Services Research. Los Angeles, CA. June 2000.
- Dobalian A. Nursing home and resident characteristics that relate to differences among do-not-resuscitate orders, do-not hospitalize orders, and other directives with regard to feeding, medication or treatment. Oral presentation at 128th annual meeting of the American Public Health Association. Boston, MA. November 2000.
- Dobalian A, Andersen RM. The impact of advance directives on nursing home expenditures in the United States. Poster presented at

19th Annual Research Meeting of the Academy for Health Services Research and Health Policy. Washington, DC. June 2002.

- Dobalian A, Tsao JCI. A comparison of mental and physical health status among urban and rural nursing home residents in the United States. Poster presented at 19th Annual Research Meeting of the Academy for Health Services Research and Health Policy. Washington, DC. June 2002.
- Tsao JCI, Dobalian A, Duncan RP. Role of pain in the use of outpatient services in a national sample of adults with HIV. Poster presented at the 22nd Annual Scientific Meeting of the American Pain Society. Chicago, IL. March 2003.
- Dobalian A. Nursing facility compliance with do-not-hospitalize orders. Poster presented at the 20th Annual Research Meeting of AcademyHealth. Nashville, TN. June 2003.
- Johnson C, Dobalian A, Burkhard J. Predicting lawsuits: A national sample of litigation activity against nursing homes. Poster presented at the 20th Annual Research Meeting of AcademyHealth. Nashville, TN. June 2003.
- Dobalian A. Do-not-hospitalize orders and nursing homes in the United States: Prevalence and compliance in a nationally representative sample. Oral presentation at 131st Annual Meeting of the American Public Health Association. San Francisco, CA. November 2003.
- Dobalian A, Tsao JCI. Preparedness for bioterrorist events and other public health emergencies in rural Florida. Poster presented at 21st Annual Research Meeting of AcademyHealth. San Diego, CA. June 2004.
- Radcliff TA, Dobalian A, Duncan RP. Seasonal migration and its financial impact on Florida's hospitals. Oral presentation at CORS/INFORMS Joint International Meeting. Banff, Alberta (Canada). May 2004.
- Radcliff TA, Dobalian A, Duncan RP. Seasonal migration of elders and its impact on hospital financial performance. Oral presentation at Gerontological Society of America. Washington, DC. November 2004.
- Tsao JCI, Dobalian A, Wiens BA, Gylys JA, Putzer JG, Menendez SM, Evans GD. Rural primary care providers' knowledge of PTSD following bioterrorism. Poster presented at the International Society for Traumatic Stress Studies, 20th Annual Meeting, New Orleans, LA. November 2004.
- Tsao JCI, Dobalian A, Wiens BA, Gylys JA, DeLeon JM, Menendez SM. An educational intervention to improve rural primary care providers' knowledge of PTSD following bioterrorism. Poster presented at the Anxiety Disorders Association of America, 25th Annual Meeting, Seattle, WA. March 2005.
- Dobalian A, Tsao JCI, Myers CD, Zeltzer LK. Pain and use of complementary and alternative medicine in a U.S. national sample of persons with HIV. Oral presentation at the 24th Annual Scientific

Meeting of the American Pain Society. Boston, MA. March/April 2005.

- Dobalian A, Tsao JCI, Wiens BA, Gylys JA, Menendez SM. Knowledge of PTSD and other mental disorders following bioterrorism among primary care providers in the U.S.A. Poster presented at the 35th Annual Congress of the European Association for Behavioural and Cognitive Therapy. Thessaloniki, Greece. September 2005.
- Dobalian A. Advance directive status and mortality in nursing homes. Oral presentation at the 58th Annual Scientific Meeting of The Gerontological Society of America. Orlando, FL. November 2005.
- Radcliff TA, Dobalian A, Levy C. Do Advance Directives and Patient Preferences Influence Care? Symposia to be presented at the 59th Annual Scientific Meeting of The Gerontological Society of America. Dallas, TX. November 2006. (Dobalian A, Andersen RM. Advance Directives and Resource Use in Nursing Homes. & Radcliff TA, Dobalian A, Levy C. Do Orders Limiting Aggressive Treatment Impact Care for Acute myocardial infarction?)
- Rodriguez HR, Dobalian A, Duncan RP. Provider and administrator experiences with barriers to providing HIV prevention and treatment services in rural communities in Florida. Oral presentation at the HIV/STD Prevention in Rural Communities: Sharing Successful Strategies V. April 2007. Bloomington, IN.
- Wang M, Dobalian A, Rodriguez HR. The Six Degrees in Public Health Emergency Preparedness: Understanding How Local Agencies Collaborate in Rural Communities. Oral presentation at the 24th Annual Research Meeting of AcademyHealth. June 2007. Orlando, FL.
- Tsao JCI, Stein JA, Dobalian A. Sex differences in pain and aberrant use of prescription analgesics among persons with HIV. Poster presented at the 7th International Conference on Pain and Chemical Dependency. June 2007. New York, NY.
- Mittman BS, Dobalian A, Mittman DC, Simon BF, York LS. A Situated Learning Approach to Enhancing the Responsible Conduct of Research. Poster presented at Public Responsibility in Medicine and Research (PRIM&R) Advancing Ethical Research Conference, November 2008, Orlando, FL.
- Wyte T, Dobalian A, Bowman C, Soban L, Simon B, Friedman D, Yano E, Needleman J. Expanding the VA Workforce: Results from the Pioneer Cohort's Implementation of the VA Nursing Academy. Poster presented at the VA Greater Los Angeles Healthcare System (VAGLAHS) Research Week 2009. May 2009. Los Angeles, CA & North Hills, CA.
- Dobalian A, Mittman BS, Simon BF, York LS, Gammage C, Mittman DC. Understanding Variations in the IRB Review Process Among VA and University-Affiliated IRBs. Poster presented at the 26th AcademyHealth Annual Research Meeting, June 2009, Chicago, IL.
- Dobalian A, Bowman C, Wyte T, Soban L, Simon B, Needleman J.

An Innovative Approach to Address the Nursing Faculty Shortage: Initial Findings from the First Cohort of the VA Nursing Academy. Poster presented at the 26th AcademyHealth Annual Research Meeting, June 2009, Chicago, IL.

- Dobalian A. Introduction to Conference Goals; Toward a VHA Emergency Management Research Agenda: Presentations of Planning Group's Activities – Overview of Planning Group & Research Group Activities; Review of VA's Emergency Management Research Portfolio – Selected VA Emergency Management Studies; Research Gaps/Opportunities: Where Do We Go From Here? Charge to Workgroups. Presentations at the 1st Annual VHA Comprehensive Emergency Management Program Evaluation and Research Conference, July 21-22, 2009, Washington, DC.
- Dobalian A. Overview of VA and VA evaluation and research funding for non-VA researchers and practitioners; Discussion of VHA Comprehensive Emergency Management Program Evaluation and Research Agenda; Evacuation of Veterans from Nursing Homes Due to Katrina and Rita. Presentations at the 2nd Annual VHA Comprehensive Emergency Management Program Evaluation and Research Conference, May 4-5, 2010, Baltimore, MD.
- Dobalian A, Claver ML, Pevnick J, Stutman H., Tomines A, & Fu P. First Year Implementation Challenges in Developing the Nationwide Health Information Network. Poster presented at the 15th Annual UCLA Conference on Aging, June 2010, Los Angeles CA.
- Dobalian A, Bowman C, Wyte T, Friedman D, Simon B, Needleman J. Results from the First and Second Cohorts of the VA Nursing Academy: Using VA-Nursing School Partnerships to Reduce the Clinical Nursing Faculty Shortage. Poster presented at the 27th AcademyHealth Annual Research Meeting, June 2010, Boston, MA.
- Dobalian A, Claver M, Friedman D, Riopelle D, Wyte T, Canelo I. Toward a Veterans Health Administration Emergency Management Program Evaluation and Research Agenda. Poster presented at the 27th AcademyHealth Annual Research Meeting, June 2010, Boston, MA.
- Claver M, Friedman D, Dobalian A. Results of a Systematic Literature Review on Veterans and the Department of Veterans Affairs. Poster presented at the 35th Annual Natural Hazards Research and Application Workshop, July 2010, Broomfield, CO.
- Dobalian A, Claver M, Friedman D, Riopelle D, Wyte T, Canelo I. The Development of an Emergency Management Research Agenda for the Veterans Health Administration. Poster presented at the 35th Annual Natural Hazards Research and Application Workshop, July 2010, Broomfield, CO.
- Dobalian A, Claver M, Fickel JJ. Hurricanes Katrina and Rita: Evacuating Veterans from VA Nursing Homes. Poster presented at the 35th Annual Natural Hazards Research and Application Workshop, July 2010, Broomfield, CO.
- Tran K, Mays V, Evangelista L, Dobalian A, Andersen R. The Impact of Usual Source of Care as Predictor in Preventive Services among

Latinos in a Faith-Based Organization. Poster presented at 28th AcademyHealth Annual Research Meeting, June 2011, Seattle, WA.

- Dobalian A. Opening and closing remarks; Moderator for VA Capability Assessment Program panel; Moderator for Earthquake Response in Japan/Radiation panel. Presentations at the 3rd Annual VHA Comprehensive Emergency Management Program Evaluation and Research Conference, May 2011, Alexandria, VA.
- Dobalian A. Current and Emerging Partnership Arrangements: How Effective Are They? Panelist at the 36th Annual Natural Hazards Research and Applications Workshop, July 2011, Broomfield, CO.
- Heslin KC, Stein JA, Dobalian A, Yano E, Rubenstein L. Impact of prior alcohol abuse on depressive symptoms among Veterans after the 1994 Northridge earthquake. Oral presentation at the Addiction Health Services Research (AHSR), October 2011. Fairfax, VA.
- Claver M, Dobalian A, Fickel J, Ricci K, Horn-Mallers M. Comprehensive Care for Vulnerable Elderly Veterans During Disasters. Poster presented at Gerontological Society of America, November 2011, Boston, MA.
- Heslin K, Gin J, Riopelle D, Ricci K, Dobalian A. Confidence in the Fairness of Local Public Health Systems' Response to Disasters: The Veterans Perspective. Poster presented at the 2012 Public Health Preparedness Summit, February 2012, Anaheim, CA.
- Heslin K, Gin J, Riopelle D, Ricci K, Dobalian A. Medication Preparedness among Veteran and non-Veteran Men and Women in California. Poster presented at the 2012 Public Health Preparedness Summit, February 2012, Anaheim, CA.
- Stein JA, Heslin KC, Dobalian A, Rubenstein LV, Yano EM. Alcohol Problems and Functional Limitations Heightened Veterans' Distress after the Northridge Earthquake. Poster presented at the 24th Annual Convention of the Association for Psychological Science, May 2012, Chicago, IL.
- Heslin K, Gin J, Afable M, Ricci K, Dobalian A. Personal Medication Preparedness among Veteran and non-Veteran Men and Women in the California Population. Poster presented at the NACCHO Annual Conference 2012, July 11-13, 2012. Los Angeles, CA.
- Heslin K, Stein J, Dobalian A, Simon B, Lanto A, Yano E, Rubenstein L. Alcohol Problems as a Risk Factor for Post-Disaster Depression among U.S. Veterans. Poster presented at the Natural Hazards Research and Application Workshop, July 2012, Broomfield, CO.
- Mittman BS, Shreve ST, Ersek M, Lorenz KA, Luhrs CA, Davey VJ, Dobalian A, Lisi AJ. Innovative Research-Operations Partnerships in VHA. Workshop presented at the 2012 HSR&D/QUERI National Conference, July 2012. National Harbor, MD.
- Dobalian A, Feinberg D, Skivington S, Priselac T, Puliafito C, Sandles C (Panel Moderator), "Disaster Surge Response: Are We Ready Now?" Oral presentation at Emergency Management Community Collaborative, December 4, 2012, Los Angeles, CA.

- Dobalian A, Hagigi F, Bourg P, Der-Martirosian C, Ricci K (Panel Moderator). Partner, Plan, Prepare: Improving Hospital Disaster Response. Oral presentation at 38th Annual Natural Hazards Research and Applications Workshop. July 13-16, 2013. Broomfield, CO.
- Dobalian A. Welcome & Opening Remarks, Superstorm Sandy: The Value of Partnerships in Meeting the Immediate and Prolonged Needs of Devastated Communities (Panel Facilitator), Closing Remarks. Presentations at the 4th Annual Advancing and Redefining Communities for Emergency Management Conference. March 25-26, 2013, Washington, DC.
- Dobalian A. Welcome & Opening Remarks, Session #1: Communication & Coordination (Panel Facilitator). Presentations at Workshop on Incorporating Homeless Populations into Disaster Preparedness, Planning, and Response. March 27, 2013, Washington, DC.
- Dobalian A. EHR and HIE as Enablers of Disaster Recovery. Plenary Session Panelist ("Hot Topics in Health IT 2013"). Oral presentation at Southern California Annual Health IT Conference. April 10, 2013, Los Angeles, CA (Invited).
- Dobalian A, Ricci K, Der-Martirosian C, Vugrin E. (Moderator & Panelist). Improving the Effectiveness of Hospital Preparedness and Response for Disasters. Oral presentation at Healthcare and Public Health (HPH) Sector Fall 2013 GCC/SCC (Government Coordinating Council/Sector Coordinating Council) Joint Meeting. February 2014. Washington, DC.
- Ricci K, Parauda M, Dobalian A. (Moderator). VA NYHHS's Experience in the Wake of Superstorm Sandy: Assessing the Damage and Moving through the Initial Phases of Recovery. Oral presentation at the 2014 Public Health Preparedness Summit, April 2014, Atlanta, GA.
- Gin J, Heslin K, Wyte-Lake T, Dobalian A. Ensuring continuity of services for socially marginalized, chronically ill Veterans before and after disasters. Poster presented at the 2014 Public Health Preparedness Summit, April 2014, Atlanta, GA.
- Der-Martirosian C, Riopelle D, Dalton S, Dobalian A. Development of a VA Assessment Tool for Hospital Preparedness. Poster presented at the 2014 Public Health Preparedness Summit, April 2014, Atlanta, GA.
- Payne L, Der-Martirosian C, Chu K, Atia M, Dobalian A. Impact of Hurricane Sandy On Utilization of Health Services among VA Patients Diagnosed with PTSD. Poster presented at the 5th Annual Advancing and Redefining Communities for Emergency Management Conference. December 10-11, 2014, Los Angeles, CA.
- Radcliff TR, Chu K, Dobalian A. Patterns & Characteristics of Missed Ambulatory Care Opportunities in the VA around Hurricane Ike. Poster presented at the 5th Annual Advancing and Redefining Communities for Emergency Management Conference. December 10-11, 2014, Los Angeles, CA.

- Der-Martirosian C, Riopelle D, Dobalian A. Development of a Hospital Preparedness Assessment Tool: Lessons and Challenges. Poster presented at the 5th Annual Advancing and Redefining Communities for Emergency Management Conference. December 10-11, 2014, Los Angeles, CA.
- Yuan A, Dalton S, Chu K, Dobalian A. Patient Dispersion across 3 NY VA Medical Facilities Post-Superstorm Sandy. Poster presented at the 5th Annual Advancing and Redefining Communities for Emergency Management Conference. December 10-11, 2014, Los Angeles, CA.
- Saia R, Gin J, Kranke D, Dobalian A. Disaster Preparedness in Homeless Residential Organizations. Poster presented at the 5th Annual Advancing and Redefining Communities for Emergency Management Conference. December 10-11, 2014, Los Angeles, CA.
- Wyte-Lake T, Claver M, Dobalian A. Assessing Patient Disaster Preparedness in VHA's Home Based Primary Care (HBPC) Program. Poster presented at the 5th Annual Advancing and Redefining Communities for Emergency Management Conference. December 10-11, 2014, Los Angeles, CA.
- Yuan A, Griffin AR, Dobalian A. Impact of Hurricanes on Patient Dispersion, Disruption of Services, and Early Hospital Discharge Across VA Medical Facilities Hurricane Ike and Post-Superstorm Sandy. Poster presented at the 2015 Preparedness Summit. April 14-17, 2015. Atlanta, GA.
- Radcliff T. Griffin A, Yuan A, Dalton S, Chu K, Dobalian A. The VA, Superstorm Sandy, and Hurricane Ike: An Integrated Delivery System Responds to Disasters. Poster presented at the 2015 Preparedness Summit. April 14-17, 2015. Atlanta, GA.
- Riopelle D, Saia R, Dobalian A. Friends with Benefits: How VA Medical Centers Collaborate with Community Partners for Better Disaster Preparedness and Response. Poster presented at the 2015 Preparedness Summit. April 14-17, 2015. Atlanta, GA.
- Claver M, Wyte-Lake T, Dobalian A. Disaster Preparedness in Home Based Primary Care: Policy and Training. Poster presented at the 35th Annual California Council on Gerontology and Geriatrics. April 2015, Long Beach, CA.
- Claver M, Wyte-Lake T, Dobalian A. Evidence-Based Recommendations for Preparing Homebound Veterans for Disaster. Poster presented at the 35th Annual California Council on Gerontology and Geriatrics. April 2015, Long Beach, CA.
- Wyte-Lake T, Claver M, Dobalian A. Disaster Planning for Home Health Patients and Providers: Literature Review and Evidence-Based Recommendations for Best Practices. Poster presented at the 35th Annual California Council on Gerontology and Geriatrics. April 2015, Long Beach, CA.
- Gin JL, Levine C, Canavan D, Gable A, Atia M, Dobalian A. Disaster Planning Toolkit for Homeless Populations and their Community Providers. Oral presentation at the 40th Annual Natural Hazards

Research & Applications Workshop, July 2015, Broomfield, CO.

- Kranke D, Gin J, Saia R, Dobalian A. Reintegration Experience among Veterans Volunteering In Disaster Relief. Poster presented at the 40th Annual Natural Hazards Research & Applications Workshop, July 2015, Broomfield, CO.
- Der-Martirosian C, Yuan A, Dalton S, Dobalian A. Utilization of Healthcare Services after Hurricane Sandy: The Manhattan VA Medical Center and Telehealth. Oral presentation at the 143rd Annual meeting of the American Public Health Association. Chicago, IL. November 2015.
- Wyte-Lake T, Claver M, Dobalian A. Identified Gaps in Home Health Agency Disaster Preparedness Protocols. Poster presented at the 143rd Annual meeting of the American Public Health Association. Chicago, IL. November 2015.
- Dobalian A, Griffin A, Chu K, Yuan A. Hospital Readmissions Following Early Discharge in Anticipation of a Hospital Evacuation: Hurricane Sandy and the US Department of Veterans Affairs. Poster presented at the 143rd Annual meeting of the American Public Health Association. Chicago, IL. November 2015.
- Gin J, Gable A, Atia M, Dobalian A. Disaster Planning Toolkit for Homeless Veterans and their Community Providers. Poster presented at the 143rd Annual meeting of the American Public Health Association. Chicago, IL. November 2015.
- Dobalian A. Welcome & Opening Remarks; Moderator for Building and Maintaining Resiliency Panel; Panelist for Disaster Care Coordination for Hospitals; Closing Remarks. Oral presentations at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference. December 1, 2015, San Diego, CA.
- Dobalian A. Moderator for Developing a Resilient Workforce – Innovations in Training & HR Policies Panel; Closing Remarks for General Session; Moderator for Measuring Readiness to Promote Resiliency – Operational Metrics and Standards Panel. Oral presentations at the 4th Annual National Healthcare Coalition Preparedness Conference. December 2-3, 2015, San Diego, CA.
- Radcliff TA, Chu K, Dobalian A. Disasters that Disrupt Veterans' Access to Ambulatory Health Care: the case of Hurricane Ike. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Bai J, Griffin A, Chu K, Dobalian A. Readmissions Following Early Discharge in Anticipation of a VA Hospital Evacuation. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Wyte-Lake T, Claver M, Dobalian A. Identified Gaps in Home Health

Agency Disaster Preparedness Protocols. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.

- Der-Martirosian C, Griffin A, Yuan A, Danesh S, Dobalian A. Utilization of Healthcare Services after Superstorm Sandy. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Wyte-Lake T, Griffin A, Dobalian A. Supporting Patients, Families and Staff: A Complete Hospital Evacuation and Six Month Displacement. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Veenema TG, Griffin A, Gable AR, MacIntyre L, Simons N, Couig MP, Walsh JJ, Lavin RP, Dobalian A, Larson E. Nurses as Leaders in Disaster Preparedness and Response: A Call to Action. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Kranke D, Gin J, Saia R, Dobalian A. Reintegration Experience among Veterans Volunteering in Disaster Relief. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Gin JL, Levine C, Canavan D, Gable AR, Atia M, Dobalian A. Integrating Homeless Populations into Disaster Preparedness, Response, and Recovery. Poster presented at the 6th Annual Advancing and Redefining Communities for Emergency Management Conference and the 4th Annual National Healthcare Coalition Preparedness Conference. December 1-3, 2015, San Diego, CA.
- Der-Martirosian C, Griffin A, Dobalian A. Using Outpatient Healthcare Services within VA after Hurricane Sandy. Poster presented at the 2016 Preparedness Summit. April 19-22, 2016, Dallas, TX.
- Gin J, Gable A, Atia M, Dobalian A. Toolkit for Aligning Emergency Preparedness and Homeless Service Providers. Poster presented at the 2016 Preparedness Summit. April 19-22, 2016, Dallas, TX.
- Radcliff T, Chu K, Der-Martirosian C, Dobalian A. Using Appointment-Level Data to Measure Healthcare System Preparedness and Resiliency for Common Clinic Visits. Poster presented at the 2016 Preparedness Summit. April 19-22, 2016, Dallas, TX.
- Dobalian A. Innovations within Our Communities. Invited Oral Presentation at the Disaster Health Education Symposium:

Innovations for Tomorrow. September 8, 2016. Bethesda, MD.

- Use of sequential mode approach for data collection in VA Preparedness Communication Survey (VAPC). Poster presented at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Home Health Agencies: A Disaster Preparedness Toolkit. Poster presented at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Results from the VA Preparedness Communication Survey (VAPCS): Assessing Communication Preferences among U.S. Military Veterans during Natural Disasters. Poster presented at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Comparison of Communication Preferences between Homeless and Non-homeless Veterans during Disasters. Poster presented at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Indicators of disaster resilience among U.S. Military Veterans. Poster presented at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Modeling a Hospital's Response to a Regional Infectious Disease Outbreak. Roundtable presented at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Improving veterans' access to influenza vaccination: Modeling effectiveness of public-private partnerships. Oral presentation at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Stigma experience among combat veterans engaging in disaster relief. Oral presentation at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.
- Disaster-Related Communication Behaviors and Preferences of Homeless VA Patients. Oral presentation at the Annual Meeting of the American Public Health Association. October 29-November 2, 2016. Denver, CO.

## PROFESSIONAL MEMBERSHIPS AND LICENSES

- State Bar of California (12/1995-present)

## PROFESSIONAL CERTIFICATIONS AND COURSES

- Professional Certification in Health Information Technology, CPHIT (11/2007-12/2009)
- Principles of Fundraising course, UCLA Extension, Summer 2014
- Certificate in General Management, UCLA Anderson School of Management Executive Program, February 2015 (non-degree certificate in general management; designed for mid to senior level executives with a minimum of 7-10 years of management experience; confers Anderson alumni status)

## CONSULTING

- The Robbins Law Firm, P.L., 2003-2004
- Healthcare Ratings, Inc., 2002-2003
- Law Offices of Kubicki and Draper, 2003

## OTHER PROFESSIONAL ACTIVITIES

Peer Reviewer for Professional Journals:

- Ad hoc: American Journal of Public Health; Health Psychology; Health Services Research; Journal of Behavioral Health Services & Research; Journal of Behavioral Medicine; Journal of General Internal Medicine; Journal of Health and Social Behavior; Journal of Pain; Journal of Pain and Symptom Management; Journal of Public Health Management and Practice; Journal of Rural Health; Journal of the American Geriatrics Society; Journal of the American Medical Association; The Gerontologist; Diabetes Management; Emergency Medicine Journal; BMC Emergency Medicine; Health Security.
- Guest Editor: Disaster Medicine and Public Health Preparedness, 10th Anniversary of 9-11 Special Issue, September 2011.

Grant Reviewer:

- P. A. Foote Small Grants Program in Health Outcomes and Pharmacoeconomics Research. 2003.
- NIH/NIEHS Special Emphasis Panel for the Extramural Loan Repayment Program for Clinical (NOT-OD-04-060) and Pediatric Researchers (NOT-04-61) (ZES RAM-A (L4) (S)). 2005.
- VA HSR&D Scientific Merit Review Board (SMRB). Implementation and Management Research Review Panel. March 2007, March 2008, August 2009.
- Singapore Ministry of Health, Health Services Research Grant Proposal. 2011.
- Office of the Assistant Secretary for Preparedness and Response, U.S. Department of Health and Human Services, Grants to Support Scientific Research Related to Recovery from Hurricane Sandy (EP-HIT-13-001 and EP-HIT-14-001). July 2013.
- Gulf of Mexico Research Initiative (GoMRI), 2015-2017 GoMRI Research Consortia RFP-IV. 2014.
- 2013-2014 NIH KL2 Mentored Research Career Development and TL1 Pre-doctoral Training Program Awards. Education, Career Development, and Ethics Program (ECDE) of the Southern California Clinical and Translational Science Institute (SC CTSI). Dec. 2013-Jan. 2014.
- VA HS&RD Randomized Program Evaluation Concept Papers review panel. March 2016.

Abstract Reviewer:

- VA HSR&D 2005 National Meeting.
- VHA Comprehensive Emergency Management Program Evaluation and Research (CEMPER) conference, 2010, 2011.
- 4th Annual National Healthcare Coalition Preparedness Conference 2015.

Textbook Reviewer:

- Jossey-Bass (Vulnerable Populations in the United States by Shi L, Stevens GD. 2004. San Francisco, CA.)

Dissertation Committees and Formal Mentorships:

- Dissertation Committee Special Member: Gavin J. Putzer, M.D., University of Florida, Ph.D. Committee, Feb. 2005-Aug. 2006.
- Postdoctoral Mentor, Maria Claver, PhD, MSW.
- Postdoctoral Mentor, Kim Tran, PhD, RN, APN-C, PhD Advanced Fellowship Program in Health Services Research at VAGLAHS, 2010-2013.
- Dissertation Committee Member: Daniel Tien, MSPH, UCLA, Ph.D. Committee, 2014-present.

Workgroups and Other Professional Associations:

- Gerontological Society of America: Chair of Delirium, Depression, and Mental Health Poster Session at 58th Annual Scientific Meeting. Orlando, FL. November 2005.
- California Health Interview Survey (CHIS) 2009 Emergency Preparedness Workgroup Member, 2008-2009.
- VHA Representative and Member, Healthcare and Public Health Sector Critical Infrastructure Protection (CIP) Research and Development (R&D) / MS&A Joint Advisory Workgroup (JAWG). 2008.
- Chair, VHA Comprehensive Emergency Management Program Evaluation and Research Planning Group, 2008-09, 2009-10, 2010-11.
- Member, Board of Directors, Public Health Alumni Association, UCLA School of Public Health, 2009-2011. Responsibilities included fundraising/development, developing activities to promote the School in the local community (community engagement).
- Chair, Planning Group for the Robert Wood Johnson Foundation Inaugural Conference on Enhancing Academic Nursing entitled "Conference on Enhancing Nursing Undergraduate Teaching and Learning in the Clinical Setting: What do we know and how do we move forward?" 2009-2010.
- Content Expert, Evidence Review of the Allocation of Scarce Resources During Mass Casualty Events (MCE's), Southern

California Based Practice Center, RAND Corporation, 2010-12. Report: Allocation of Scarce Resources During Mass Casualty Events. 2012.

- Other Federal Invited Representative, Call to Action: Include Scientific Investigations as an Integral Component of Disaster Planning and Response report of the All Hazards Science Response Working Group of the National Biodefense Science Board, 2011.
- Co-Chair, VHA Phase 2 CEMP (Comprehensive Emergency Management Program) Data Analysis Committee, 2011-12.
- Presentation Judge for Applied Management Research Project (AMR) at the UCLA Anderson School of Management, June 7, 2013.
- Member, Workgroup to Develop Recommendations for VHA Research Service Emergency Operations Plans, 2013-14.
- Member, Federal Community Health Resilience Coalition. June 2013-2015.
- Member, National Healthcare Coalition Research Center (NHCRC) Advisory Committee for the National Healthcare Coalition Preparedness Conference, 2015-present.
- Chair, Planning Group for Advancing and Redefining Communities for Emergency Management conference, 2013, 2014, 2015, 2016. Responsibilities include fundraising, program design.
- Co-Director, VAGLAHS HSR&D Associated Health Postdoctoral Fellowship Program (PhD Fellowship Program Committee in Health Services Research), 2011-present (Member 2009-present). Co-lead numerous activities to promote professional development of early and mid-career faculty.
- Advisory Committee Member, University of Colorado Natural Hazards Center, 2011-present.
- Chair, VAGLAHS Research and Development (R&D) Committee, April 2013-June 2016 (Vice-Chair July 2012-April 19, 2013). Co-Chair of R&D Research Oversight Conduct Subcommittee, July 2009-April 2013. Member, July 2008-present. R&DC acts as the governing body for research at VAGLAHS, and provides oversight, planning, and execution of the research program, one of the largest research enterprises within VA (200+ MD and PhD investigators, a $39.7 million annual budget, and 657 projects across multiple research centers). R&DC focuses on program development (including space and resource needs), risk management, and quality and performance activities. Chair position is a senior administrative role for research at VAGLAHS. Under my tenure, we have begun to address long-standing challenges in space allocation and human resources management, and are establishing shared priorities for investment (e.g., mentorship program, bridge funding, subject recruitment coordinator, public relations) to grow the overall VAGLAHS research program.
- VHA Liaison (Subject Matter Expert), National Center for Disaster

Medicine & Public Health, Uniformed Services University of the Health Sciences, 2014-2016. In support of NCDMPH's mission to lead federal and coordinate national efforts to develop and propagate core curricula, education, training and research in all-hazards disaster health.

- Member, Planning Committee, 2nd Annual Meeting of the Society for Disaster Medicine and Public Health, 2016.
- Member, Standing Committee on Medical and Public Health Research During Large-Scale Emergency Events of the Health and Medicine Division (HMD) of the National Academy of Sciences (formerly the Institute of Medicine (IOM)), 2016-2018.

Guest Lectures and Invited Presentations:

- Lecture at UCLA. Long-Term Care. November 1, 2004. HS/PH 235. Law, Social Change, and Health Service Policy. Instructor: Ruth Roemer.
- Lectures for Los Angeles County Bar Association Bioethics Committee. January 12, 2005. March 9, 2005.
- Lecture at USC's International Public Policy and Management program for professionals from Shengzhen, China. Health Care in the U.S. August 9, 2006.
- Lecture at UCLA. End of Life. November 27, 2006. X 442 Fundamentals of Health Law and Compliance. Instructor: Lori Pelliccioni.
- Lectures at UCLA. Contracts, Contracting and Negotiation. May 10 and 17, 2007. HS 442 Managed Health Care: Quality and Cost. Instructor: Pat Parkerton.
- Lecture in Palm Desert, CA. The High Costs of Employee Healthcare: 5 Things Every Business Owner Should Know. May 17, 2007. Sponsored by Desert Commercial Bank's "Taking Care of Business Speaker Series."
- Lecture at Charles Drew University of Medicine and Science for the Minority Research Infrastructure Support Program (MRISP) Seminar Series. The VA Nursing Academy: Innovations in Nursing Education and Implications for other Health Professions. October 31, 2008.
- Lecture at California State University, Fullerton. Public Health Law and Ethics in Practice and Management. October 5, 2010. Health Science 524 Public Health Administration. Instructor: Michele M. Wood.
- Lecture at UCLA Anderson School of Management. Veterans and the Department of Veterans Affairs. Management 298D-01 Business of Healthcare: A Global Perspective. April 13, 2011. Instructor: Farhad (Fred) A. Hagigi.
- Lecture at California State University, Fullerton. Ethics in Public Health Practice and Management. October 3, 2011. Health Science

524 Public Health Administration. Instructor: Michele M. Wood.

- Lecture at California State University, Fullerton. Ethics in Public Health Practice and Management. October 8, 2012. Health Science 524 Public Health Administration. Instructor: Michele M. Wood.
- Panelist presenting "Social Media: Legal perspectives on First Responder Responsibilities," Public Response to Alerts and Warnings Using Social Media and Associated Privacy Considerations: Current Knowledge and Research Needs: A Workshop, Computer Science and Telecommunications Board (CSTB) of the National Academies of Science, February 28-29, 2012, Irvine, CA. included in Privacy and Legal Challenges with the Use of Social Media (Chapter 5; pp. 41-48). Public Response to Alerts and Warnings Using Social Media: Report of a Workshop on Current Knowledge and Research Gaps. The National Academies Press. Washington, DC. 2013.

THE UNIVERSITY OF
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Department of Criminology
and Criminal Justice

School of Urban Affairs and Public Policy

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**MEMO**

TO: Provost Karen Weddle-West

K B Turner

FROM: KB Turner-Chair, Department of Criminology and Criminal Justice

DATE: May 9, 2017

RE: Request for Tenure upon Appointment for Dr. Shelley Keith

Our candidate, Dr. Shelley Keith, has completed the interview process for the position of Associate Professor. The members of the search committee unanimously recommended she be offered the position. I concurred with their decision. Dr. Keith has been offered the position, accepted, signed, and returned the offer letter. Given her time, experience, and productivity at Mississippi State University, where she was awarded tenure, I request immediate tenure for Dr. Keith. My rationale for this request is supported in this memo.

Dr. Keith was promoted to Associate Professor and granted tenure in 2016 in the Department of Sociology at Mississippi State University. Dr. Keith has fourteen publications, six are sole authorship or she serves as lead author. Her publications have appeared in top journals in our field. Additionally, Dr. Keith is the co-author on two publications with Dr. Robert Agnew, a leading theorist in the field of criminology. Dr. Keith's overall research agenda bodes well and will be complimentary to our Department.

It is worthy to note that Dr. Keith has expressed a sincere interest in serving as a mentor to our junior faculty in the Department. This is a critical need as there is no current senior faculty member serving in this role. Moreover, and equally worthy of mentioning, Dr. Keith has an interest in engaged scholarship and community outreach. The Department of Criminology and Criminal Justice has a rewarding and long history of working with numerous public service agencies. As chair, I have been eagerly awaiting for a tenured faculty member to continue cultivating our partnerships with community organizations. I believe Dr. Keith will serve well in this capacity.

In view of Dr. Keith's experience, scholarly work, desire to serve as a mentor to junior faculty, and work with our community partners, I request that Dr. Shelley Keith be granted immediate tenure in the Department of Criminology and Criminal Justice upon appointment at the University of Memphis.

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February 3, 2017

Dr. Shelley Keith
P.O. Box 2681
Mississippi State University 39762

Dear Dr. Keith,

I am very pleased to offer you an appointment as an associate professor with immediate tenure effective September 1, 2017 in the Department of Criminology and Criminal Justice at The University of Memphis. The appointment will commence on August 21, 2017. Your compensation package will include a 9-month base salary (institutional base pay) of $73,500.00 for the fall and spring semesters (to be paid in twelve monthly payments, in accordance with the University of Memphis policy #1613, with the first monthly payment at the end of September 2017).

In addition, the research compensation program may allow faculty to supplement their 9-month institutional base pay upon successful solicitation of external grants and contracts. This compensation would come from the salary recovery received by your department as the result of your externally funded research program.

Summer teaching is contingent upon the instructional needs of the department and minimal enrollment standards, and subject to the discretion of the department chair in assigning summer classes.

Your initial effort allocation will be 50% in teaching two courses per semester and 50% in research and scholarship. Course buyouts for funded research are to be a rate of 10% to 12.5% of institutional base pay. Your effort allocation in subsequent years will be determined by the department head (subject to approval by the dean and provost) with a minimum teaching load of two courses per semester. You may also be expected to teach at off-campus sites, depending on department needs. The teaching loads as stated in this letter are subject to your productivity in research and scholarship, as well as the University's financial resources.

The University of Memphis offers a comprehensive benefits program. To learn about the benefits available to faculty, please visit the Human Resources website at http://bf.memphis.edu/hr/benefits/faculty.php.

In addition to a comprehensive compensation package, the University is prepared to offer a start-up package of $2,500.00 to be distributed over a period of two years. These funds will be housed in a departmental account, and are expected to cover any personnel costs as well as supplies and equipment for your research endeavors.

In addition, the department will provide a moving allowance of $1,500.00. Please sign the attached moving allowance form and return it with this offer letter.

We have requested a six year tenure probation reduction upon appointment at the rank of Associate Professor, to be approved by the President, the Provost, and the University of Memphis Board of Trustees. If approved, you will have immediate tenure effective September 1, 2017.

To process your appointment, an official transcript is required. Please have the institution that awarded your highest degree submit an official transcript directly to The University of Memphis, Office of Faculty Administrative Services, 374 Administration Building, Memphis, TN 38152-3120.

Shortly after you return this offer letter, you will receive an email from "Application Station" asking you to fill out a form. Please watch for this email as it triggers the final step in the hiring process.

The foregoing contract terms are contingent upon the approval of the Provost, the President of the University, and the University of Memphis Board of Trustees, if necessary. Please return your acceptance as soon as possible so that processing of your appointment can proceed.

Sincerely,

K B Turner

Dr. KB Turner
Associate Professor and Chair
Department of Criminology and Criminal Justice

I accept this offer of employment:

Shelley Keith 3/3/17

Dr. Shelley Keith Date

*CURRICULUM VITAE*

# SHELLEY KEITH

Department of Sociology
Mississippi State University
P.O. Box C
Mississippi State, MS 39762
Office: (662) 325-8621
Fax: (662) 325-4564
Email: skeith@soc.msstate.edu

## ACADEMIC POSITIONS

2016 – present
Associate Professor, Department of Sociology
Affiliate Faculty, Gender Studies Program
Mississippi State University

2009 – 2016
Assistant Professor, Department of Sociology
Affiliate Faculty, Gender Studies Program
Mississippi State University

## EDUCATION

May 2009
Ph.D., Sociology
Certificate in Women's Studies
Emory University
Dissertation: Self-Complexity and Crime: Extending General Strain Theory
Committee: Robert Agnew (chair), Elizabeth Griffiths, Corey Keyes, Patricia Brennan
Comprehensive Exams: Criminology and Social Psychology

May 1999
M.S., Sociology
Florida State University
Thesis: Gendered Judges, Judging Gender
Committee: Patricia Yancey Martin (chair), Irene Padavic, James Orcutt

May 1996
B.A., Anthropology
Emory University

## RESEARCH INTERESTS

Criminological Theory, Juvenile Delinquency, Juvenile Justice
Gender, Race, Social Class, and Crime
Social Psychology (Identity, Emotions)
Communities and Crime
Stratification (Gender and Race/Ethnicity)

## TEACHING INTERESTS

Criminological Theory, Juvenile Delinquency, Juvenile Justice
Gender, Race, Social Class, and Crime
Social Psychology
Research Methods, Statistics
Communities and Crime

## PROPOSALS UNDER REVIEW

2016 Taking Reasoned Action Against Biased Action: Considering the Explanatory Power of Contexts of Hate and the Reasoned Action Model to Understand the Under-Reporting of Bias Crime Victimization. Submitted to the National Institute of Justice ($998,707), May 2015, H. Colleen Sinclair (PI), Megan Stubbs-Richardson (Co-PI), Rebecca M. Goldberg (Co-PI), Stacy H. Haynes (Co-PI), David C. May (Project Staff), **Shelley Keith** (Project Staff). Project Dates 1/1/17-12/31/19.

## FUNDED RESEARCH

2015 Responding to Changes in Social Science Research: Data Management in an Era of Research Results Replication and Mandated Data Archiving. Ronald Cossman (PI), **Shelley Keith**, Sheeji Kathuria, Roslyn Miller, Kirsten Andrews, Anastasia Elder, Li Zhang, Nickoal Eichman, Katrina Akande, and Mary Ann Jones awarded $2,000 from the Office of Research and Economic Development, Mississippi State University. Project Dates: 2015-2016.

2011 IS Security / Insider Abuse Working Group: Using Forensics and Criminology to Investigate Causes and Preventions of Insider Abuse. Merrill Warkentin (PI), Dave Dampier, **Shelley Keith**, Byron Williams, and Stacy Haynes awarded $2,000 from the Office of Research and Economic Development, Mississippi State University. Project Dates: 2011-2012.

## UNFUNDED RESEARCH

2015 What Predicts Victimization in School and How Does This Lead to Withdrawal and/or Aggressive Behaviors? Submitted to the National Institute of Justice ($34,539), May 2015, **Shelley Keith** (PI).

## PUBLICATIONS (*indicates student author)

Hatice Cecen Celik* and **Shelley Keith**. "Analyzing Predictors of Bullying Victimization with Routine Activity and Social Bond Perspectives." Forthcoming at the *Journal of Interpersonal Violence*. doi:10.1177/0886260516672941.

2015 Heather L. Scheuerman and **Shelley Keith**. "Supporters and Restorative Justice: How Does the Intersection between Offenders, Victims, and the Community Influence Perceptions of Procedural Justice and Shaming?" *Restorative Justice: An International Journal*, 3 (1), 75-106.

2015 Matt Vogel and **Shelley Keith**. "Vicarious Peer Victimization and Adolescent Violence: Unpacking the Effects of Social Learning, General Strain, and Peer Group Selection." *Deviant Behavior*, 36 (10), 834-852.

2015 David C. May, **Shelley Keith,** Nicole E. Rader, and R. Gregory Dunaway. "Predicting Adolescent Fear of Crime Through the Lens of General Strain Theory." *Sociological Focus,* 48 (2), 172-189.

2015 **Shelley Keith,** Timothy E. McClure*, Lauren M. Vasquez*, M. Jason Reed*, and David C. May. "How Does Gender Identity Affect the Relationship Between Strain and Negative Emotions?" *Sociological Spectrum,* 35 (2), 179-206.

2015 Heather L. Scheuerman and **Shelley Keith.** "Implications of Court Versus Conference: The Relationship Between Perceptions of Procedural Justice and Shame Management." *Criminal Justice Policy Review*, 26 (2), 156-182.

2014 **Shelley Keith** and Elizabeth Griffiths. "Urban Code or Urban Legend: Endorsement of the Street Code Among Delinquent Youth in Urban, Suburban, and Rural Georgia." *Race and Justice: An International Journal*, 4 (30), 270-298.

2014 Heather L. Scheuerman and **Shelley Keith Matthews**. "The Importance of Perceptions in Restorative Justice Conferences: The Influence of Offender Personality Characteristics on Procedural Justice and Shaming." *Justice Quarterly*, *31* (5), 852-881.

2014 **Shelley Keith**. "How Does Self-Complexity of Identity Moderate the Relationship Between Strain and Crime?" *Deviant Behavior*, 35 (10), 759-781.

2013 **Shelley Keith Matthews,** Anna Krivelyova, Robert L. Stephens, and Shay Bilchik. "Juvenile Justice Contact of Youth in Systems of Care: Comparison Study Results." *Criminal Justice Policy Review*, 24(2), 142-164.

2011 **Shelley Keith Matthews**. "Self-Complexity and Crime: Extending General Strain Theory." *Justice Quarterly*, 28 (6), 863-902.

2008 **Shelley Keith Matthews** and Robert Agnew. "Extending Deterrence Theory: Do Delinquent Peers Condition the Relationship Between Perceptions of Getting Caught and Offending?" *Journal of Research in Crime and Delinquency*, 45 (2), 91-118.

2008 Robert Agnew, **Shelley Keith Matthews**, Jacob Bucher, Adria N. Welcher, and Corey Keyes. "Socioeconomic Status, Economic Problems, and Delinquency." *Youth and Society*, 40 (2), 159-181.

2002 Patricia Yancey Martin, John R. Reynolds, and **Shelley Keith**. "Gender Bias and Feminist Consciousness among Judges and Attorneys: A Standpoint Theory Analysis." *SIGNS: Journal of Women in Culture and Society*, 27 (3), 665-701.

## REVISE AND RESUBMIT

**Shelley Keith**. "How Does Traditional Bullying and Cyberbullying Affect Fear and Coping Among Students?: An Application of General Strain Theory." Resubmitted to the *American Journal of Criminal Justice* on 9/22/16.

## MANUSCRIPTS UNDER REVIEW

Kastner, Stacy, **Shelley Keith**, Laura Jean Kerr, Kristen Stives, Whitney Knight, Kiley Forsythe, Kayleigh Few, Jen Gordon, Jessica Mosely. "Reciprocity and Research at the Writing Center: An Analysis of Error Across Two Semesters of a Criminological Theory Course." Under Review at Parlor Press.

**Shelley Keith** and Jeannice Louine*. Strain Theory. In R. D. Morgan (Ed.), *The Sage Encyclopedia of Criminal Psychology*. Submitted on 4/1/16.

## MANUSCRIPTS IN PROGRESS

**Shelley Keith** and Heather L. Scheuerman. "Understanding Criminal Identity and Projected Conformity in Courts and Restorative Justice Conferences: An Identity Control System Approach."

**Shelley Keith** and Heather L. Scheuerman. "How Does Gender Shape the Relationship Between Shame Management and Projected Conformity in Restorative Justice Conferences?

Heather L. Scheuerman and **Shelley Keith**. "Interdependency and the Experience of Shame: How Does Gender Affect the Interpersonal Dynamics of Restorative Justice?"

**Shelley Keith,** Kristen L. Stives, Laura Jean Kerr, and Stacy Kastner. "What Predicts Students' Success at Writing in Writing Intensive Courses?"

**Shelley Keith**, David C. May, and Preston Elrod. **"**Examining the Impact of Strain on Perceptions of School Safety: Does Context Matter?"

Talia Nicole Gilbert, Karen Hegtvedt, Heather L. Scheuerman, **Shelley Keith.** Discerning Justice: A Quantitative Analysis of Juvenile Offenders' Perceptions of Interactional and Procedural Justice in Restorative Conferencing.

Ronald E. Cossman, **Shelley Keith**, Wesley James, and Peter Adam Albrecht. "Application of General Strain Theory to the Ultimate Health Outcome – Death."

**Shelley Keith**. "An Examination of the Characteristics of Strain and the Impact on Negative Emotions and Intentions to Offend."

**Shelley Keith.** "Assessing the Relationship Between Strain and Crime: Comparing Subjective and Objective Strain."

## TECHNICAL REPORTS AND OTHER PUBLICATIONS

2015 **Shelley Keith**. "Restorative Justice: Repairing the Harm." Forthcoming in *Thinking about Corrections*. Washington, DC: National Institute of Corrections. Online Publication.

2004 **Shelley Keith Matthews**. "A Program Evaluation of Stamp Out Shoplifting." December, 2004. For Judge Robin S. Nash, Juvenile Court, Dekalb County, Georgia.

2003 **Shelley Keith Matthews**. "Georgia DJJ Population Forecast Update Report: First Six Months CY2003 (Actual Versus Forecasted Data)." August 22, 2003. For the Georgia Department of Juvenile Justice.

2003 **Shelley Keith Matthews**, Claus Tjaden, Joshua Cargile, Ann Watkins, Doug Engle, and Aaron Estis. "Georgia Department of Juvenile Justice – Service Population Forecast CY2003 Through CY2007." July 14, 2003. For the Georgia Department of Juvenile Justice.

2003 **Shelley Keith Matthews**. "Georgia Department of Juvenile Justice Population Forecast: Review of Methodology." July 14, 2003. For the Georgia Department of Juvenile Justice.

## PRESENTATIONS (**Denotes Chair or Presider)

2016 Ronald E. Cossman, **Shelley Keith**, Wesley James, and Peter Adam Albrecht. Application of General Strain Theory to the Ultimate Health Outcome – Death. American Society of Criminology Annual Meetings, New Orleans, LA. November 2016.

2016 Heather Scheuerman and **Shelley Keith**. "The Importance of Others: How Does Gender Affect the Interpersonal Dynamics of Restorative Justice? American Society of Criminology Annual Meetings, New Orleans, LA. November 2016.

2016 **Shelley Keith** and Heather Scheuerman. "Understanding Criminal Identity and Projected Conformity in Courts and Restorative Justice Conferences: An Identity Approach. American Sociological Association Annual Meetings, Seattle, WA. August 2016.

2015 **Shelley Keith** and Heather Scheuerman. "How Does Gender Shape the Relationship Between Shame Management and Projected Conformity? American Society of Criminology Annual Meetings, Washington, DC. November 2015.

2015 Jeffrey T. Walker, Sally Simpson, Stacy Moak, and **Shelley Keith.** "Round Table: How Do I Mentor Graduate Students When I Was Just One Myself." American Society of Criminology Annual Meetings, Washington, DC. November 2015.

2015 **Shelley Keith**** and Stacy Kastner. "Creating Self-Directed Learners: Evaluating the Effectiveness of the Writing Center." Academy of Criminal Justice Sciences Annual Meetings, Orlando, FL. March 2015.

2014 **Shelley Keith** and Heather Scheuerman. "How Do Offender Characteristics Affect Procedural Justice and Shaming?: A Comparison of Perceptions." American Society of Criminology Annual Meetings, San Francisco, CA. November 2014.

2014 Heather Scheuerman and **Shelley Keith**. "Presence of Others in Restorative Justice: How Offender and Victim Influence Perceptions of Procedural Justice and Shaming." Justice Studies Association Meetings, Towson, MD. May 2014.

2013 **Shelley Keith**, David C. May, Nicole Rader, and Preston Elrod. "Examining the Impact of Strain on Perceptions of School Safety: Does Context Matter?" American Society of Criminology Annual Meetings. Atlanta, GA. November 2013.

2013 Heather Scheuerman and **Shelley Keith.** "Implications of Court versus Conference: The Relationship between Shame Management and Perceptions of Procedural Justice." American Society of Criminology Annual Meetings. Atlanta, GA. November 2013.

2013 **Shelley Keith****. "How Does Bullying Affect Fear and Coping?: An Application of General Strain Theory." Southern Criminal Justice Association. Virginia Beach, VA. September 2013.

2012 **Shelley Keith Matthews** and Heather Scheuerman. "Moral Identity and Negative Emotions: How do Reflected Appraisals affect the Propensity to Reoffend?" American Society of Criminology Annual Meetings. Chicago, IL. November 2012.

2012 **Shelley Keith Matthews****. "An Examination of the Characteristics of Strain and the Impact on Negative Emotions." Southern Sociological Society Annual Meetings. New Orleans, LA. March 2012.

2011 **Shelley Keith Matthews**** and Elizabeth Griffiths. "Who Adopts the Code of the Street?: An Analysis of Urban, Suburban, and Rural Georgia." American Society of Criminology Annual Meetings. Washington, D.C. November 2011.

2011 Lauren M. Vasquez, Timothy E. McClure, **Shelley Keith Matthews**, M. Jason Reed Serita Theresa Wheeler, and Angelica Phillips. "Examining the Relationship Between Gender Identity, Strain, Emotions, and Crime." American Society of Criminology Annual Meetings. Washington, D.C. November 2011.

2010 Heather L. Scheuerman and **Shelley Keith Matthews**. "The Role of the Offender Identity in the Restorative Justice Conference." American Society of Criminology Annual Meetings. San Francisco, CA. November 2010.

2010 **Shelley Keith Matthews**. "How Does Self-Complexity of Identity Buffer the Effect of Strain on Crime?" American Sociological Association Annual Meetings. Atlanta, GA. August 2010.

2009 **Shelley Keith Matthews****. "Assessing the Relationship Between Strain and Crime: Comparing Subjective and Objective Strain." American Society of Criminology Annual Meetings. Philadelphia, PA. November 2009.

2008 **Shelley Keith Matthews**. "Self-Complexity and Crime: Extending General Strain Theory." American Society of Criminology Annual Meetings. St. Louis, MO. November 2008.

2008 Melissa Burbank, Matt Vogel, and **Shelley Keith Matthews**. "The Effect of Individual and Peer Physical Victimization on Delinquency." - Helped with preparation of presentation but was not included on program. American Society of Criminology Annual Meetings. St. Louis, MO. November 2008.

2006 **Shelley Keith Matthews****. "What Explains the Code of the Street: A Test of Contextual and Compositional Explanations." American Society of Criminology Annual Meetings. Los Angeles, CA. November 2006.

2005 **Shelley Keith Matthews** and Robert Agnew. "Extending Deterrence Theory: Do Delinquent Peers Moderate the Relationship Between Perceptions of Getting Caught and Offending?" – Title changed from "A Theory of Explaining Serious Delinquency: An Examination of Two Samples." American Society of Criminology Annual Meetings. Toronto, Canada. November 2005.

2005 **Shelley Keith Matthews**. "What Factors Lead to Serious Juvenile Offending?" Southern Sociological Society Annual Meetings. Charlotte, NC. April 2005.

2005 Anna Krivelyova, **Shelley Keith Matthews**, and Robert Stephens. "Juvenile Justice Outcomes of Youth in Systems of Care: Comparison Study Results." A System of Care for Children's Mental Health: Expanding the Research Base Annual Meetings. Tampa, FL. March 2005.

## HONORS AND AWARDS

| | |
|---|---|
| 2015-2016 | Cross-College Research Grant with Ronald Cossman (PI), Sheeji Kathuria, Roslyn Miller, Kirsten Andrews, Anastasia Elder, Li Zhang, Nickoal Eichman, Katrina Akande, and Mary Ann Jones, "Responding to Changes in Social Science Research: Data Management in an Era of Research Results Replication and Mandated Data Archiving," $2,000. |
| Summer 2012 | Selected participant: Quantitative Analysis of Crime and Criminal Justice Workshop, ICPSR Summer Program, Bureau of Justice Statistics, $3,500 |
| 2012-2013 | Cross-College Research Grant with Merrill Warkentin (P.I.), Dave Dampier, Byron Williams and Stacy Haynes, "IS Security / Insider Abuse Working Group Using Forensics and Criminology to Investigate Causes and Preventions of Insider Abuse," $2,000 |
| 2008-2009 | Dean's Teaching Fellowship, $17,500 |
| 2008-2009 | Andrew W. Mellon Foundation Graduate Teaching Fellowship (declined), $23,500 |
| 2007-2008 | Robert W. Woodruff Library Graduate Fellowship (declined), $16,000 |
| 2007-2008 | Emory Research Support Award, $2,846 |
| 2003-2007 | Emory Graduate Fellowship, $15,000 |
| Fall 2006 | Professional Conference Travel Grant, $750 |
| Summer 2006 | Culture and Social Psychology Empirical Research Grant, $900 (Support received to produce original research for publication) |
| Fall 2005 | Professional Conference Travel Grant, $650 |
| Spring 2005 | Professional Conference Travel Grant, $650 |
| Fall 2004 | Violence Studies Program Grant, $600 (Support received to evaluate the effectiveness of Dekalb County Juvenile Court anti-shoplifting program) |

## TEACHING EXPERIENCE

*Mississippi State University*
*Undergraduate Courses*

- Criminological Theory
- Crime, Justice, and Inequality
- Gender, Crime, and Justice
- Criminology
- Society and the Individual

*Graduate Courses*

- Symbolic Interaction
- Criminological Research Methodology
- Micro-Theoretical Approaches to the Correlates of Crime
- Graduate Social Theory II

*Emory University*
*Undergraduate Courses*

- Gender and Crime
- Juvenile Delinquency

**Invited Lectures**

*Mississippi State University*

| | |
|---|---|
| Fall 2016 | "Choosing a Committee" in *Proseminar*. |
| Summer 2014 | "Using the Writing Center to Improve Your Students' Writing and Learning" for *Quality Enhancement Plan Maroon Institute for Writing Excellence* |
| Spring 2014 | "Using the Writing Center to Improve Your Students' Writing and Learning" for the *The Center for Teaching Learning Brown Bag Series* |
| Fall 2014 | "Identity negotiation and maintenance" in *Society and the Individual* |
| Spring 2012 | "Experiments" in *Introduction to Social Research* |
| Spring 2011 | "Strain Theories" in *Crime and Justice in America* |
| Fall 2010 | "Social Disorganization Theory" in *Seminar in Criminology, Graduate* |
| Fall 2010 | "Personality Traits and Crime" in *Crime and Justice in America* |

*Georgia State University*

| | |
|---|---|
| Summer 2008 | "What is causality? What is an experiment?" in *Research Methods in Criminal Justice* |

*Emory University*

| | |
|---|---|
| Fall 2006 | "Violent Youth Crime" in *Juvenile Delinquency* |
| Fall 2006 | "Illegal Drug Use and Delinquency" in *Juvenile Delinquency* |
| Fall 2005 | "Research Ethics" in *Social Research I* |
| Fall 2005 | "A Review and Expansion of Deterrence Theory" in *Causes of Crime, Graduate* |
| Fall 2004 | "Why do Some Communities Have Higher Rates of Delinquency than Others?" in *Juvenile Delinquency* |
| Spring 2004 | "Gender Socialization" in *Introduction to Sociology* |

*Florida State University*

| | |
|---|---|
| Fall 1998 | "Gender and Work" in *Introductory Sociology* |
| Fall 1998 | "Consensus and Conflict Perspectives on the Causes of Crime" in *Introductory to Sociology* |

## PEDAGOGICAL TRAINING

| | |
|---|---|
| Fall 2015 | "MyCourses: Introduction to SafeAssign" workshop conducted by Tina Green, Information Technology Services, August 20, 2015. |
| Fall 2015 | "Introduction to myCourses" workshop conducted by Tina Green, Information Technology Services, August 18, 2015. |
| Summer 2014 | "Developing a Teaching Portfolio" 9 hour workshop conducted by Jared Keeley, The Center for Teaching and Learning, June 23, 24, 26, 2014. |
| Spring 2011 | "Terrific Tips: Great Teaching Tips from Award Winning Faculty" workshop conducted by The Center for Teaching and Learning, Feb. 16, 2011. |
| Fall 2005 | Sociology 767: Teaching Sociology, four hour credit course, Department of Sociology, Emory University. |
| Summer 2004 | Teaching Assistant Training and Teaching Opportunities, The Graduate School of Arts and Sciences three-day training course, Emory University. |

## RESEARCH TRAINING

2016 "Interview and Assessment Skills" one day workshop conducted by Jennifer Cobbina and Sharon Oselin, American Society of Criminology Meetings, November 2016.

2016 "International Institute Learning Session" by the College of Arts & Sciences Research Series. October 2016.

2015 "Who's Citing You? Tracking the Impact of Your Research" by Deborah Lee, Professor and Coordinator, Graduate Student Services, Mitchell Memorial Library. April 2015.

2014 "Grant Writing II – The Practicum" three hour workshop conducted by Robert Porter, President of Grant-Winners Seminars. September 201

2012 "Maximum Likelihood Estimation" four week workshop conducted by Dean Lacy, ICPSR Summer Program.

2012 Selected participant: Quantitative Analysis of Crime and Criminal Justice Workshop, ICPSR Summer Program, Bureau of Justice Statistics, $3,500 stipend.

2011 "Creating Effective Designs for Mixed-Mode Surveys" 3 hour workshop conducted by Don A. Dillman, October 2011.

2010 "Statistical Methods for Analyzing Criminological Panel Data" one day workshop conducted by David F. Greenberg, American Society of Criminology Meetings, November 2010.

2010 "Panel Data Analysis Using Stata" five day workshop conducted by David Drukker, ICPSR. June 2010.

2009 Social Science Research Center Faculty Mentoring Program, weekly workshop

2008 Grant Writing Forum one day workshop, Emory University. September 2008.

2008 Statistical Analysis Using R three day workshop conducted by Drew Linzer, Emory University. May 2008.

2007 Causal Inference Using Propensity Scores one day workshop conducted by Tom Loughran, American Society of Criminology Meetings. November 2007.

2006 Beyond OLS: An Introduction to Generalized Linear Models one day workshop conducted by David McDowall, American Society of Criminology Meetings. October 2006.

2006 Grant Proposal Writing one day workshop conducted by Joanna Davidson, Emory University. June 2006.

2006 Qualitative Research Design and Mixed Methods Design two day workshop conducted by Heather Jamerson and Lauren Rauscher, Emory University. May 2006.

2005 Grant Proposal Writing one day workshop conducted by Ivan Karp, Emory University. September 2005.

2005 "Analyzing Developmental Trajectories" three day workshop conducted by Daniel Nagin, ICPSR. June 2005.

2004 "Categorical Data Analysis" five day workshop conducted by Scott Long, ICPSR. July 2004

2003 Grant Proposal Writing one day workshop conducted by Ivan Karp, Emory University. September 2003.

## PROFESSIONAL EXPERIENCE

2004-2008 ICF Macro; Atlanta, GA; Summer 2004, Summer 2005; Fall 2007 – Fall 2008
*Research Associate*

- Aided in grant writing for various program evaluations including evaluating the effectiveness of drug courts
- Analyzed juvenile justice data for the purpose of program evaluation

- Investigated the infrastructure of state court systems for coding juvenile justice data
- Conducted extensive literature reviews
- Redesigned survey on adolescent delinquent behaviors
- Collaborated in revisions in content and web-based formatting for management information system survey

2002-2003 Department of Juvenile Justice; Atlanta, GA; March 2002-August 2003
*Statistical Research Analyst*

- Conducted research studies and analyses using various analytical and statistical tools that frequently had statewide impact
- Provided significant expertise in the area of organizational/programmatic performance measures
- Prepared and presented findings resulting from research to department administrators, agency staff, and other entities as appropriate
- Screened outside research request to determine reliability and validity of studies
- Analyzed juvenile justice populations and completed projections for facility and agency capacity needs
- Took continuing education courses on ARC View and SQL

2000-2002 U S. Bureau of the Census; Atlanta, GA; Jan. 2000-March 2002
*Supervisory Survey Statistician*

- Directed data collection processes for the National Health Interview Survey
- Supervised over 60 Field Representatives, including hiring, training, and performance evaluations
- Maintained the consistency, accuracy and validity of the data and suggested improvements for data collection activities based on a thorough understanding of survey concepts and the problems inherent in data collection
- Recognized for exemplary work with three special achievement cash awards
- Consistently attained over 93% survey response rate (second highest rate in the country)
- Managed substantial budget (1.3 million dollars) through monitoring such costs as interviewer mileage, cost per case, training, salaries, over-time, and awards
- Attended intensive week long training to enhance supervisory skills

1999-2000 Bluegreen Golf; Atlanta, GA; June 1999-Jan. 2000
*Senior Research Analyst*

- Assessed possible golf course community locations utilizing GIS mapping software (ScanUS)
- Created demographic reports and maps through geocoding potential and existing markets
- Wrote technical reports based on statistical findings and library research
- Managed data within Excel, interfacing with mapping software
- Traveled to sites to research potential markets
- Took continuing education course on data management in Excel

## PROFESSIONAL MEMBERSHIPS

American Society of Criminology
American Sociological Association
  Crime, Law and Deviance Section
  Social Psychology Section
Academy of Criminal Justice Sciences
Southern Sociological Society
Southern Criminal Justice Association
Alabama Mississippi Sociological Association

## UNIVERSITY SERVICE

*Mississippi State University, University Level*

| | |
|---|---|
| 2016 - present | Search Committee, Dean of Arts and Sciences |
| 2014 – present | ICPSR Representative |
| 2013 – 2015 | Arts & Sciences Faculty Senate Sociology Representative |
| 2012 – 2014 | Student Honor Code Council Member |
| 2013 – (spring) | Sports Club and Facilities Coordinator Search Committee |
| 2009 – present | Faculty Advisor for University Taido Karate Club |

*Mississippi State University, Department Level*

| | |
|---|---|
| 2016 – present | Tenure and Promotion Committee |
| 2016 – present | Graduate Policies and Curriculum Committee |
| 2016 – present | Search Committee Rural Sociology |
| 2016 – present | Chair, Preliminary Examination Committee - Criminology |
| 2014 – present | Ph.D. Qualifying Examination Committee – Theory & Methods/Statistics |
| 2016 – present | Chair, Data Committee |
| 2015 – 20016 | Chair, Search Committee Rural Sociology, Community Development, and/or Sustainable Development |
| 2015 – 2006 | Sociology Awards and Recognition Committee |
| 2009 – 2015 | Preliminary Examination Committee Member – Criminology |
| 2012 – 2014 | Graduate Curriculum Committee |
| 2010 – 2012 | Ph.D. Qualifying Examination Committee – Theory & Methods/Statistics |
| 2010 – 2012 | M.S. Exit Examination Committee – Theory & Methods/Statistics |
| 2009 – 2011 | Graduate Admissions and Support Committee |

*Graduate Student Service, Department Level*

| | |
|---|---|
| 2008 – 2009 | Graduate Student Mentor; *Emory University* |
| 2006 – 2008 | Faculty Representative for Graduate Students; *Emory University* |
| 2008 – (spring) | Discussant, Southeastern Undergraduate Sociology Symposium; *Emory University* |
| 2006 – 2007 | Graduate Student Mentor; *Emory University* |
| 2006 – (summer) | Interim Faculty Graduate Liaison; *Emory University* |
| 2005 – 2006 | Human Subjects Committee; *Emory University* |
| 2003 – 2004 | Graduate Recruitment Committee; *Emory University* |
| 1998 – 1999 | Treasurer, Sociology Graduate Student Union; *Florida State University* |

## PROFESSIONAL SERVICE

| | |
|---|---|
| 2017 – 2018 | Refereed Round Table Program Chair, American Sociological Association |
| 2014 – 2015 | Area Program Chair, Academy of Criminal Justice Sciences |
| 2012 – 2013 | Membership Committee, American Society of Criminology |

2009 – present Ad Hoc Reviewer for:

*Crime & Delinquency*
*Criminal Justice Policy Review*
*Criminology and Criminal Justice*
*Deviant Behavior*
*Gender and Society*
*Journal of Criminal Justice*
*Journal of Family Issues*
*Journal of Research in Crime and Delinquency*
*Justice Quarterly*
*Online Journal of Social Sciences Research*
*Race and Justice*
*Social Problems*
*Social Psychology Quarterly*
*Sociological Forum*
*Sociological Spectrum*
*Sociology Compass*
*Youth and Society*
*Youth Violence and Juvenile Justice*

## GRADUATE STUDENT COMMITTEES

Dissertation Committees

| | |
|---|---|
| 2013 | Member, Scott Mathers |
| 2015 | Member, Jacqueline Chavez |
| In progress | Member, Jason Reed |

Thesis Committees

| | |
|---|---|
| 2014 | Member, Megan Stubbs-Richardson |
| 2014 | Chair, Hatice Celik |
| 2015 | Member, Kristin Stives |

## REFERENCES

Dr. Robert Agnew
Samuel Candler Dobbs Professor of Sociology
Department of Sociology
Emory University
1555 Dickey Drive
Atlanta, GA 30322
(404) 727-7502
bagnew@emory.edu

Dr. Elizabeth Griffiths
Associate Professor
School of Criminal Justice
Rutgers University
123 Washington Street
Newark, NJ 07102
(973) 353-3303
elizabeth.griffiths@rutgers.edu

Dr. David C. May
Professor
Department of Sociology
Mississippi State University
200 Bowen Hall P.O. Box Drawer C
Mississippi State, MS 39762
(662) 325-7877
dmay@soc.msstate.edu

Dr. Heather L. Scheuerman
Assistant Professor
Department of Justice Studies
James Madison University
Mood Hall 213, MSC 1205
Harrisonburg, Virginia 22807
(540) 568-4332
scheuehl@jmu.edu

THE UNIVERSITY OF
**MEMPHIS**

Prof. Mary Beth Mader
Department of Philosophy
337 Clement Hall
Memphis, TN 38152-3530
Office: (901) 678-2535
Fax: (901) 678-4365
Email: mmader@memphis.edu

Dr. Karen Weddle-West, Provost
Division of Academic Affairs
360 Administration Building
University of Memphis
Memphis, TN 38152

Dear Provost Weddle-West,

The Philosophy Department requests tenure upon appointment at the rank of Associate Professor for Dr. Michael Monahan. Dr. Monahan currently holds a position of Associate Professor of Philosophy at Marquette University. An established scholar of social and political philosophy, Dr. Monahan has developed a unique and active research program in the sub-specializations of Philosophy of Race and Racism and Africana Philosophy, among other fields. Leading senior experts in these areas attest to the excellence of his scholarship, as evidenced by his glowing letters of recommendation. His success as an educator has been recognized numerous times, notably with the Helen Way Klingler Interdisciplinary Teaching Award ($20,000) at Marquette in 2006. Having served as acting chair of his department (2013-14), as well as Director of the Africana Studies Program (2008-present), Dr. Monahan has ample administrative service experience, as well. Moreover, he has been a prime mover in the ongoing diversification of the academic field of philosophy through his conference and summer institute organizing, his activities in professional societies, and through his individual mentoring of non-traditional students of philosophy. In sum, Dr. Monahan decidedly exceeds the Tenure and Promotion standards that govern both departmental and college practices and actions on faculty rank. The Philosophy Department therefore urges his tenuring upon appointment at the rank of Associate Professor

Please let me know if you need any further information from me about Dr. Monahan's profile or accomplishments.

Cordially,

Mary Beth Mader

Mary Beth Mader
Professor and Chair
Department of Philosophy
mmader@memphis.edu

THE UNIVERSITY OF MEMPHIS

Department of Philosophy

337 Clement Hall
Memphis, Tennessee 38152-3530

Office: 901.678.2535
Fax: 901.678.4365

www.memphis.edu

February 22, 2017

Dr. Michael Monahan
132 N. Jefferson St., #241
Milwaukee WI

53202

Dear Dr. Monahan:

I am very pleased to offer you an appointment as an Associate Professor with tenure in the Department of Philosophy at the University of Memphis. The appointment will commence on August 21, 2017. Your compensation package will include a 9-month base salary (institutional base pay) of $68,000.00 for the fall and spring semesters (to be paid in twelve monthly payments, in accordance the University of Memphis policy #1613, with the first monthly payment at the end of September 2017).

The research compensation program may allow faculty to supplement their 9-month institutional base pay upon successful solicitation of external grants and contracts. This compensation would come from the salary recovery received by your department as the result of your externally funded research program.

Summer teaching is contingent upon the instructional needs of the Department and minimal enrollment standards, and subject to the discretion of the department chair in assigning summer classes.

Your initial effort allocation will be 40% in teaching courses, 40% in research and scholarship, and 20% in service. Course buyouts for funded research are to be a rate of 10% to 12.5% of institutional base pay. Your effort allocation in subsequent years will be determined by the department head (subject to approval by the dean and provost) with a minimum teaching load of two courses per semester. You may also be expected to teach at off-campus sites, depending on department needs. The teaching loads as stated in this letter are subject to your productivity in research and scholarship, as well as the University's financial resources.

The University of Memphis offers a comprehensive benefits program. To learn about the benefits available to faculty, please visit the Human Resources website at http://bf.memphis.edu/hr/benefits/faculty.php.

In addition to a comprehensive compensation package, the University is prepared to offer a start-up package of $2,500.00.

In addition, the department will provide a moving allowance of $5,000.00. Please sign the attached moving allowance form and return it with this offer letter.

Once you have accepted the position, we will request tenure upon appointment at the rank of Associate Professor, to be approved by the Provost, the President, and the University of Memphis Board of Trustees.

To process your appointment, an official transcript is required. Please have the institution that awarded your highest degree submit an official transcript directly to The University of Memphis, Office of Faculty Administrative Services, 374 Administration Building, Memphis, TN 38152-3120.

Shortly after you return this offer letter, you will receive an email from "Application Station" asking you to fill out a form. Please watch for this email as it triggers the final step in the hiring process.

The foregoing contract terms are contingent upon the approval of the Provost, the President of the University, and the Board of Trustees, if necessary. Please return your acceptance as soon as possible so that processing of your appointment can proceed.

Sincerely,

Mary Beth Mader

Dr. Mary Beth Mader

I accept this offer of employment.

Dr. Michael Monahan

March 29, 2017

Date

**CURRICULUM VITAE**

**Michael J. Monahan**
**Department of Philosophy, Marquette University**
**Office Phone: (414) 288-6947**
**michael.monahan@marquette.edu**

**Areas of Specialization:**
Social and Political Philosophy, Ethics, Philosophy of Race and Racism, Africana Philosophy, Phenomenology

**Areas of Concentration:**
19th Century European Philosophy, Feminist Philosophy

**Degrees:**
B.A., Purdue University, West Lafayette, IN, Philosophy, 1995
M.A., University of Illinois at Urbana/Champaign, Philosophy, 1998
Ph.D., University of Illinois at Urbana/Champaign, Philosophy, 2003

**Academic Experience:**
Teaching Assistant, Philosophy, University of Illinois at Urbana/Champaign, 1996-2001
Visiting Lecturer, Philosophy, University of Nevada Las Vegas, 2001–2003
Assistant Professor, Philosophy, Marquette University, 2003-2009
Associate Professor, Philosophy, Marquette University, 2009-present

**PUBLICATIONS (All Refereed)**

**Books**
*The Creolizing Subject: Race, Reason, and the Politics of Purity*, Fordham University Press, 2011

**Editions (Edited Volumes)**
*Creolizing Hegel*, part of the *Creolizing the Canon* series, Rowman and Littlefield International, forthcoming March 2017 (I am the sole editor)

**Chapters in Books**
"Contracting Neighborhood: Social Reality and Human Nature at Work in Suburbia," *Tensional Landscapes: The Dynamics of Boundaries and Placements*, Gary Backhaus and John Murungi, eds., Lexington Books (2003), pp. 153-162.

"Reason, Race, and 'The Human Project': Sylvia Wynter, Sociogenesis, and Philosophy in the Americas," in *Philosophizing the Americas: An Inter-American Discourse*, Jacoby Adeshei Carter and Hernando A. Estévez, eds., Fordham University Press, forthcoming 2017.

"Introduction – What is Rational is Creolizing," in *Creolizing Hegel*, Michael J. Monahan, Ed., Rowman and Littlefield International, forthcoming March 2017.

**Articles**
"Nietzsche's Laughter, Plato's Beard," *Dialogue*, Volume 37, Nos. 2-3 (1995), pp. 57-61.

"The Person as Signatory: Contractarian Social Ontology at Work in Suburbia," *Listening*, Volume 37:2 (2003), pp. 116-135

"The Conservation of Authenticity: Political Commitment and Racial Reality,", *Philosophia Africana*, Volume 8:1 (2005), pp. 37-50

"Private Property and Public Interest," *Philosophy in the Contemporary World*, Volume 12:2 (2005), pp. 17-21

"On the Question of Latin American Philosophy", *APA Newsletter on Hispanic/Latino Issues in Philosophy*, Volume 5:1, pp. 15-17

"Recognition Beyond Struggle: On a Liberatory Account of Hegelian Recognition", *Social Theory and Practice*, Volume 32:3 (2006), pp. 389-414

"Race, Colorblindness, and Continental Philosophy", *Philosophy Compass* 1 (2006): 10.111/j.1747-9991.2006.0040.x (reprinted in Special Issue on Race, *Philosophy Compass 3:v2*, Feb. 2008)

"The Practice of Self Overcoming: Nietzschean Reflections on the Martial Arts", *The Journal of the Philosophy of Sport*, Volume 34 (2007), pp. 39-51

"Sartre's *Critique* and the Inevitability of Violence: Human Freedom in the *Milieu* of Scarcity", *Sartre Studies International*, Volume 14, Issue 2, 2008: 48-70

"The Education of Racial Perception", *Philosophy and Social Criticism*, Volume 36:2, 2010: 209-229

"Emancipatory Affect: bell hooks on Love and Liberation", in *The CLR James Journal*, Volume 17:1 (2011), pp. 102-111

"On the Politics of Purity: A Reply to Critics", book discussion of *The Creolizing Subject* in *The CLR James Journal*, Volume 18:1 (2012), pp. 217-223

"The Concept of Privilege: A Critical Appraisal", in *The South African Journal of Philosophy*, 33:1 (2014), pp. 73-83

**Book Reviews**
Review: Rodney C. Roberts, *Injustice and Rectification*, in *Philosophia Africana*, Volume 10:1, 2007: 69-72

"Liberalism and the Challenge of Race: Two Views" Review Essay: Derrick Darby, *Rights, Race and Recognition* **and** Ronald R. Sundstrom, *The Browning of America and the Evasion of Social Justice*, in *Social Theory and Practice*, Volume 36:4, 2010, pp. 689-704.

Review: Paul C. Taylor, *Race: A Philosophical Introduction*, *The South African Journal of* Philosophy, 32:3, 2013: 285-289

Review: José Medina, *The Epistemology of Resistance*, The American Philosophical Association Newsletter on Feminism and Philosophy, Volume 13:2, 2014, pp. 52-54

"Rousseau, Fanon, and the Question of Method in Political Theory," review of Jane Anna Gordon, *Creolizing Political Theory: Reading Rousseau Through Fanon*, in *Radical Philosophy Review*, 18:1, 2015: 169-173

Review: Emily Lee, ed., *Living Alterities: Phenomenology, Embodiment, and Race*, The American Philosophical Association newsletter on Feminism and Philosophy, Volume 15:1, 2015, pp. 24-27.

**Miscellaneous (non-refereed) Publications**
"Africana Philosophy: Globalizing the Diversity Curriculum", *Diversity & Democracy*, Volume 10:3, pp. 12-13

## PARTICIPATION IN PROFESSIONAL MEETINGS AND/OR PAPERS PRESENTED

"Reason, Value, and Cross-Cultural Criticism," Presented at the second annual Interdisciplinary Conference at the University of Southern California Saturday, April 3, 1999.

"Race, Seriality, and Authenticity," Presented at the Brown University Phenomenology Roundtable, June 9, 2001.

"Contracting Neighbor-hood: Social Reality and Human Nature at Work in Suburbia," Presented at Fourth Annual International Conference for the Society for Philosophy and Geography, Towson University, April 27, 2002.

"Racism and Institutional *Mis*recognition," Presented at Second Annual Phenomenology Roundtable, Brown University, June 28, 2002.

"Philosophy and Activism," Plenary presentation at 2002 Radical Philosophy Association Conference, Brown University, November 8, 2002

"Private property, free speech, and the 'public good': selfhood and political agency in a context of media monopoly," Presented at the meeting of the Society for Philosophy in the Contemporary World at the Pacific Division meeting of the American Philosophical Association, March 28, 2003.

"Hip-Hop and Cultural Appropriation," presented at the Marquette University conference on Hip Hop and Social Change, November 2003.

Chaired a session at the annual meeting of the Wisconsin Philosophical Association, April 2004

Chaired a session at the Conference on Caribbean Culture and Literature at Marquette University, October 2004

"Reciprocity, Assistance, and Structural Adjustment: A Phenomenology of Liberation in the Caribbean," presented at the meeting of the Caribbean Philosophical Association in Barbados, West Indies, May 2004

Moderated session at the Conference on Caribbean Culture and Literature at Marquette University, October 2004

"Rehabilitating Whiteness: The Case of Irish Transportation," presented at the 2nd annual meeting of the Caribbean Philosophical Association in San Juan, Puerto Rico, June 2005

"Reflections on the Question of Latin-American Philosophy", presented at the Eastern Division meeting of the APA, New York City, December 2005

"Martial Arts as Nietzschean 'Self-Overcoming'", presented at the Pacific Division meeting of the APA, Portland Oregon, March 2006

"On Becoming Anti-Racist: Nietzschean Reflections on Racial Psychology", presented at the Heretical Nietzsche Studies conference, Temple University, April 2006, and at the Central Division meeting of the APA, Chicago, April 2006

"Sartre on Scarcity and Violence", presented at the 6th annual meeting of the Phenomenology Roundtable, Temple University, June 2006

"Scarcity, Violence, and Liberation", presented at the 3rd annual meeting of the Caribbean Philosophical Association in Montreal, Canada, August 2006

“Racial Seeing and the Educated Palette: A Liberatory Phenomenology of Racial Perception”, presented at the California Roundtable on Philosophy and Race in San Francisco, California, September 2006

“The Education of Racial Perception”, presented at the Society for Phenomenology and Existential Philosophy in Philadelphia, Pennsylvania, October 2006

“The Education of Racial Perception”, presented at the 4th annual meeting of the Caribbean Philosophical Association in Mona, Jamaica, June 2007

“Conjuring Whiteness: Race and Irish Transportation in 17th Century Barbados”, presented at the 3rd annual Cave Hill Philosophy Symposium in Bridgetown, Barbados, August 2007

“Community, Identity, and Conflict in Theory and Practice: Exploring Urban Violence from an Interdisciplinary Perspective” presented at the annual meeting of the National Communication Association in Chicago, November 2007

“On Becoming Anti-Racist”, presented in the colloquium series of the department of History and Philosophy at the University of the West Indies, Cave Hill Campus, Barbados, February 2008

“Racial Justice and the Politics of Purity”, presented at the Central Division Meeting of the American Philosophical Society, April 2008

“Racial Justice and the Politics of Purity”, presented at the 8th annual meeting of the Phenomenology Roundtable, New York, May 2008

“History, Politics, and the Reality of Race”, presented at the 5th annual meeting of the Caribbean Philosophical Society, Guadaloupe, June 2008

“Racial Justice and the Politics of Purity”, presented at the California Roundtable on Philosophy and Race, UC Berkeley, October 2008

“What Love’s Got to Do With It: The Role of Love in bell hooks’ Philosophy of Liberation”, presented at Lewis University’s annual philosophy conference, Romeoville, Illinois, February 2008

“Race, Gender, and the Purification of Reason”, presented at the Center for Latino Policy Research, UC Berkeley, November 2009

“Race, Gender, and the Purification of Reason”, presented at the Cave Hill Philosophy Symposium, University of the West Indies, Cave Hill, Barbados, November 2009

“The Subject of Recognition: Sovereignty, Tragedy, and Race”, presented at the Universidad de los Andes in Bogota, Colombia, August 2010

“Is Race Real? Taxonomy, Meaning, and the Biology of Race”, presented as part of the Biology Department’s Colloquium series at John Carroll University, November, 2010

“Recognition, Epistemology, and Ethics”, presented at the Cave Hill Philosophy Symposium, University of the West Indies, Cave Hill, Barbados, November 2010

"Mind, Body, Identity, and the Practice of the Martial Arts: Teaching Martial Arts in a Philosophy Seminar", presented to the Society for the Study of Philosophy and the Martial Arts at the Pacific Division meeting of the American Philosophical Association, April 2011

"Privilege, Scarcity, and Oppression", presented to the California Roundtable for Philosophy and Race, UMass Boston, September 2011

"Author Meets Critics: *The Creolizing Subject*", book panel presented at the Eastern Division meeting of the American Philosophical Association, Washington, D.C., December 2011

"*The Creolizing Subject:* A Conversation with Michael Monahan", book panel presented at the Caribbean Philosophical Association, University of the West Indies St. Augustine Campus, Trinidad, July 2011

"Race, Phenomenology, and Recognition", presented to the Phenomenology Research Group at Loyola University, Chicago, October 2012

"Maturity, Freedom, and Living Phenomenologically", presented to the Society for Phenomenology and the Human Sciences, Rochester, New York, November 2012

"Race, Phenomenology and Recognition", presented at the "Phenomenology and Its Futures" conference at the University of Johannesburg, Johannesburg, Republic of South Africa, March 2013

"Race, Reason, and Colonialism", presented as part of the philosophy department colloquium series at Stellenbosch University in Stellenbosch, Republic of South Africa, April 2013

"Is Race Real? A Phenomenological Approach", presented as part of the religion and philosophy department colloquium series at the University of the Western Cape, Cape Town, Republic of South Africa, April 2013

"On Creolization as *Telos*", presented as part of the philosophy department colloquium series at the University of Ft. Hare, East London, Republic of South Africa, May 2013

"On Creolization as *Telos*", presented as part of the politics department colloquium series at Rhodes University, Grahamstown, Republic of South Africa, May 2013

"Strangeness and Maturity in Samantha Vice's 'How Do I Live in This Strange Place?'", presented as a public lecture at Rhodes University, Grahamstown, Republic of South Africa, May 2013

"Ontology and Race", presented at the 20th annual Philosophy Born of Struggle Conference at Purdue University, Indiana, October 2013

"Phenomenology in the Global South: The Case of South Africa", presented at the 10th annual meeting of the Caribbean Philosophical Association, San Juan, Puerto Rico, November 2013

"Inter-American Philosophy", presented at the Society for the Advancement of American Philosophy, Denver, Colorado, March 2014

"Phenomenology in and of the Americas: on Sánchez's Critique of Jorge Portilla's *Fenomenología del Relajo*", presented at the American Philosophical Association's Pacific Division Meeting, San Diego, California, April 2014

"The Human after *Man*: On Sylvia Wynter's Philosophical Anthropology," presented at the 21st annual Philosophy Born of Struggle Conference at Paine College, Georgia, October 2014

"The Human after *Man*: On Sylvia Wynter's Philosophical Anthropology," presented at the 15th annual meeting of the Phenomenology Roundtable, Fresno, California, June 2015

Participant in 'Author Meets Critics' session on Neil Roberts' *Freedom as Maronnage* and LaRose Parris' *On Being Apart*, at the 22nd annual Philosophy Born of Struggle Conference at the University of Connecticut, November 2015

"Recognition and Identity: A Hegelian Response to Contemporary Critics," presented as part of the University of Kentucky's Colloquium Series, November 2015

"On Caribbean Philosophy," presented as a colloquium at Mt. Mary University, Wisconsin, November 2015.

"On 'Creolizing' Theory: Reflections on and Challenges for the South African Context," presented as part of the annual uBuntu Project meeting at the University of Venda, Thohoyandou, South Africa, July 2016.

**Doctoral Committees (Completed)**
**Directed** - Melissa Mosko, Velimir Stojkovski, Chris Kramer, Margaret Steele
**2nd Reader** – Jacob Held, Joseph Kranak, Colin Hahn
**Committee Member** - Joan Jasak (Temple University), Chad Kleist

**Doctoral Committees (In Progress)**
**Directing** – Jenn Marra
**2nd Reader** – Matt Peters, Jenn Fenton, Shaun Miller, Tyler Friedman, D.J. Hobbs
**Committee Member** - Jennifer Soerensen

**TEACHING**
**Undergraduate Courses Taught**
Phil 1001: Philosophy of Human Nature
Phil 2310: Theory of Ethics
Phil 3710: Political Philosophy
Phil 3770: Feminist Philosophy
Phil 3780: Africana Philosophy
Phil 4320: Contemporary Ethical Problems
Phil 4330: Business Ethics
Phil 4953: Undergraduate Seminar (Community and Conflict in Theory and Practice – co-taught with Dr. Sarah Feldner of the College of Communications)
Phil 4953: Undergraduate Seminar (Nietzsche's Ethics)
Phil 4953: Undergraduate Seminar (Metaphysics, Politics, and Ethics of Identity – Gender and Race)
HOPR 010: Hip-Hop, Philosophy, and Politics
HOPR 020: Philosophy and Martial Arts

**Graduate Courses Taught**
Phil 5953: Seminar: Metaphysics, Politics, and Ethics of Identity – Gender and Race
Phil 6460: Philosophy of Freedom
Phil 6662: Hegel
Phil 6710: Political Philosophy
Phil 6957: Text/Seminar in 19th Century Philosophy: Hegel's *Philosophy of Right*
Phil 6957: Text/Seminar in 19th Century Philosophy: Nietzsche's Ethics
Phil 6957: Text/Seminar in 19th Century Philosophy: Hegel's Logic
Phil 6959: Seminar: Philosophy of Race and Racism
Phil 6959: Seminar: Justice and the Politics of Recognition

**At the University of Nevada Las Vegas**
Introduction to Philosophy
Reason and Critical Thinking
Contemporary Moral Problems – "Philosophy and Race"

Honors Seminar – "Philosophy and Race"

**At the University of Illinois at Urbana/Champaign**
Introduction to Philosophy
Introduction to Ethics
Contemporary Moral Problems – "Philosophy and Race"

## COMMITTEES AND UNIVERSITY SERVICE

**University Service**
Academic Director, South Africa Service Learning Program (Spring Term, 2013)
Director, University Core of Common Studies (July 2009-2012)
Member, University Assessment Committee (Fall 2009-2012)
Member, Office of International Education Faculty Advisory Committee (Fall 2009-2012)
Faculty Advisor and head instructor for (martial arts club) Kuk Sool Won of Marquette (2004-present)
Panel presenter for the 2006 "Conversations on Learning", Marquette University, January 2006
Invited guest speaker on Freedom and Social justice at a meeting of Marquette's JUSTICE organization, March 2006
Invited guest speaker on Violence and Identity at Marquette's annual JUSTICE teach-in, October 2006
Committee to develop Human Rights Institute (2005-2007)
Participant in "Global Futures" program (2006-2007)
Participant in ACLU Contemplative Practice Program 2007-2008
Lead discussion on Africana Philosophy for meeting of faculty teaching in the "Diverse Cultures" knowledge area for Marquette's Core Curriculum, November 2007
Participated in panel discussion on "Civil rights and Hip-Hop" for Multi-Cultural Urban/Suburban Emerging Leaders Program at Marquette University, November 2007
Participated in panel discussion on "Men, Masculinity, and Sexual Violence for Violence Opposition in Community Education student organization at Marquette University, November 2007
McNair Scholars Program Faculty mentor (summers of 2007, 2008, 2009, 2010)

**College Service**
Pre-Major Advising (2004-2010, 2014)
Committee to develop Pan-African Studies Program (2003-2004)
Committee to develop Comparative Race and Ethnic Studies Program (2006)
Committee to restructure the African-American Studies Program (2006)
Director, Africana Studies Program (2008-present)
Represented Africana Studies at "Explore the Majors Fair" (2009, 2010)

**Department Service**
Acting Chair (2013-14)
Chair, search committee for an external chair, 2014-15
Member, search committee for Non-Western position, 2011
Represented department at "Explore the Majors Fair" (2004, 2008)
Represented department at "Discovery Days" (2005)
Director of Placement (2004-2006)
Faculty Moderator for Philosophy Graduate Student Association (2004-2006)
Undergraduate Committee (2008-present)
Executive Committee (2005-2007, 2014-2016)
Advising of majors and graduate students (2004-present)
Presenter on diversity in the classroom at the Marquette Philosophy Department's TA training program, August 2006, 2007, 2008, 2009, 2010, 2011, 2014
Invited guest speaker on diversity in the Curriculum for the Mellon-Sponsored seminar on teaching at Marquette University, September 2006, 2007, 2008, 2009

Presented "Philosophy of Race and Racism" for the Marquette Undergraduate Philosophy Colloquium, November 2007

**Community Service**
Volunteer at Riverwest Food Coop (2003-2005)
Consultant for People's Books Cooperative on the restructuring of their Philosophy selection (2007)

**Professional Service**
Editorial Review Board, *Creolizing the Canon* book series with Rowman and Littlefield International
Associate Editor, *Athenae Noctua*, undergraduate philosophy journal
Faculty, Caribbean Philosophical Association Summer Institute, 2016
Convener, Caribbean Philosophical Association Summer Institute, 2015
Seminar Leader, Collegium Phenomenologicum, 2014
Referee for *Hypatia*
Referee for *Philosophy and Social Criticism*
Referee for *Social Theory and Practice*
Referee for the *Journal of the Philosophy of Sport*
Referee for *Social Philosophy Today*
Referee for *Confluence: Online Journal of World Philosophies*
Referee for Duke University Press
Referee for Fordham University Press
Referee for Polity Press
Referee for Palgrave Macmillan
Referee for Routledge Press
Referee for the American Philosophical Association's Newsletter on Feminism and Philosophy
Vice President of the Caribbean Philosophical Association (2008-2013)
Treasurer of the Caribbean Philosophical Association (2013-present)
Organized and Hosted the Phenomenology Roundtable Meetings at Marquette University in 2007 and 2011
Co-Organized and Hosted the Phenomenology Roundtable 2016 meeting at the University of Connecticut
Organized and Hosted the California Roundtable on Philosophy and Race at Marquette University in 20014

## MEMBERSHIP IN PROFESSIONAL SOCIETIES
Caribbean Philosophical Association
Hegel Society of America
American Philosophical Association

## ACADEMIC HONORS, AWARDS, GRANTS

U of Illinois List of *Teachers Rated as Excellent* - Spring 1999
U of Illinois List of *Teachers Rated as Excellent* - Spring 2000
Straz Tower Faculty Member of the Month, November 2004
Honors Program Students' Association Faculty of the Month, November 2005
Helen Way Klingler Interdisciplinary Teaching Award ($20,000) – 2006
Participant in NEH Summer Institute on Latin American Philosophy hosted by SUNY Buffalo, ($3,000), 2005
Diversity Grant – hosting Lewis R. Gordon as The Ralph H. Metcalfe St. Chair ($3,500), 2006
Appointed a Scholar of the Institute for the Study of Race and Social Thought ($750), June 2007
Summer Faculty Fellowship ($5,000), 2009, 2011

References

Dr. Lewis R. Gordon
Philosophy Department
University of Connecticut

Dr. Nancy Snow, Director
Institute for the Study of Human Flourishing
University of Oklahoma

Storrs, CT 06269-1054
lewis.gordon@uconn.edu

Dr. Linda M. Alcoff
Dept. of Philosophy
Hunter College
695 Park Avenue
New York, NY 10021
lmartina@hunter.cuny.edu

Dr. Eric Sanday
Dept. of Philosophy
University of Kentucky
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660 Parrington Oval, Rm 104
Norman, OK 73072
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Dr. Paget Henry
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Brown University
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155 Angell Street
Providence, RI 02912
paget_henry@brown.edu

# 9. Report and Recommendations of the Audit Committee

# 9.1. Internal Audit Leadership Transition

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Audit Committee**

Item: **Internal Audit Leadership Transition**

Recommendation: Approval

Presented by: M. David Rudd, President

**Background**:
The Chief Audit Executive position is vacant due to the person in the position resigning to accept another position. It is normal University procedure to appoint a person as interim until the position is permanently filled.

**Committee Recommendation:**
The Audit Committee met June 6, 2017, and recommended approval of the appointment of Vicki D. Deaton, Senior Internal Auditor in the Internal Audit Department, to serve as Interim Chief Audit Executive until the position is filled on a permanent basis.

**Vicki D. Deaton, CFE, CISA**
4071 N. Walnut Grove Circle
Memphis, TN  38117
479-530-0901
vddeaton@gmail.com

Highly accomplished audit and accounting professional with 20 years experience - versatile, energized by challenges, and able to work independently

Certifications
Certified Fraud Examiner and Certified Information Systems Auditor

Employment History
Senior Internal Auditor, University of Memphis, Memphis, TN  - August 2013 to present
Experience
- Plan and perform internal audits – financial and compliance audits of University departments and organizations, and University vendor audits
- Prepare audit reports, including communicating audit issues and recommendations to University personnel
- Plan and perform internal consulting projects and assist in investigations
- Assist with administration of the Internal Audit office and direction of the Internal Audit staff
- Assist the Chief Audit Executive with the annual audit plan and University risk assessment

Internal Audit Director, City of Fayetteville, Fayetteville AR - January 2005 to August 2013
Experience
- Performed annual risk assessments and developed the annual audit plan
- Effectively communicated with the audit committee, elected officials, management, and citizens in a variety of formats
- Facilitated the annual external financial audit and assisted with the preparation of the City's annual financial statements
- Planned and performed internal audits - operational, compliance, financial, vendor, and systems
- Planned and performed internal consulting projects – lean government, business process reengineering for system conversion and development of operating procedures
- Served as City liaison with FEMA during multiple disaster declarations

Staff Accountant and Auditor, Scarbrough & Murtishaw, CPAs, Fayetteville, AR - February 2001 to January 2005
Experience
- Participated in governmental audits
- Prepared income tax returns

Information Systems Auditor, Federal Express Corporation, Memphis, TN - June 1997 to July 2000
Experience
- Participated in domestic, international, vendor, and systems audits
- Performed internal consulting projects, such as process analysis

Education
Master of Science in Accountancy, The University of Memphis, 1997
Major GPA:  4.00    Overall GPA:  4.00
Bachelors of Education, The University of North Carolina, 1981
Major GPA:  3.50    Overall GPA:  3.10

# 9.2. Audit Plan for Fiscal Year 2018

For Approval

The University of Memphis Board of Trustees
Agenda Item

Date: June 6, 2017

Committee: **Audit Committee**

Item: **Fiscal Year 2018 Internal Audit Plan**

Recommendation: Approval

Presented by: Vicki D. Deaton, Senior Internal Auditor

**Background**:
The Fiscal Year 2018 Internal Audit Plan is presented for approval by the Audit Committee. Approval by the Audit Committee is required by the "State of Tennessee Audit Committee Act of 2005" (TCA 4-35-101 thru 108) and the University of Memphis Audit Committee Charter.

**Committee Recommendation:**
The Audit Committee met June 6, 2017, and recommended approval of the Fiscal Year 2018 Internal Audit Plan as detailed in the meeting materials.

AUDIT COMMITTEE AGENDA
June 6, 2017
University of Memphis

## Proposed Audit Plan FY 2018

To comply with the requirements of state statutes relative to internal audit activities the following is the FY 2018 audit plan for the University for review and approval by the Audit Committee. The plan is in part, derived from the University's risk assessment process that Management prepares to comply with the Tennessee Financial Integrity Act. The plan includes required projects and activities and may also be impacted and revised due to other risks within higher education, new risks that may emerge, and requests from Management during the fiscal year. University management was provided the details for the FY2018 audit plan and had no revisions.

| **FY 2018 Audit Plan Summary** | |
|---|---|
| **Allocation of Internal Audit Resources** | |
| 74.0% | Risk Based Audits |
| 7.0% | Special Audit Requests and Consulting Projects (as requested by Management) |
| 5.0% | Management of Hotline System |
| 5.0% | Assistance to Legal Counsel-Attorney Client Projects (Upon Request) |
| 3.5% | Advisory Role |
| 3.0% | Follow-up FY2017 Audits |
| 2.5% | Audits In-Progress FY2017 to FY2018 |
| **100.0%** | |

The audit plan may be revised during the year due to changing risk factors and special requests from University Management. Any changes to the audit plan will be communicated to the Audit Committee at future meetings.

## Audit Plan & Allocation of Audit Resources- FY 2018

**15% — Department Audits - (Internal Controls and Policy Compliance with Financial/Grants Compliance)**
Risk Based

Two to Four will be selected during the fiscal year.
Scope includes compliance and financial controls.

**Criteria for Selection:**
- Total Expenditures
- Federal Grants-Total Dollars
- Business Officer Turnover
- Recommendations From Management
- Past Audit Issues/Investigations

**31% — Other Risk Based Audits**
Risk Based

- Animal Care Facilities (Research Compliance and Financial Controls)
- Compliance with Research COI Policy (UM1798)
- Compliance Audit Title IX
- Compliance Audit Clery Act
- Procurement-Contractors Compliance Audit PO Terms and Conditions
- Athletics - Team Travel Expenses (Including Bowl Games)

**26% — Information Technology Projects**
Risk Based

Management Request
- NACHA - Per First TN Bank Contract (ACH electronic transactions) (not risk based)
- IT Security Audits based upon past review of general controls
- Management requests reagarding IT Security

**3% — Follow-up From FY 2017 Audits**
Risk Based

As required by State Audit and Other Audits Requiring Follow-up

**2.5% — Audits In-Progress From FY2017 to FY 2018**
Risk Based

**3.0% — Audits Required by Statutes**

Annual audit of President's expenses

**5% — Manage Hotline System**

**5% — Assistance to Legal Counsel-Attorney Client Projects (Upon Request)**

**6% — Special Audit Requests and Consulting Projects (as requested by Management)**

**3.5% — Advisory Role**

Advisory role on various committees and miscellaneous management inquires for assistance during the year.

**100%**

# 10. Additional Board Business

# 11. Upcoming Meetings of the Board of Trustees

Future Meetings of the

University of Memphis Board of Trustees

2017

- October 4, 2017
- December 7, 2017

2018

- March 7, 2018
- June 6, 2018
- September 5, 2018
- December 5, 2018

Note: The location and times of the meetings are to be determined.

12. Adjournment