June 2020 Board of Trustees Meeting

Schedule	Wednesday, June 3, 2020 9:00 AM — 10:30 AM CDT
Venue	Blue Jeans
Organizer	Sparkle Burns

Agenda

1. Call to Order and Opening Remarks

Presented by David North

2. Roll Call and Declaration of Quorum

Presented by Melanie Murry and David North

3. Approval of Minutes-March 4, 2020

For Approval

Presented by David North

THE UNIVERSITY OF MEMPHIS

BOARD OF TRUSTEES

MINUTES OF THE FULL BOARD MEETING
March 4, 2020
Memphis, TN

The Board of Trustees of the University of Memphis met at 1:30 p.m. CST, on Wednesday, March 4, 2020 on the University of Memphis campus in Memphis, TN.

I. CALL TO ORDER

Vice-Chair Roberts called the meeting to order.

Vice-Chair Roberts provided a welcome and recognized State of Tennessee Comptroller Justin P. Wilson. Vice-Chair Roberts noted some of the progress the University has made over the past few years. Some of the highlights include: highest graduation rate, first to second year retention rates topping 80%, leading state with cost containment of tuition and fees with two years of no tuition increases, second largest university in the state, student athletes posted collective G.P.A for fall 2018 of 3.17, over 100 programs are online within UM Global, progress to Carnegie I and the University having a strong financial position.

II. ROLL CALL AND DECLARATION OF QUORUM

Melanie Murry, University Counsel and Board Secretary, called the roll and confirmed the following board members were present, either in person or via telephone:

Trustee Agnew
Trustee Edwards
Trustee Graf
Trustee Johnson
Trustee Kemme
Trustee Martin (electronically)
Trustee Roberts
Trustee Springfield

Secretary Murry announced the presence of a quorum.

III. APPROVAL OF MINUTES – DECEMBER 4, 2019

Vice-Chair Roberts called for a motion to approve the December 4, 2019 minutes. The motion was made by Trustee Johnson and properly seconded. Trustee Roberts called for discussion and none was provided. A voice vote was taken, and the motion was unanimously approved.

IV. COMPTROLLER'S PRESENTATION

Vice-Chair Roberts recognized State of Tennessee Comptroller Wilson. Trustee Roberts introduced Comptroller Wilson. Comptroller Wilson introduced his staff- Martin Brown, Nichole Crittenden, and Kandi Thomas.

Comptroller Wilson and staff discussed Trustees fiduciary duty, responsibility as a board member, open meetings and the sunset statute. At the end of the presentation, the Trustees were asked if any had questions. No one had questions or comments.

V. PRESIDENT'S UPDATE

Vice-Chair Roberts recognized Dr. Rudd and congratulated him for being elected to the Executive Council for Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).

Dr. Rudd shared that he provided an update to the campus community on the vision and how the University is moving forward, and the current presentation provides highlights of what was discussed. Dr. Rudd went over the University's mission and core values and explained they drive what the University does. Topics covered in the presentation included:

- Improvement in outcomes
- Enrollment Trends
- Tuition
- Budget growth
- Research
- Student quality
- Nationally ranked programs
- UofM Global
- Innovation
- Community Partnerships
- Family friendly campus
- Initiatives for AY 2020-2021

Dr. Rudd asked if the Board had any questions. Vice-Chair Roberts recognized the University's progress and thanked the president and his leadership on behalf of the Board.

VI. VICE PRESIDENT FOR STUDENT ACADEMIC SUCCESS UPDATE

Vice-Chair Roberts recognized Dr. Karen Weddle-West. Dr. Weddle-West commented that the president has challenged them to keep in the forefront in all that is done to think of ways to increase retention, persistence, and graduation rates. Dr. Weddle-West stated that two of those programs that assist in that effort will be covered during the meeting.

Dr. Weddle-West introduced Mr. Fernandez West to discuss the athletic students' academic success. Mr. West provided an overview of the Fall 2018 and Spring 2019 highlights which included nine athletes graduating with honors and five teams earning their highest G.P.A. ever. The University of Memphis Athletic Department tied for 2nd place in the American Athletic Conference (AAC) with a 92% graduation success rate for 2019 with the University's conference with five teams having a 100% graduation success rate. Mr. West also provided an overview of the office staff and the services that athletes receive in that office. Dr. Weddle-West commented that national trends evaluate graduation rates within six years; however, the level of success at the University within four years especially for students of color is unheard of except within the athletic population.

Dr. Weddle-West introduced Dr. Scott Sundvall with the Center for Writing and Communication (CWC) and provided a couple of student testimonials. Dr. Sundvall provided an overview of the staffing within the office as well as the methodology and outcomes. He gave the statistics of the center including the number of consultations and client representation. He covered their services, activity and outreach and provided examples. Dr. Sundvall closed his presentation by giving information on the return of investment of the center.

Dr. Weddle-West acknowledged that funds were set aside from retention to invest in the center and she continues to make sure that the investment go towards the writing center.

VII. UNIVERSITY SCHOOL INITATIVES

Vice-Chair Roberts recognized Associate Vice President Sally Gates Parrish.

Ms. Parrish presented on the University Schools Initiatives. She provided the history and mission of the schools where students are at the center. She explained that in the past year the University Schools went through a restructure where all the entities are reporting up to one area. Ms. Parrish gave an overview of the statute which enables the University to have a school and advised that University Schools has an advisory board in which Trustee Edwards is a member. She provided a snapshot of the University Schools which includes the Early Learning and Research Center, Campus School, University Middle, Summer Programs and University Schools Research Consortium. Ms. Parrish gave some key successes of the various schools. She closed the presentation with an overview of upcoming partnerships which include Harwood and Porter Leath.

Vice-Chair Roberts asked if the Board had any questions regarding Ms. Parrish's presentation and Ms. Parrish offered a tour of the Campus School for any board members.

VIII. AY19-20 TUITION AND FEE PAYMENT INITIAIVES UPDATE

Vice-Chair Roberts recognized Chief Financial Officer Raaj Kurapati. Mr. Kurapati presented the tuition and fee payment initiatives update. Mr. Kurapati discussed initiatives that were taken on student fee payments processes. He explained that a cross functional working group was created to evaluate the student fee processes. He described that the group's primary responsibility was to create a process that would help the students and parents manage their financial obligation with the University. He stated that the group provided recommendations and new actions were taken as a result. Some of the actions that include generating billing sooner, moving the payment plans into a single plan, and moving the original drop non-payment date from the Friday before classes to the Monday before classes. He discussed the outcomes as a result of the changes that were made.

Mr. Kurapati offered to answer any questions. Vice-Chair Roberts asked if the Board had any questions and none were posed.

IX. REPORT AND RECCOMMENDATIONS OF THE ACADEMIC, RESEARCH AND STUDENT SUCCESS COMMITEE

Vice-Chair Roberts recognized Trustee Kemme. Trustee Kemme presented the Academic, Research, and Student Success Committee update. There were four informational items presented to the committee, including:

- Chief Financial Officer Raajkumar Kurapati presented an update on International Student Recruiting.
- Colton Cockrum presented on Accreditation on both University and programs and Assessment of learning.
- Dr. Jasbir Dhaliwal provided an updated on the progress on the Carnegie R1 status.
- Dr. Richard Bloomer presented information on the Doctorate in Physical Therapy.

Trustee Kemme stated there were three actions presented to the committee which were reviewed and approved by the committee and request the Board approves as well. The following items were presented by motion by Trustee Kemme:

- A motion was made to approve the Institutional Mission statement and properly seconded. A voice vote was taken, and the motion received unanimous approval by the board members present.
- A motion was made to approve Onega Tenure Upon Appointment and properly seconded. A voice vote was taken, and the motion reached a unanimous approval by the board members present.
- A motion was made to have the name changed from School of Health Studies to College of Health Sciences. A motion was made and properly seconded. A voice vote was taken and received unanimous approval by the board.

X. REPORT AND RECOMMENDATIONS OF THE GOVERNANCE AND FINANCE COMMITTEE

Vice-Chair Roberts recognized Trustee Johnson who provided the Governance and Finance Committee update. Trustee Johnson commented that there were three informational items, an update on the Investment Policy presented by the CFO and an Athletics update presented the AD. The Board of Trustees self-assessment was presented by University Counsel. Trustee Johnson explained there are two action items and provided the following motions.

- A motion was made to approve the Tax-Exempt Reimbursement Agreement which was properly seconded. A voice vote was taken, and the motion reached a unanimous approval by the board members present.

Trustee Johnson provided that the Board has done its annual evaluation of the President and Trustee Martin presented it to the committee. He echoed the comments provided by Vice-Chair Roberts about Dr. Rudd's leadership and accomplishments of the University. Trustee Johnson proposed that the Board give the President the maximum bonus per the terms approved by the Board. This was properly seconded. A voice vote was taken, and the motion carried.

XI. REPORT AND RECOMMENDATIONS OF THE AUDIT COMMITTEE

Vice-Chair Roberts made a motion to name Trustee Susan Springfield the Audit Committee Chair and Trustee Douglas Edwards the Vice-Chair of the Audit Committee which was properly seconded. A voice vote was taken and received unanimous approval by the board.

Vice-Chair Roberts recognized Trustee Springfield. Trustee Springfield presented the Audit Committee update. Trustee Springfield provided an overview of the informational items that were covered including:

- CFO, Raaj Kurapati provided information on the Fiscal Year 2020 Risk Assessment and the 2019 Annual Financial Report and Internal Control Audit Status
- Chief Audit Executive Vicki Deaton presented the Summary of Audit Reports Issued since the past meeting.
- CFO, Raaj Kurapati presented the Business Continuity Planning.

Trustee Springfield added that Business Continuity Planning is important for any organization whether it is related to the coronavirus or tornadoes that affected middle Tennessee recently. She commented that the Board is appreciative that the University takes this planning seriously.

Trustee Springfield commented that Vicki Deaton provided information on the following:

- Summary of Fraud, Waste, or Abuse Reports
- Audit Issue Follow-up
- Clery Act Audit Status Update
- External Audit Report: NCAA Procedures
- External Inspection Report: Tennessee Department of Environment and Conservation (TDEC)

She added that Chief Information Officer, Robert Jackson presented an update on the Information Security Program.

Trustee Springfield stated there was one item that needed board approval which was approved by the committee. Trustee Springfield moved that the Board the approve FY20 Risk Assessment. It was properly seconded. A voice vote was taken, and the motion carried.

XII. ADDITIONAL BUSINESS

There was no additional business. Trustee Roberts announced that the next meeting of the Board of Trustees is scheduled to be held on the Main Campus of the University of Memphis on June 3, 2020.

XIII. ADJOURNMENT

A motion to adjourn was made by Trustee Johnson and was properly seconded. A voice vote was taken and the meeting adjourned.

4. Appointment of Student Trustee

For Approval

Presented by M. David Rudd

The University of Memphis Board of Trustees
Agenda Item
For Approval

Date: June 3, 2020

Item: Appointment of the Student Trustee

Recommendation: Approval

Presented by: M. David Rudd, President

Background Information:

The University of Memphis Board of Trustees Bylaws specify there be one nonvoting member of the Board who shall be a student representative to be appointed by the Board. I am recommending Danielle Fong as our selection for Student Trustee during the 2020-21 academic year.

Recommendation:

The President recommends approval of Danielle Fong as Student Trustee. Her one-year term will be effective immediately and continue through May 31, 2021.

DANIELLE FONG

1821 Mignon Avenue • Memphis, TN 38107
T: (901) 341 - 3360 E: Danielle.Fong@memphis.edu

EDUCATION

CECIL C. HUMPHREYS SCHOOL OF LAW — GRADUATION MAY 2022

- Juris Doctorate Candidate
- Student Bar Association – Governor, Director of Events
- Association for Women's Attorneys
- International Law Society
- First Year Moot Court Competition – Top Ten Oral Advocates
- Legal Methods II – Best Oral Argument

UNIVERSITY OF MEMPHIS — AUGUST 2015 – MAY 2018

- Bachelor of Arts in English
- Magna Cum Laude
- 3.95 GPA
- Phi Kappa Phi
- Worked full-time throughout my studies to independently fund myself and my education

NEW YORK UNIVERSITY IN LONDON — AUGUST 2013 – MAY 2014

- Studied English, Cultural and Social Studies, Philosophy, and Psychology
- Community Service Award – Gold Key
- New York University Liberal Studies Student Council – Events Chair

HUTCHISON SCHOOL — GRADUATED MAY 2013

- Cum Laude Society – top ten percent of graduating class
- Sara and Leonard Frey Award – selected by faculty to receive the highest academic award, presented to a member of the graduating class who best exemplifies the love of learning, creative and critical thinking, and the active pursuit of knowledge and understanding
- University of Virginia, Jefferson Foundation Scholars – chosen as the school nominee to compete for a highly selective national scholarship

EXPERIENCE

ITTA BENA RESTAURANT — AUGUST 2017 – PRESENT

Server

- Engaged in multitasking with multiple groups of guests in an upscale environment
- Provided sincere, professional service to guests

FLIGHT RESTAURANT AND WINE BAR — JULY 2014 – AUGUST 2017

Server, Trainer, and Expediter

- *Memphis Flyer* Best of Memphis Reader's Choice Top Server (2016)
- Developed training manuals and materials
- Coordinated front of house and back of house employees

5. President's Update

Presentation

Presented by M. David Rudd

6. Tenure and Promotion Recommendation List

For Approval

Presented by Tom Nenon

The University of Memphis Board of Trustees

For Approval

Date: June 3, 2020

Presentation: Approval of Tenure and Promotion Recommendation

Presented by: Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

Background:
Tenure is the principle that entitles a faculty member continuation of his or her annual appointment until relinquishment or forfeiture of tenure, or until termination of tenure for adequate cause. A healthy tradition of academic freedom and awarding tenure and promotion are uniquely fundamental to the academy and essential to the proper functioning of a University. Faculty members eligible for tenure must serve a probationary period and must demonstrate continuing value to the institution.

Tenure and promotion are granted only by positive action by the Board of Trustees to faculty members in a department, school or college of the University of Memphis. The following summary of the tenure and promotion approval process describes the careful processes that lead to the request for Board action to grant tenure and promotion. Following the summary is the list of faculty members recommended for tenure and promotion.

Recommendation:
Motion to grant tenure and promotion to the faculty members recommended by the Provost in the department, school or college of the University indicated in the meeting materials.

University of Memphis
2020 Tenure and Promotion Recommendations

	Faculty Name	Current Rank	Proposed Rank	Tenure Only	Promotion Only	Tenure & Promotion
College of Arts and Sciences						
Criminal Justice	Stephen Watts	Assistant	Associate			x
Earth Sciences	Younsang Kwon	Assistant	Associate			x
English	Sage Graham	Associate	Full		x	
Math	Bentuo Zheng	Associate	Full		x	
Physics	Firouzeh Sabir	Associate	Full		x	
Psychology	Stephanie Huette	Assistant	Associate			x
Public Administration	Erin Nelson	Assistant	Associate			x
Sociology	Carol Rambo	Associate	Full		x	
World Languages & Literatures	Errol O'Neill	Assistant	Associate		x	x
World Languages & Literatures	Yuki Matsuda	Associate	Full		x	
World Languages & Literatures	Vanie Barraza Toledo	Associate	Full		x	
World Languages & Literatures	Denis Grele	Associate	Full		x	
College of Communication and Fine Arts						
Architecture	Jennifer Barker	Assistant	Associate			x
Journalism	Melissa McLean	Assistant	Associate			x
Music	Harvey Felder	Associate	Full		x	
Music	Mary Wilson	Assistant	Associate			x
Music	Jeremy Orosz	Assistant	Associate			x
Music	Benjamin Smith	Assistant	Associate			x
Theatre and Dance	Jill Nee	Assistant	Associate			x
Fogelman College of Business and Economics						
Marketing & Supply Chain Mgmt	George Deitz	Associate	Full		x	
Economics	Jamin Speer	Assistant	Associate			x
Management	Kurt Kraiger	Full	no change	x		
College of Education						
Counseling, Educational Psychology and Research	Pam Cogdal	Clinical Associate	Clinical Professor		x	
Counseling, Educational Psychology and Research	Leigh Holman	Assistant	Associate			x
Counseling, Educational Psychology and Research	Leigh Harrell-Williams	Assistant	Associate			x
Instruction and Curriculum Leadership	Craig Shepherd	Associate	no change	x		
Leadership	Steven Nelson	Assistant	Associate			x
Leadership	Eric Platt	Associate	no change	x		
Center for Research and Educational Policy	Todd Zoblotsky	Research Associate	Research Professor		x	
Lowenberg College of Nursing						
Nursing	Tracy Collins	Clinical Assoc	Clinical Professor		x	
Nursing	Bradley Harrell	Clinical Assoc	Clinical Professor		x	
Nursing	Kaye Litano	Clinical Asst	Clinical Associate		x	
Nursing	Nakiesha Shepherd	Clinical Asst	Clinical Associate		x	
Nursing	Marie Gill	Assistant	Associate			x
Nursing	Jill Dapremont	Associate	Full		x	

University of Memphis
2020 Tenure and Promotion Recommendations

	Faculty Name	Current Rank	Proposed Rank	Tenure Only	Promotion Only	Tenure & Promotion
Kemmons Wilson School of Hospitality and Resort Management						
Sport and Leisure Management	Rhema Fuller	Associate	no change	x		
School of Public Health						
	Meredith Ray	Assistant	Associate			x
	Matthew Smeltzer	Assistant	Associate			x
	Yong Yang	Assistant	Associate			x
	Brook Harmon	Assistant	Associate			x
Communication Sciences and Disorders						
	Vicki Haddix	Clinical Asst	Clinical Associate		x	
	JoClaire Merrill	Clinical Asst	Clinical Associate		x	

7. Tenure Upon Appointment

For Approval

Presented by Tom Nenon

Presentation to the Board of Trustees

The University of Memphis Board of Trustees
For Approval

Date: June 3, 2020

Presentation Title: Approval of Tenure upon Appointment-James Vardaman

Presented by: Dr. Thomas Nenon, Executive Vice President for Academic Affairs and Provost

Background:
Dr. James Vardaman will begin his position as Professor/Holder of the Free Enterprise Chair of Excellence in Management in the Fogelman College of Business and Economics in Fall 2020. Dr. Vardaman's offer letter and curriculum vitae are attached.

Recommendation:
Motion to approve and grant tenure upon appointment for Dr. James Vardaman.

Department of Management
College of Business
Mississippi State University

tel: 901.335.1209
fax: 662.325.8651
e-mail: jv180@msstate.edu

ACADEMIC POSITIONS

Mississippi State University
Associate Professor and Nancy Allen Fellow of Management (with tenure), 2015-
Assistant Professor of Management, 2009-2015
Ph.D. Program Coordinator, 2016-present

EDUCATION

University of Memphis
Ph.D. in Business Administration, 2009
Major: Organizational Behavior/Human Resource Management
Minor: Strategic Management

Arkansas State University
Masters of Business Administration

Henderson State University
Bachelors of Business Administration

HONORS AND AWARDS

- Best Division Paper Finalist, *Academy of Management (ODC Division)*, 2018
- Organization Development and Change Research Award, *Academy of Management*, 2016
- Outstanding Reviewer, *Southwest Academy of Management*, 2016
- Outstanding College of Business Researcher, Mississippi State University, 2015
- Hunter Henry Notable Scholar Award, College of Business, Mississippi State University, 2014
- Hal Parker State Pride Research Award, College of Business, Mississippi State University, 2013
- Chris Grice State Pride Research Award, College of Business, Mississippi State University, 2012
- Best Division Paper, *Academy of Management (ODC Division)*, 2013
- Best Overall Paper, *Western Academy of Management*, 2013
- Best Paper Finalist, *Western Academy of Management*, 2013
- Best Paper in Track, *Southern Management Association*, 2012
- Best Paper in Track, *Southern Management Association*, 2011
- Best Paper, *Academy of Management* (OB Division), 2011
- Best Paper, *Academy of Management Perspectives*, 2010
- Best Doctoral Paper in Track, *Southern Management Association*, 2009
- Outstanding Reviewer, *Southern Management Association*, 2009; 2011; 2012

REFEREED JOURNAL ARTICLES (*current or former graduate student)

1. Hancock, J.I., Vardaman J.M., & Allen, D.G. (2019). Kappa and Alpha and Pi, oh my: Beyond traditional inter-rater reliability using Gwet's AC1 statistic. *Research in Human Resource Management*. Forthcoming.
2. Penney, C.R., Vardaman, J.M., Marler, L.E., & Antin Yates, V. (2019). An image theory of strategic decision-making in family businesses. *Journal of Family Business Management*. Published ahead of print. doi.org/10.1108/JFBM-05-2019-0032
3. McLarty, B.D., Vardaman, J.M., & Barnett, T.R. (2019). Congruence and exchange: The influence of supervisors on employee performance in family firms. *Entrepreneurship Theory and Practice*, 43(2), 302-321.
4. Vardaman, J.M., *Rogers, B.L., & Marler, L.M. (2019). Retaining nurses in a changing health care environment: The role of job embeddedness and self-efficacy. *Health Care Management Review*. Published ahead of print. doi:10.1097/HMR.0000000000000202.
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6. *Tabor, W.E., Chrisman, J.J., Madison, K., & Vardaman, J.M. (2018). Nonfamily members in family firms: A review and future research agenda. *Family Business Review*, 31(1), 54-79.
7. *Dhaenens, A.J., Marler, L.E., Vardaman, J.M., & Chrisman, J.J. (2018). Mentoring in family businesses: Toward an understanding of commitment outcomes. *Human Resource Management Review*, 28(1), 46-55.
8. *Rogers, B.L., Vardaman, J.M., Allen, D.G., Muslin, I.S., & Baskin, M.B. (2017). Turning up by turning over: The change of scenery effect in Major League Baseball. *Journal of Business and Psychology*, 32(5), 547-560.
9. Allen, D.G., & Vardaman, J.M. (2017). Recruitment and retention across cultures. *Annual Review of Organizational Psychology and Organizational Behavior*, 4(1), 153-181.
10. Vardaman, J.M., Allen, D.G., Otondo, R.F., Hancock, J., Shore, L. & *Rogers, B. (2016). Social comparisons and organizational support: Implications for retention and commitment. *Human Relations*, 69(7), 1493-1505.
11. Vardaman, J.M., Taylor, S.G., Allen, D.G., Gondo, M.B., & Amis, J.M. (2015). Translating intentions to behavior: The interaction of network structure and behavioral intentions in understanding employee turnover. *Organization Science*, 26(4), 1177-1191.
12. Vardaman, J.M., & Gondo, M.B. (2014). Socioemotional wealth conflict in family firms. *Entrepreneurship Theory and Practice*, 37(6), 1317-1322.
13. Allen, D.G., Hancock, J.., Vardaman, J.M., & *McKee, D.N. (2014). Analytical mindsets in turnover research. *Journal of Organizational Behavior*, 35(1), 61-86.
14. Vardaman, J.M., Gondo, M.B., & Allen, D.G. (2014). Ethical climate and pro-social rule breaking in the workplace. *Human Resource Management Review*, 24(1), 108-118.
15. Vardaman, J.M., Cornell, P.D., Allen, D.G. et al. (2014). Part of the job: The role of work conditions in the turnover process. *Health Care Management Review*, 39(2), 164-173.

16. Vardaman, J.M, Amis, J.M., Dyson, B., Wright, P., & * VDG Randolph, R. (2012). Interpreting change as controllable: The role of centrality and self-efficacy. *Human Relations*, 65(7), 835-859.
17. Vardaman, J.M., Cornell, P.D., Gondo, M.B., & Amis, J.M. (2012). Beyond communication: The role of standardized protocols in a changing health care environment. *Health Care Management Review*, 37(1), 88-97.
18. Allen, D.G., Bryant, P., & Vardaman, J.M. (2010). Retaining talent: Replacing myths with evidence-based strategies. *Academy of Management Perspectives*, 24(2), 48-64.
    2010 Outstanding Article Award, *Academy of Management Perspectives*
    2011 Outstanding Practitioner Publication Award, Academy of Management OB Division
19. Allen, D.G., Griffeth, R., Vardaman, J.M., Aquino, K., Gaertner, S., & Lee, M., (2009). Structural validity and generalizability of a referent cognitions model of turnover intentions. *Applied Psychology: An International Review*, 58(4), 709-728.
20. Vardaman, J.M., Allen, D.G., Renn, R.R., & Moffitt, K. (2008). Should I stay or should I go: The role of risk in employee turnover decisions. *Human Relations*, 61(11), 1531-1563.
21. Allen, D.G., Renn, R.R., Moffitt, K., & Vardaman, J.M. (2007). Risky business: The role of risk in voluntary turnover decisions. *Human Resource Management Review*, 17(3), 305-318.

EXTERNALLY FUNDED RESEARCH

22. Vardaman, J.M., Principal Investigator. (2019). *United States Small Business Association National Impact Study*. Funding awarded: $103,000.

MANUSCRIPTS UNDER REVIEW

23. Vardaman, J.M., Amis, J.M, Wright, P., & Dyson, B. [*Title redacted to preserve the anonymity of the review process*]. Under 3rd round of review in *Human Relations*.
24. Vardaman, J.M., Maher, L., Sterling, C., & Allen, D.G. [*Title redacted to preserve the anonymity of the review process*]. Under 2nd round of review in *Organization Science*.
25. Silvernail, K., Vardaman, J., & Randolph, R. [*Title redacted to preserve the anonymity of the review process*]. Under review in *Organizational Behavior and Human Decision Processes*.
26. Vardaman, J., Penney, C., Marler, L., & McKee, D. [*Title redacted to preserve the anonymity of the review process*]. Under review in *Journal of Family Business Management*.

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27. Marler, L.E., Barnett, T., & Vardaman, J.M. (2018). Justice in the family firm: An integrative review and future research agenda. In Memili, E., & Debrill, C (Eds.) *Heterogeneity among Family Firms*. Palgrave: London.
28. *VDG Randolph, R., Vardaman, J.M., & *Fang, H. (2015). Habitual entrepreneurship and the socioemotional wealth of dynastic family enterprise: A synthesis of arguments and directions for future research. In Fayolle, A., Dossena G., Randerson, K., & Bettinelli, C. (Eds.) *Family Entrepreneurship* (pp. 264-278). Routledge: London.
29. Vardaman, J.M. (2013). Turnover. In Smith, V. (Ed.) *Sociology of Work: An Encyclopedia*. Sage: Thousand Oaks.

30. Vardaman, J.M. (2013). Fathers at home. In Smith, V. (Ed.) *Sociology of Work: An Encyclopedia*. Sage: Thousand Oaks.
31. Gondo, M.B., Amis, J.M., & Vardaman, J.M. (2009). Case within a case. In A.J. Mills, G. Durepos, & E. Wiebe (Eds.), *Sage Encyclopedia of Case Study Research*. Sage: Thousand Oaks.
32. Vardaman, J.M., Amis, J.M., & Gondo, M.B. (2009). Real time cases. In A.J. Mills, G. Durepos, & E. Wiebe (Eds.), *Sage Encyclopedia of Case Study Research*. Sage: Thousand Oaks.

ADDITIONAL REFEREED JOURNAL ARTICLES

33. Gigliotti, R., Vardaman, J.M., Marshall, D., & Gonzalez, K. (2019). The role of perceived organizational support in individual change readiness. *Journal of Change Management*, 19(2), 86-100.
34. Vardaman, J.M. (2019). Organizational change in family businesses. *Journal of Change Management*, 19(1), 23-25.
35. Baskin, M.B., Vardaman, J.M., & Hancock, J.I. (2016). The role of ethical climate and moral disengagement in well-intended employee rule breaking. *Journal of Behavioral and Applied Management,* 16(2), 71-90.
36. Muslin, I., Vardaman, J.M., & Cornell, P. (2014). Fostering acceptance of computerized physician order entry: Insights from an implementation study. *Health Care Manager*, 33(2), 165-171.
37. Cornell, P., Townsend-Gervis, M., Vardaman, J.M., & Yates, L. (2014). Improving situation awareness and patient outcomes through interdisciplinary rounding and structured communication. *Journal of Nursing Administration*, 44(3), 164-169.
38. Cornell, P., Townsend-Gervis, M. & (2014). Interdisciplinary rounds and structured communication reduce re-admissions and improve some patient outcomes. *Western Journal of Nursing Research*, 36(7), 917-928.
39. Cornell, P., Townsend-Gervis, M., Yates, L., & Vardaman, J.M. (2014). Impact of SBAR on nurse shift reports and staff rounding. *MEDSURG Nursing Journal*, 23(5), 334-342.
40. Holt, D., & Vardaman, J.M. (2013). Toward a comprehensive understanding of readiness for change: The case for an expanding conceptualization. *Journal of Change Management*, 13(1): 9-18.
41. Cornell, P., Clancy, T. & Vardaman, J.M. (2013). Ward warriors: The complex nature of nurse mobility. *Journal of Nursing Administration*, 43(11), 557-561.
42. Cornell, P., Townsend-Gervis, M., Yates, L., & Vardaman, J.M. (2013). Improving shift report focus and consistency with the situation, background, assessment, recommendation protocol. *Journal of Nursing Administration*, 43(7/8), 422-428.
43. Amis, J.M., Wright, P., Dyson, B., Vardaman, J.M., & Ferry, H. (2012). Implementing childhood obesity policy in a new educational environment: The cases of Mississippi and Tennessee. *American Journal of Public Health*, 102(7), 1406-1413.
44. Vardaman, J.M., Cornell, P., & Clancy, T. (2012). Complexity and change in nurse workflows. *Journal of Nursing Administration*, 42(2), 78-82.

45. Dyson, B., Wright, P., Amis, J.M., Ferry, H., & Vardaman, J.M. (2011). The production, communication, and contestation of physical education policy: The cases of Mississippi and Tennessee. *Policy Futures in Education*, 9(3), 367-380.
46. Bryant, P., Davis, C., Hancock, J., and Vardaman, J.M. (2010). When rule makers become rule breakers: Employee-level outcomes of managerial pro-social rule breaking. *Employee Responsibilities and Rights Journal*, 22(2), 101-112.

REFEREED CONFERENCE PRESENTATIONS AND PROCEEDINGS

47. Tabor, W., Vardaman, J.M., & Chrisman, J.C. (2019, October). Family firm recruitment: A theoretical model. In Holt, D. (Chair) Exploring Strategic Issues in the Family Business. Presented to the annual meeting of the *Southern Management Association*, Norfolk, VA.
48. Vardaman, J., & McLarty, B. (2019, May). Does the family matter for good behavior? The impact of employee perceptions of SEW-importance on employee citizenship. Presented at the annual *Family Enterprise Research Conference*, Burlington, VT.
49. Kim, T., Marler, L., & Vardaman, J. (2019, May). Inter-organization cooperation of family firms and innovation. Presented at the annual *Family Enterprise Research Conference*, Burlington, VT.
50. Vardaman, J., Maher, L., & Sterling, C. (2018, August). Perception is reality: Employee task performance during organizational change. In Hanson, B. (Chair) Institutional Engagement. *Academy of Management*, Chicago, IL. ***Best Paper Proceedings **Best Division Paper Finalist**
51. McLarty, B., Kluemper, D., Marler, L., Rogers, B., Vardaman, J. (2018 August). Personality research in family businesses. *Academy of Management*, Chicago, IL.
52. Vardaman, J., McLarty, B., Marler, L., & Dhaenens, A. (2018, June). Profiles in motivation: Toward a typology of nonfamily employees in family firms. *Family Enterprise Research Conference*, Aguascalientes, Mexico.
53. Dhaenens, A.J., & Vardaman, J.M. (2017, October). The career success of mentors in developmental networks. In Anthony, E. (Chair) Support Networks. Presented to the annual meeting of the *Southern Management Association*, St. Pete Beach, FL.
54. Maher, L.P., Vardaman J.M., & Sterling, C. (2017, October). My past and my friends: The role of change history and social influence in employee interpretation and acceptance of organizational change. In Dulebohn, J. (Chair) This too shall Pass: Organizational Change and Transformation. Presented to the annual meeting of the *Southern Management Association*, St. Pete Beach, FL.
55. Gigliotti, R., Marshall, D., & Vardaman, J.M. (2017, August). Support us and we'll change: The effects of perceived organizational support on change readiness. In De Ruiter, M. (Chair) Employee Change Readiness, Resistance and Perceived Organizational Support. Presented to the annual meeting of the *Academy of Management*, Atlanta, GA.
56. Thundiyil, T., Smendzuik-O'Brien, J., & Vardaman, J.M. (2017, August). Emerging scholars and scholar-practitioners in organization development and change. In Amis, J.M. (Chair) Becoming Scholars in ODC. Presented to the annual meeting of the *Academy of Management*, Atlanta, GA.

57. Barnett, T., McLarty, B., & Vardaman, J.M. (2017, May). An exploratory study of job attitudes and individual-level performance in family firms: A social exchange and relationship-based perspective. Presented at the 15th annual *Theories of Family Enterprise Conference*, St. Gallen, Switzerland.

58. Vardaman, J.M., Marler, L.E., & Cox, S. (2017, March). Habitual entrepreneurship in business families: A process model. In Kulik, B. (Chair) Entrepreneurship around the World. Presented to the annual meeting of the *Southwest Academy of Management*, Little Rock, AR.

59. Vardaman, J.M., Marler, L.E., & Sterling, C. (2016, November). Social network analysis in OB/HR family business research: Prospective applications. In Konopaske, R. (Chair) Contemporary Approaches to Mapping Relationships: Case studies, Ethnography, and Social Networks. Presented to the annual meeting of the *Southern Management Association*, Charlotte, NC.

60. Vardaman, J.M., Marler, L.E., Allen, D.G., & Carr, J. (2016, November). Turnover and retention of nonfamily employees in the family firm. In Stanley, L (Chair) Symposium. Presented to the annual meeting of the *Southern Management Association*, Charlotte, NC.

61. Richardson, H., Taylor, S.G., & Vardaman, J.M. (2016, August). Organizational citizenship in the context of multiple goal pursuit: Exploring the special case of requests for input. In Hetrick, A.L. (Chair) Not Just a Dependent Variable: New Developments in the Study of Citizenship Behavior. Presented to the annual meeting of the *Academy of Management*, Anaheim, CA.

62. Vardaman, J.M., & Allen, D.G. (2016, May). Organizational identification and nonfamily employee turnover: A network analysis. Presented at the 14th annual *Theories of Family Enterprise Conference*, Edmonton, AB, Canada.

63. Gaffney, N., Vardaman, J.M., Hancock, J. & Allen, D.G. (2015, October). Going the distance: Institutional distance and international human resource alignment. In Eassa, J. (Chair) Internationalization and Human Resources. Presented to the annual meeting of the *Southern Management Association*, St. Pete Beach, FL.

64. Vardaman, J.M. & Holt, D. (2015, August). The social processes of change readiness. In Tuttnauer, S. (Chair), Reactions to Organizational Change and Social Context. Presented to the annual meeting of the *Academy of Management*, Vancouver, BC.

65. Rogers, B. & Vardaman, J.M. (2014, November). Individual performance and job change: The change of scenery effect. In Campbell, S. (Chair), Changing the Way We Work to Achieve Better Results: Flexibility, Job Change, and High-involvement. Presented to the annual meeting of the *Southern Management Association*, Savannah, GA.

66. Brock, M., Vardaman, J.M., & Hancock, J. (2014, November). Pro-social rule breaking in the workplace: The role of ethical climate. In Knapp, K. (Chair), Ethics: Ethical Decision Making. Presented to the annual meeting of the *Southern Management Association*, Savannah, GA.

67. Vardaman, J.M., Allen, D.G., Otondo, R., Hancock, J., & Shore, L. (2014, August). Perceptions of organizational support and social comparisons: Implications for turnover. In Carlson, K. (Chair), Antecedents to Turnover in Organizations. Presented at the annual meeting of the *Academy of Management*, Philadelphia, PA.

68. Vardaman, J.M., Amis, J.M., Wright, P., & Dyson, B. (2014, August). Processual mechanisms of change readiness. In Viggiani, F. (Chair), Planning and Designing for Organizational Effectiveness. Presented at the annual meeting of the *Academy of Management*, Philadelphia, PA.

69. Gondo, M.B., Amis, J.M., Janz, B., & Vardaman, J.M. (2013, August). The paradox of fit: How perceptions of fit impede organizational change. In Warrick, D. (Chair), Capacity for Change – Barriers and Drivers of Organizational Development and Change. Presented at the annual meeting of the *Academy of Management*, Orlando, FL. ***Best Paper Proceedings **Best Division Paper**

70. Vardaman, J.M., & Gondo, M.B. (2013, May). Socioemotional wealth conflict in family firms. Presented at the 14th annual *Theories of Family Enterprise* conference, London, UK.

71. Gondo, M.B., Amis, J.M., Janz, B., & Vardaman, J.M., (2013, March). Elaborating Change: The (Re) Production of a Legitimate Practice. In Marin, A. (Chair), OMT Session. Presented at the annual meeting of the *Western Academy of Management*, Santa Fe, NM. ***Best Overall Paper**

72. Van de Graaff Randolph, R., Penney, C., & Vardaman, J.M. (2013, March). Double agents: A model of family and classical agency relationships navigated by family firm, family members. In De Leon, J. (Chair), CEO Characteristics, Dynamism, and Agency. Presented to the annual meeting of the *Southwest Academy of Management*, Albuquerque, NM.

73. McKee, D., VDG Randolph, R., Lewis, A., & Vardaman J. (2013, March). You do what?! Perceived ostracism & social stigma of dirty jobs in family firms. In Salimath, M. (Chair), Perspectives on Governance and Incompetencies. Presented to the annual meeting of the *Southwest Academy of Management*, Albuquerque, NM.

74. Vardaman, J.M., Cornell, P., Allen, D.G., & Gondo, M.B. (2012, November). The place makes the place, too: The role of working conditions in the turnover process. In Odynocki, B. (Chair), Nurses' Perspectives of Trust and Turnover. Presented at the annual meeting of the *Southern Management Association*, Ft. Lauderdale, FL. ***Best Paper in Track** (HC/HM/PA track).

75. Vardaman, J.M., Amis, J.M., Wright, P., & Dyson, B. (2012, November). Prior change and subsequent change: The role of institutional control. In Pain, G. (Chair), Knowledge Diffusion. Presented at the annual meeting of the *Southern Management Association*, Ft. Lauderdale, FL.

76. Vardaman, J.M., Allen, S., Taylor, S., & Gondo, M.B. (2012, August). Turnover Intentions and Voluntary Turnover: The Moderating Role of Network Centrality. In Holtom, B. (Chair), Understanding Turnover Mechanisms. Presented at the annual meeting of the *Academy of Management*, Boston, MA. ***Best Paper Proceedings**

77. Vardaman, J.M., Gondo, M.B., Cavasos, D., & Van de Graaff Randolph, R. (2012, May). Image is everything: Variation in performance hazard risk in franchised and non-franchised family firms. Paper presented at the annual *Family Enterprise Research Conference*, Montreal, QE, CA.

78. Randolph, R., Vardaman, J.M., & Penney, C. (2012, May). Family firm agency duality: A model of non-economic agency in family firms. Paper presented at the annual *Family Enterprise Research Conference*, Montreal, QE, CA.

79. Vardaman, J.M., Amis, J.M., & *VDG Randolph, R. (2011, November). The Role of Centrality and Self-Efficacy in Interpreting Change as Controllable: A Study of Teachers and No Child Left Behind. In Sanders, T. (Chair), Social Issues in Health and Education. Presented at the annual meeting of the *Southern Management Association*, Savannah, GA. ***Best Paper in Track** (HC/HM/PA track).

80. Vardaman, J.M., Amis, J.M., Wright, P., Dyson, B., & Gondo, M.B. (2011, August). Re-structuring the institutional architecture: Institutional control and the change process. In Lee, C (Chair), Responses to State Pressure. Presented at the annual meeting of the *Academy of Management*, San Antonio, TX.

81. Allen, D.G., Hancock, J., Vardaman, J.M., & McKee, D. (2011, August). Fifty years of turnover research: Theoretical implications of turnover research methods. In Mitchell, M. & Vogel, R. (Chairs), Theoretical, Methodological and Empirical Developments on Turnover and Turnover Intentions. Presented at the annual meeting of the *Academy of Management,* San Antonio, TX.
82. Vardaman, J.M., & Gondo, M.B. (2010, October). Unlocking the black box: An institutional model of strategic HR. In Bundy, J.N. (Chair), The Role of Executives and HR Managers in Organizational Functioning. Presented at the annual meeting of the *Southern Management Association*, St. Pete Beach, FL.
83. McKee, D., & Vardaman, J.M. (2010, October). Institutional isomorphism and the 4-C's of the family firm. In Rutherford, M (Chair), Theorizing and the family firm. Presented at the annual meeting of the *Southern Management Association*, St. Pete Beach, FL
84. Vardaman, J.M., & Amis, J.M. (2010, August). Social interaction and issue interpretation during change: An empirical test of sensemaking theory. In Wallis, N.C. (Chair), Social Interaction and Sensemaking. Presented at the annual meeting of the *Academy of Management*, Montreal, QC.
85. 63. Vardaman, J.M., Amis, J.M., & Gondo, M.B. (2010, July). Institutional Change without Theorization: The Microfoundations of Transformation. In Lok, J. (Chair), Microfoundations of Institutional Change. Paper presented at the annual meeting of the *European Group for Organization Studies*, Lisbon, Portugal.
86. Vardaman, J.M., & Amis, J.M. (2010, June) Understanding the discontinuity between field-level diffusion and local implementation: Workers, work, and sensemaking. In Lawrence, T. (Chair), Power and Agency. Paper presented at the *2nd conference on Institutions and Work*, Vancouver, BC, Canada.
87. Vardaman, J.M. (2010, May). Commentary on habitual entrepreneurship and the family business: An overview. Presented at the 8th annual *Theories of Family Enterprise* conference, Edmonton, AB, Canada.
88. Vardaman, J.M., Hancock, J., Allen, D.G., & Shore, L. (2010, April). Group-level POS and the relationship between individual-level POS and outcomes. In Gonzales, M.G., & Eisenberger, R. (Chairs), Multi-level Perspectives on Perceived Organizational Support. Presented at the annual meeting of the *Society for Industrial/Organizational Psychology*, Atlanta, GA.
89. Vardaman, J.M., & Amis, J.M. (2009, November). Realizing public policy: Sensemaking, institutional logics, and local enactment. In Mathews, M. (Chair), Effectuation and Effectiveness of Public Health Programs. Presented at the annual meeting of the *Southern Management Association,* Asheville, NC. ***Best Doctoral Paper in Track** (HC/HM/PA track)
90. Wright, P., Dyson, B, Ferry, H., Vardaman, J.M., & Amis, J.M. (2009, October). Are physical educators responsible for teaching responsibility? In Break-out session 5. Presented at the annual meeting of the *National Association for Sport and Physical Education*, Myrtle Beach, SC.
91. Dyson, B., Wright, P., Amis, J.M., Ferry, H., & Vardaman, J.M. (2009, April). Examining the implementation of new physical education policy initiatives in Mississippi and Tennessee schools. Presented at the annual meeting of the *American Alliance for Health, Physical Education, Recreation and Dance,* Tampa, FL.

92. Dyson, B., Wright, P., Amis, J.M., Ferry, H., & Vardaman, J.M. (2009, April). Examining the implementation of new physical education policy initiatives in Mississippi and Tennessee schools. In Special Interest Group: Research on Learning and Instruction in Physical Education. Presented at the annual meeting of the *American Education Research Association*, San Diego, CA.

93. Vardaman, J.M., Amis, J.M., & Gondo, M.B. (2008, October). Realizing institutional logics: Power, values and interests in the implementation of policy. In Zhu, M. (Chair), Organizational Theory. Paper presented at the annual meeting of the *Institute for Operations Research and Management Science*, Washington, D.C.

94. Vardaman, J.M., Amis, J.M., Gondo, M.B., Wright, P., Dyson, B., & Ferry, H. (2008, August). Translating institutional logics: A sensemaking perspective on policy implementation. In V. Acha (Chair), Thinking about Change: Cognitive Approaches to Adaptation. Presented at the annual meeting of the *Academy of Management*, Anaheim, CA.

95. Amis, J.M., Wright, P., Dyson, B., Vardaman, J.M., & Ferry, H. (2008, March). School physical education policy failure in Mississippi & Tennessee. Presented at the annual meeting of the *Society of Behavioral Medicine*, San Diego, CA.

96. Vardaman, J.M., & Amis, J.M. (2007, November). Making sense of radical change: Toward an activity-based view. In K.Kennedy (Chair), Understanding Organizational Change. Presented at the annual meeting of the *Southern Management Association*, Nashville, TN.

97. Muslin, I., Bryant, P., Huning, T., Ma, R., Vardaman, J.M., Holt, K., & Davis, P. (2007, October). An unfolding model of new venture creation. In P. Davis (Chair), Recognition of Entrepreneurial Opportunities. Presented at the annual meeting of the *Midwest Academy of Management*, Kansas City, MO.

98. Allen, D.G., Renn, R., Vardaman, J.M., & Moffitt, K. (2007, August). Risky Business: The role of risk in voluntary turnover decisions. In B. Holtom (Chair), New Directions in Voluntary Turnover Research: Moving Beyond the "One-Model-Fits-All" Paradigm. Presented at the annual meeting of the *Academy of Management*, Philadelphia, PA.

99. Vardaman, J.M. & Amis, J.M. (2007, August). Escaping the iron cage: Institutional work, field theory, and organizational change. In M. Moore (Chair), Organizational Change I. Presented at the annual meeting of the *Academy of Management*, Philadelphia, PA.

100. Wright, P., Dyson, B., Amis, J.M., Vardaman, J.M., & Ferry, H. (2007, May). Using qualitative research to inform the policy making process. In R. Fricke (Chair), Qualitative Evaluations and Social Policy. Paper presented at the *Third International Congress of Qualitative Inquiry*, Champaign, IL.

101. Amis, J.M., Wright, P., Dyson, B., Ferry, H., & Vardaman, J.M. (2007, March). Physical education policy, research, and childhood obesity in Tennessee and Mississippi. Presented at the annual meeting of the *American Alliance for Health, Physical Education, Recreation and Dance*, Baltimore, MD.

102. Vardaman, J.M. (2006, November). Transforming the organizational field: The amalgamated model of organizational change. In M.J. Jackson (Chair), Change in a Dynamic Environment. Presented at the annual meeting of the *Southern Management Association*, Clearwater Beach, FL.

TEACHING EFFECTIVENESS

Responsibilities

- Teach or have taught PhD courses in Organizational Behavior and Organization Theory
- Teach or have taught MBA courses in Leadership and Human Resource Management
- Teach or have taught undergraduate courses in Organizational Behavior and Organization Theory

Innovations

- Designed and created online courses for Graduate Leadership and Human Resource Management
- Designed a final project and rubric for the Leadership course that assesses two AACSB learning objectives
- Regularly update MBA course readings with recent popular business press articles
- Completed course on using the case method from Harvard Business School
- Instituted case-method components in MBA classes

Student Evaluations*

**Effectiveness Scale: 5 = Excellent, 4 = Above Average, 3 = Average, 2 = Below Average, 1 = Poor*

MGT 9613 – Seminar in Organization Theory
- Average effectiveness: 5.0

MGT 8111 – Human Resource Issues
- Average effectiveness (on campus): 4.50
- Average effectiveness (online): 4.68

MGT 8113 – Leadership Skills
- Average effectiveness (on campus): 4.55
- Average effectiveness (online): 4.57

MGT 4153 – Management Seminar
- Average effectiveness (on campus): 4.60

MGT 3813 – Organizational Behavior
- Average effectiveness (on campus): 4.35

Student Comments

- A student in my graduate leadership class commented: *Dr. Vardaman is a great professor/teacher and he really cares about his students. I highly recommend him.*
- A student in my graduate HR class commented: *Dr. Vardaman is straightforward and fair. I like his teaching style. Very coherent.*
- A student in my graduate online leadership class commented: *Dr. Vardaman is an excellent communicator and outstanding professor. His teaching style makes the material very easy to comprehend. He is very responsive to students and makes himself readily available to answer your questions and concerns.*
- A student in my graduate leadership class commented: *This is the best course I've taken in my graduate career.*

SERVICE ACTIVITIES

Professional Associations

- Coordinator, Mid-South Management Research Consortium, 2016, 2018
- Board of Governors, Southern Management Association, 2015-
- Board Member, ODC Division of Academy of Management, 2018-
- Member, Academy of Management, 2006-
- Member, Southern Management Association, 2006-

Associate Editor

- Group and Organization Management, 2019-

Editorial Boards

- Journal of Management, 2016-
- Human Resource Management Review, 2011-
- Health Care Management Review, 2014-2017
- Journal of Change Management, 2013-

Special Editor

- Point-Counterpoint Editor, Journal of Change Management, 2015-
- Guest Editor, Journal of Change Management, Special Issue on Change Readiness in Organizations, 2013

Ad-Hoc Reviewing

- Academy of Management Review, 2017-
- Journal of Management Studies, 2016-
- Organization Studies, 2014-
- Journal of Management, 2014-
- Organization Science, 2014-
- International Journal of Human Resource Management, 2012-
- Human Resource Management, 2010-
- Journal of Occupational and Organizational Psychology, 2010-
- Human Relations, 2009-

Conference Reviewing

- Southwest Academy of Management, 2013, 2016
- Western Academy of Management, 2012-
- Academy of Management, 2007-
- Southern Management Association, 2007-

Conference Leadership

- Track Chair, Southern Management Association, 2013
- Best Paper Committee, Southern Management Association, 2011, 2012, 2017
- Best Paper Committee, Academy of Management, 2017
- Presenter, HR Doctoral Consortium, Academy of Management, 2014-2016
- Presenter, ODC Doctoral Consortium, Academy of Management, 2014, 2016, 2017
- Presenter, New Doctoral Consortium, Southern Management Association, 2012, 2013, 2015

College of Business Service

- PhD Program Coordinator, 2016-
- MBA Advisory Committee, 2015-
- Faculty Advisor, Society for Human Resource Management, 2010-2011; 2015-2018

Doctoral Student Advising

- Will Tabor (Management; projected completion: December 2019), A relational view of family firm recruitment. *Chair*
- Andrew Dhaenens (Management; completed October 2018), A longitudinal assessment of the career success of mentors in developmental networks. *Chair*
- Nathan Hammond (Management; projected completion: May 2020). *Committee Member*.
- Martin Ndicu (MIS; completed August 2017), The role of cognitive and affective change readiness in the adoption of information systems. *Committee Member*
- Bryan Rogers (Management; completed May 2017), A social network approach to nonfamily employee identification and turnover intentions in family firms. *Committee Member*
- Michael Grimes (Recreation; completed May 2011), Student worker satisfaction and retention in campus recreation facilities. *Committee Member*

INVITED PRESENTATIONS

Baptist Health Systems

- Managing organizational change (May 2010), Memphis, TN
- Gaining employee buy-in for change (August 2011), Memphis, TN
- Benefits and drawbacks of the SBAR protocol (September 2011), Memphis, TN
- Retention during organizational change (September 2012; August 2013), Southaven, MS

Columbus Light & Water

- Motivating employees (January 2019), Columbus, MS
- Understanding your organization's culture (October 2018), Columbus, MS

CSpire Wireless

- Managing and leading the workforce of tomorrow (November 2018), Starkville, MS
- Managing and leading the workforce of tomorrow (November 2017), Starkville, MS

Farm Bureau Insurance

- Succession planning (November 2012), Jackson, MS
- Succession planning (January 2013), Starkville, MS
- Succession planning (March 2013), Baton Rouge, LA
- Succession planning (February 2014), Gainesville, FL
- HR analytics (March 2014), Jackson, MS
- Developing talent (February 2015), Jackson. MS
- Succession planning (February 2016), Little Rock, AR
- Time management (April 2016), Arkadelphia, AR
- Succession planning (November 2016) Baton Rouge, LA
- Succession planning (January 2017) Little Rock, AR

Future Business Leaders of America

- Committing yourself to excellence (April 2012) Starkville, MS

Franklin Furniture Institute

- Truths and misconceptions about millennial workers (March 2017), Starkville, MS

Old Waverly Golf Club

- Managing millennials (April 2018), West Point, MS
- Time management (April 2018), West Point, MS

Mississippi Society of Certified Public Accountants

- Managing technological change (May 2014), Jackson, MS
- Succession in family businesses (May 2015), Jackson MS
- Managing innovation (May 2019), Jackson, MS

Stennis Institute of Government

- Leading organizational change (May 2010), Starkville, MS
- Retaining employees (May 2011), Starkville, MS
- Motivating employees (May 2012), Starkville, MS
- Motivating employees (May 2013), Starkville, MS
- Motivating employees (May 2014), Starkville, MS
- Motivating employees (May 2015), Starkville, MS
- Time management (May 2016), Starkville, MS
- Motivating employees (May 2017), Starkville, MS
- Motivating employees (May 2018), Starkville, MS

St. Jude Children's Research Hospital

- Working conditions and organizational effectiveness (August, 2012), Memphis, TN
- Retention during change (October 2012), Memphis, TN

The University of Memphis
Memphis, Tennessee 38152

NOTICE OF TENURE-TRACK APPOINTMENT AND
CONTRACT AGREEMENT OF EMPLOYMENT FOR FACULTY

TO: JAMES VARDAMAN
DEPARTMENT OF MANAGEMENT
THE UNIVERSITY OF MEMPHIS
MEMPHIS, TN 38152

This is to confirm my appointment to a position as PROFESSOR/HOLDER of the FREE ENTERPRISE CHAIR of EXCELLENCE in MANAGEMENT in the DEPARTMENT OF MANAGEMENT for the ACADEMIC YEAR at an annual salary of $223,954.00. This also confirms that, during the term of my appointment, I will be eligible for any benefits that are currently available through the University of Memphis. This appointment is effective 08/17/2020, subject to the terms and conditions hereinafter set forth and my acceptance thereof:

1. This appointment is made subject to the laws of the State of Tennessee, the requirements and policies of the Board of Trustees, and the requirements and policies of this institution. Any renewal of this appointment through a Notice of Renewal of Tenure-Track Appointment for Faculty or Notice of Renewal of Tenure-Track Appointment and Amendment of Agreement of Employment for Faculty will be subject to all laws, requirements and policies in effect at the time of renewal. To be valid and binding, such renewal must be fully executed by all parties.
2. The above stated salary is contingent upon my completion of service for the full term of this appointment. The salary for an academic year appointment will accrue at the rate of one-half for each academic semester, and will be payable at the rate of one-twelfth of the amount for each month from September through August. The salary for a fiscal year appointment will accrue and be payable at the rate of one-twelfth for each completed month of service, or in the event of failure to complete the specified term of the appointment, salaries will be prorated in accordance with the policies of the institution.
3. This appointment and the above stated salary are in consideration of my successful performance of the duties and responsibilities assigned to me as a full-time faculty member of this institution, and such additional duties as may be assigned to me from time to time, subject to the policies of the department or other area of assignment, and subject to the supervision and direction of appropriate representatives of this institution.
4. A specific condition of this contract is my agreement to participate in an annual evaluation of my assigned duties and responsibilities.
5. Academic year appointments include no obligation for or guarantee of summer session employment.

6. This appointment is a tenure-track appointment, which is for faculty employed in a probationary period of employment. The minimum requirements and conditions for the award of tenure by the Board of Trustees upon completion of the probationary period are set forth in University's Academic Freedom Policy AA3014 and University's Tenure Policy AA3011. Requirements and conditions for the recommendation of tenure by this institution are set forth in the policies of the institution and are incorporated by reference as if fully set forth herein. Tenure may only be awarded by positive action of the Board of Trustees.
7. I agree to abide by the policies of the Board of Trustees and of this Institution regarding Intellectual Property University Policy RE7004, and hereby acknowledge my responsibilities under those policies to disclose and possibly assign (as required under policy) Intellectual Property developed by me, either solely or jointly with others, during the term of my employment, and to otherwise assist the Institution as required by policy in protecting rights it may have in that Intellectual Property.
8. By acceptance of this appointment, I agree to abide by the terms of the Drug-Free Workplace Act of 1988 as defined in published institution statements and policy. I also agree to notify the Department of Human Resources of any criminal drug conviction for a violation occurring in the workplace no later than five days after such conviction.
9. My employment with the University of Memphis is contingent upon completion of the Form I-9 as required by law to certify work eligibility. The I-9 form is required to be completed and signed on or before the first day of employment. The first day of employment is the first day of the semester. Failure to do so will result in termination of employment.
10. The method of payment at the University of Memphis is through direct deposit to a checking or savings account at a bank or credit union. I agree to provide the necessary account number(s) for deposit of my salary/wages.
11. It is a Class A misdemeanor to misrepresent academic credentials (TCA 49-7-133).
12. Employment offers and continued employment are contingent upon receiving a satisfactory background report.
13. I agree to comply with and abide by all applicable laws, including but not limited to, Privacy of Education Records - Family Education Rights and Privacy Act of 1974 (FERPA).
14. The following special conditions shall govern the appointment:
    - √ **The department will provide a moving allowance of $7,000 subject to applicable taxes.**
    - √ **I will be eligible for expedited tenure consideration. Upon acceptance of this offer, your dossier for tenure will be submitted to the Board of Trustees for review and approval in their June 2020 meeting.**
    - √ **The Chair of Excellence in Free Enterprise Management is an appointed position. Continuance in the Chair position is dependent upon favorable performance reviews, a positive seven (7)-year review, and the reaffirming decision of the Provost.**
    - √ **My teaching load will be one three (3) credit hour course per semester or two courses for the academic year. These courses may be at the undergraduate or graduate level as needed by the department and will be assigned by the Management Department Chair. To the extent possible given the instructional needs of the department, I will be given consideration to fulfill your teaching responsibilities in either the fall or the spring semester to facilitate your research program and other professional activities.**

All faculty teaching loads are subject to change based upon productivity in research and scholarship and budgetary conditions within the university.

√ My responsibilities in the position will include:

- Offering high-quality instruction and mentoring;
- Providing academic and research leadership in the Department of Management;
- Maintaining a high level of research productivity with a focus on top-quality publications in management journals;
- Serving as a research mentor to doctoral students, junior and other faculty members in the department and working collaboratively with faculty colleagues;
- Developing and maintaining a collaborative relationship with the Crews Center for Entrepreneurship; this may include developing relationships with the external business and professional community to produce productive partnerships and encourage financial contributions.
- Seeking opportunities for external support of faculty research;
- Promoting opportunities for Department of Management program graduates.

√ In addition to salary, funds will be made available from the Free Enterprise Management Chair of Excellence endowment to provide an annual operating expense budget available to me. The available funds each year may vary depending on the earnings of the endowment but will be approximately $35,000 per year can be used for your professional travel, funding a doctoral graduate assistant (stipend approximately $20,000 per year), and other expenses related to my appointment.

√ A one-time allowance of $25,000 will be provided from the endowment fund for computer hardware, software, office furnishings, and other expenses related to establishing my research program at the university.

√ I will have an official transcript of my highest degree awarded submitted to the University of Memphis by the close of my first semester of employment.

I accept the appointment described above under the terms and conditions set forth by signing this contract and returning the original to the Office of Faculty Administrative Services, Administration Building 374 within fifteen days after received.

3/20/20
Date

James Vardaman, Appointee

Date

Provost

Date

President

Dr. Kurt Kraiger
Dept. of Management

202 FCBE Admin Building
3675 Central Avenue
University of Memphis
Memphis, Tennessee 38152-3370
Office: 901.678.3159
www.memphis.edu

TO: The University of Memphis Board of Trustees

FROM: Department of Management
Fogelman College of Business and Economics

RE: Recommendation for reduction in James Vardaman's tenure probation period

Date: April 24, 2020

The Department of Management in the Fogelman College of Business and Economics strongly recommends a six-year reduction in Dr. James Vardaman's tenure probation period. Dr. Vardaman is an incoming Professor and Holder of the Free Enterprise Chair of Excellence in Management. He possesses a superior record in research, teaching, and service and is very deserving of the requested reduction.

Dr. Vardaman is a prolific scholar with 38 publications in peer-reviewed academic journals in the areas of management, entrepreneurship, human resources, and health care. Of these, 21 have been in published in A+ and A journals. He has an h-index of 23 and has published in some of the top journals in management and entrepreneurship including *Harvard Business Review*, *Organizational Science*, and *Entrepreneurship Theory and Practice*. He is also the Principal Investigator on two research grants funded by the United States Small Business Association, totaling $163,000.

Dr. Vardaman is well-respected in the Strategic Management and Entrepreneurship research communities, and currently sits on the editorial boards of five journals, including the top-ranked *Journal of Management*. He is also an Associate Editor for a sixth journal, *Group and Organization Management*. He recently served on the Board of Governors for the Southern Management Association, a top regional association of management scholars.

Dr. Vardaman is not only an exceptional researcher but also a dedicated instructor and mentor. He has effectively taught relevant courses at the undergraduate, MBA, and doctoral levels. He has also taught successfully both on campus and online using a variety of teaching methods. His classes routinely integrate both cutting edge research and practical application; thus he provides a rich learning experience for students and routinely receives excellent course evaluations. He has also chaired multiple doctoral dissertations.

Dr. Vardaman has more than fulfilled all current tenure-track probationary period performance requirements (teaching, research, and service) at the University of Memphis. The Management Department strongly believes Dr. Vardaman's academic accomplishments and long-term contributions to the management profession justify our request for a six-year reduction in his probation period.

Sincerely,

Kurt Kraiger, Ph.D.
Chair and Professor of Management

8. Request for Academic Program

For Approval

Presented by Tom Nenon

The University of Memphis Board of Trustees

Recommendation

For Approval

Date: June 3, 2020

Recommendation: Submission of Master of Nonprofit Management

Presented by: Dr. Thomas Nenon, Executive Vice President Academic Affairs and Provost

Background:

The Master of Nonprofit Management (MNM) will provide students with the theoretical and practical knowledge necessary to lead and transform organizations and address complex social issues. The Department of Public and Nonprofit Administration wishes to offer a Master of Nonprofit Management to serve increasing demands from both students and the nonprofit community. The impetus for this proposal grew from a partnership between the University of Memphis Department of Public and Nonprofit Administration and ALSAC/ St. Jude Children's Research Hospital, the largest nonprofit employer in the region and among the most globally recognized charities. This proposal is also supported by numerous other non-profit agencies who look forward to hiring our graduates and current students who have expressed significant interest in joining the degree program.

Recommendation:
Motion to approve the proposal for the Master of Nonprofit Management.

Letter of Notification

for a

Master of Nonprofit Management

University of Memphis
Department of Public and Nonprofit Administration

Table of Contents

Letter of Notification

LETTER OF NOTIFICATION

Program Name: Master of Nonprofit Management
Degree Designation: Master of Nonprofit Management
Proposed CIP Code: 52.0206
Proposed CIP Code Title: Non-Profit/Public/Organizational Management.
Proposed Implementation Date: Spring 2021

Academic Program Liaison (APL) Name and Contact Information:

Dr. Robin Poston
Dean of the Graduate School
University of Memphis
FedEx Institute of Technology Suite 201
Memphis, TN 38152
901-678-5739

Background Concerning Academic Program

The Department of Public and Nonprofit Administration wishes to offer a Master of Nonprofit Management to serve increasing demands from both students and the nonprofit community. Between 2011 and 2019 we have had 79 students receiving the Master of Public Administration with the Nonprofit Concentration (MPA-NP). This represents approximately 44 percent of total MPA graduates. During this same time frame, 64 students have received the 15-credit hour graduate certificate in Philanthropy and Nonprofit Leadership (PNLD). Thirty-nine received the MPA-NP and PNLD concurrently, while the other 25 were PNLD “certificate only” or from a graduate program other than the MPA. A Master of Nonprofit Management would allow students to focus their graduate coursework in the nonprofit area and allow the department to expand nonprofit course offerings on a consistent basis.

The impetus for this proposal grew from a partnership between the University of Memphis Department of Public and Nonprofit Administration and ALSAC/ St. Jude Children’s Research Hospital, the largest nonprofit employer in the region and among the most globally recognized charities. Over the spring and summer of 2017, representatives from the University of Memphis’ Department of Public and Nonprofit Administration (UMDPNA) and ALSAC/ St. Jude Children’s Research Hospital (ALSAC) met in order to explore the creation of an academic partnership between the two organizations, with the major focus being an online master’s The benefits of this partnership for the University of Memphis include the opportunity to increase our national and international presence, provide our students with opportunities to learn from, and work with, a world-class philanthropic organization, and further our mission to increase nonprofit capacity and excellence. The benefits for ALSAC include the affiliation with a major institution of higher education, input in the development of content and courses to meet professional development needs, and the development of talented University of Memphis graduates educated in philanthropy and prepared for employment at ALSAC upon graduation. ALSAC expressed its vision for our partnership as: *"Make Memphis a center of excellence for the knowledge and practice of philanthropy, transforming nonprofits locally, nationally and around the globe."*

Following our initial meetings with ALSAC we met with executives from other local nonprofit organizations, including the Community Foundation for a Greater Memphis, Momentum Nonprofit Partners, United Way for the Midsouth, Assisi Foundation, ArtsMemphis, CommunityLift, Leadership Memphis, Agape, and Meritan. Drawing on the input from a broad base of our nonprofit partners, we have designed a program we believe will benefit our students and our community while making a meaningful contribution to the field of nonprofit administration.

Purpose and Nature of Program

The purpose of the University of Memphis Master of Nonprofit Management (MNM) is to provide students with the theoretical and practical knowledge necessary to lead and transform organizations and address complex social issues. According to the 2018 State of the Nonprofit Sector Survey,[1] more than 55 percent on national respondents indicated that hiring enough employees was a "headline challenge," and more than 35 percent reported that identifying and cultivating leaders was their headline challenge. Graduates will leave the program with the distinct set of skills needed for successful practice and leadership in the nonprofit sector.

The program is designed to as a 39 credit hour online program accessible to pre-service as well as mid-career students looking to advance in their field. The curriculum for the program was developed based on guidelines provided by the Nonprofit Academic Centers Council (the accrediting body for nonprofit programs), and includes coursework available in the following Nonprofit Sector and Philanthropy domains:

- History, Scope and Theories

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[1] Nonprofit Finance Fund(2018) State of the Nonprofit Sector Survey 2018. https://nff.org/sites/default/files/paragraphs/file/download/341454_NFF_Survey_R1_Proof.pdf

- Ethics and Values
- Policy Advocacy and Social Change
- Governance and Leadership
- Nonprofit Finance
- Fundraising and Resource Development
- Financial Management and Accountability
- Nonprofit Human Resource Management
- Nonprofit Marketing and Communications
- Assessment, Evaluation and Decision-making Methods

To ensure that the proposal aligns with local stakeholders' needs, the draft was presented to nonprofit community partners to solicit their feedback. The result is a high-quality program that reflects both international standards and local needs.

Program Learning Outcomes

NACC Curricular Guidelines at the core of this program:

2.0 Scope and Significance of the Nonprofit Sector, Voluntary Action, and Philanthropy
5.0 Nonprofit Governance and Leadership
6.0 Public Policy, Advocacy, and Social Change
10.0 Fundraising and Resource Development
12.0 Leadership, Management, innovation, and Entrepreneurship

Upon completion of this program, students will have attained competency in the following areas:

- Students will understand the size, impact, and role of the nonprofit sector, philanthropy, and voluntarism in a multi-sector society.
- Students will understand the role and function of nonprofit governing boards, and the complex relationship between the board and executives in providing leadership within organizations, communities, and society.
- Students will understand the role of nonprofit and voluntary organizations in effecting social change, shaping and interacting with public policy, and fostering community engagement.
- Students will understand the fund development process, as well as innovations, trends, and changes that affect fundraising and fund development approaches.
- Students will understand the role of organizational strategy and innovation in creating sustainable and effective organizations.

Alignment with the State Master Plan and Institutional Mission

State Master Plan

The proposed Master of Nonprofit Management aligns with the State Master Plan in three key areas: increased enrollment in majors leading to high demand jobs, optimizing online learning, and partnerships between higher education and industry.

High Demand Jobs - Growth in the nonprofit sector has outpaced that of the for- profit sector over the past decade. The national average employment growth was nearly 17 percent for nonprofit versus about 5 percent for for-profits. In Tennessee, nonprofit growth was 14 percent for nonprofits compared to 5.5 percent for for-profit.[2] A Master of Nonprofit Management will prepare students for leadership positions in this rapidly growing industry.

Optimizing Online Learning – The Master of Nonprofit Management will be fully online and delivered with the support of UofM Global. This means that students will have flexible access to classes, UofM Global will provide learning support, technology support, library services, career services specifically geared toward online learners. This will allow students, regardless of location or employment situation, to pursue advanced education in the field.

Higher Education/Industry Partnerships – the Master of Nonprofit Management was initiated as a result of a partnership with ALSAC/ St. Jude Children's Research Hospital. The program curriculum was designed in collaboration primarily with ALSAC/ St. Jude Children's Research Hospital, as well as other community partners, to reflect the needs of their rapidly expanding workforce. One expectation of this partnership is to create a talent pool for the industry as well as offering educational opportunities for ALSAC employees wishing to advance their Careers.

Institutional Mission

The proposed Master of Nonprofit Management aligns with the University of Memphis' mission to "provide the highest quality of education by focusing on research and service benefitting local and global communities." While the program is drawing from our existing Nonprofit concentration and graduate certificate in Philanthropy and Nonprofit Leadership, we expect that the dedicated master's with expanded online course offerings will appeal to a broader pool of potential students. Further, we will be able to

[2] John Hopkins Center for Civil Society Studies, 2018.

build upon our existing efforts to make meaningful contributions to the community. Faculty within the Department of Public and Nonprofit Administration have many rich partnerships with the Mid-south nonprofit community.

Local partnerships and collaborations – A key partner of the Department is ALSAC/St. Jude Children's Research Hospital. ALSAC, which is the fundraising organization for St. Jude Children's Research Hospital is one of the largest nonprofits in the area. As of 2017, ALSAC had more than 1800 employees, 1 million volunteers, and more than $1.6 billion in total revenue.[3] ALSAC is considered one of the industry leaders in the area of philanthropy and nonprofit fundraising, and their cooperation has been instrumental in the development of this program. Through this partnership, students in the program will be able to learn the principles and practices of nonprofit marketing and fundraising from an organization that is a standard-bearer in the field. Not only will this partnership yield subject-matter experts who can contribute to our existing curriculum, they are uniquely positioned to keep the program apprised of larger global trends in nonprofit management.

Department faculty are co-convening the Nonprofit Capacity Builders' network (CBN), which is a network of over 20 MidSouth nonprofit organizations that work to build capacity of the nonprofit sector. Key partners within the CBN include Momentum Nonprofit Partners, the United Way of the MidSouth, the Community Foundation of Greater Memphis, CommunityLift, and Seeding Success, among others. The Department plays a key role in this collaborative. First, our contribution to building sector capacity is preparing the future workforce through our graduate programs. Second, Nonprofit faculty regularly conduct traditional research and engages scholarship that valuable to our partners. These research projects include the Nonprofit State of the Sector study, Nonprofit infrastructure Mapping, Nonprofit Salary and Benefit Survey, as well as various evaluation projects. Our collaborations with organizations like MakeAWish MidSouth, the Assisi Foundation, Memphis Music Initiative, the National Civil Rights Museum, and the Brooks Museum have provided important practitioner perspectives through various guest lecturers and practitioner panels. In addition, the department offers a Lunch and Learn each semester for local nonprofits looking to improve their program planning and evaluation skills. This collaboration allows Department of Public and Nonprofit Administration to stay attuned to local knowledge needs while contributing to workforce development.

[3] American Lebanese Syrian Associated Charities (ALSAC) (2018). IRS tax form 990.

Other partners like ArtsMemphis, VolunteerOdyssey, CrosstownArts, Meritan, and the YMCA provide service-learning opportunities to our students. These projects not only provide valuable learning experiences for our students, but tangible products for our community partners. Some of these service-learning products include evaluation design, data analysis, survey analysis and reporting, capacity assessment, development plans, and grant writing. Our collaborations with organizations like MakeAWish MidSouth, the Assisi Foundation, Memphis Music Initiative, the National Civil Rights Museum, and the Brooks Museum have provided important practitioner perspectives through various guest lecturers and practitioner panels.

Finally, as a member of the Nonprofit Academic Centers Council (NACC), our faculty have the opportunity to network with and engage in collaborative research with leaders of other nonprofit programs across the globe, while simultaneously learning about current national trends in nonprofit management education.

Our many partnerships, both locally and globally, lead to meaningful relationships with the nonprofit sector and provide opportunities for service-learning projects, engaged scholarship research, and help inform our curricular development to meet industry needs. Many of our external partners employ departmental alumni and look to hire graduates from our programs. At the same time, our faculty and students are seen as a resource to the community, providing capacity building services and timely research for local nonprofits.

Institutional Capacity to Deliver the Proposed Academic Program

The Master of Nonprofit Management will have a minimal impact on the capacity of the institution or other programs. This is a unique program meeting an unmet need in Memphis area. Some of this need has been met through the Nonprofit concentration and graduate certificate, but increasingly students have expressed the desire for a nonprofit-only program. Since the graduate certificate in Philanthropy and nonprofit Leadership can be completed concurrently with the MNM, we don’t expect that program to be greatly affected by the MNM. In fact, we expect that the availability of a Nonprofit graduate program will entice even more of our certificate-only students to further their graduate education. While we do expect a short-term drop in enrollment in the existing Master of Public Administration program, we think the creation of the MNM will ultimately benefit both programs. First, because students will be able to take more sector-focused classes in the program of their choice. Second, it will allow us to do more targeted recruiting for the specific programs. Finally, as the visibility and reputation of the online program increases, we will attract more students who are not as geographically bound as our current student body.

We also feel that this degree will improve our ability to collaborate with our existing partner departments. We have discussed this degree proposal with the School of Social Work and the Department of Anthropology, who see this program as an exciting opportunity for students seeking a dual degree.

Existing Programs Offered at Public and Private Tennessee Institutions

Not including the University of Memphis' Graduate Certificate in Philanthropy and Nonprofit Leadership, there are only two other THEC programs with the CIP code 52.0206 at the graduate level. One is the Master of Public Administration / Nonprofit and Public Financial Management Concentration at East Tennessee State University, and the other is the Non-profit Management graduate Certificate at Tennessee State University. A fully online, Nonprofit-only graduate degree would be unique in the state.

Feasibility Study

The Department of Public and Nonprofit Administration wishes to offer a Master of Nonprofit Management to serve increasing demands from both students and the nonprofit community. We have had 101 students receiving the Master of Public and Nonprofit Administration with the Nonprofit Concentration since it was first offered in 2007. Since 2011, 64 students have received the 15-credit hour graduate certificate in Philanthropy and Nonprofit Leadership. A Master of Nonprofit Management would allow students to focus their graduate coursework in the nonprofit area and allow the department to expand nonprofit course offerings in a consistent basis. The department's partnership with ALSAC/St. Jude, Momentum Nonprofit Partners, as well as others in the area, make this an opportune time for the department to launch a nonprofit Masters. The following paragraphs will address student interest, local/regional need/ demand, employer need/ demand, and future sustainable need / demand.

Student interest

An on-line survey of 126 University of Memphis Master of Public Administration and/or the graduate certificate in Philanthropy and Nonprofit Leadership graduate students and alumni was conducted in the spring 2019 to assess the need for and interest in a program leading to a Master of Nonprofit Management. We received 43 completed surveys, for a response rate of 34%. Findings of the study indicate a strong interest in the program being introduced in the region. Summary results of the needs assessment are included below.

1. A strong interest in the Master of Nonprofit Management Program exists within the region. Most of the respondents either agreed (30.23 percent) or strongly agreed (44.19 percent) that there is a need for a Master of Nonprofit Management degree program at the University of Memphis and majority (59.52 percent) believe it would benefit the city and the surrounding area

2. The pool of potential applicants/students is congruent with budget projections. Most participants (36.59 percent) would have been interested in applying to this program and/or know someone who would be interested in applying (24.39 percent).

3. A range of factors would have motivated potential students to pursue the Master of Nonprofit Management. Strong agreement was noted for all the reasons listed (range 20.93 percent 88.37 percent). Of these, "Improved your ability to do your job" (20.93 percent), "Helped you progress or advance in your career "(34.88percent), and "Helped you change jobs but stay in the same profession" (30.23percent) were strongly endorsed.

Local and regional need/demand

Nonprofit employers are the third largest payroll by industry, and constitute 8.1 percent of private employment in Tennessee and 10 percent in Shelby County. From 2007 to 2016 Nonprofit employment growth increased 16.7 percent, more than three times that of the for-profit sector (4.6 percent). In Tennessee, nonprofit employment grew by 14.3 percent, compared to 5.5 percent for the for-profit sector.[4] As of 2018, there were nearly 4300 postsecondary institutions in the United States[5], yet only 41 offer graduate degrees in nonprofit management and fundraising, and only 18 are available fully online.[6] Given the tremendous growth in the nonprofit sector, and the need for highly qualified individuals to lead these organizations, the need for graduate education is not just local, but national as well.

To determine local need, an on-line survey was also distributed to 200 local nonprofit agencies with annual budgets of $250,000 or higher in the spring of 2019 to assess the professional need for a Master of Nonprofit Management. Findings of the study include

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[4] Lester M. Salamon and Chelsea L. Newhouse, "The 2019 Nonprofit Employment Report," Nonprofit Economic Data Bulletin no. 47. (Baltimore: Johns Hopkins Center for Civil Society Studies, January 2019). Available at ccss.jhu.edu.

[5] U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS), Spring 2018, Fall Enrollment component.

[6] Extracted from the Census of Nonprofit Management Programs http://academic.shu.edu/npo/

responses from 72 organizations (36% response rate) and indicate a strong interest in the program being introduced in the region. Results of the needs assessment are included below. In sum, results are as follows:

1. A strong interest in the Master of Nonprofit Management Program exists within the region. Majority of the respondents (95.38 percent) agreed that there is a need for a Master of Nonprofit Management degree program at the University of Memphis.

2. Majority of the organizations – 85.15 percent – indicated a willingness to hire our graduates, with 50.77 percent indicating they would be "extremely likely" to hire a graduate of the program, and another 35.38 percent saying they would be "somewhat likely" to hire a graduate of the program.

Employer need/demand

As demonstrated above, the nonprofit sector is growing rapidly, but organizations are having difficulty meeting that need. According to the 2017 Nonprofit Employment Practices Survey, 50 percent of nonprofits surveyed said they expect to increase their staff. At the same time, respondents reported that *Hiring Qualified Staff* and *Finding Qualified Staff* were two of the top three greatest talent challenges faced by the organization.[7]

The nonprofit sector is a substantial part of the Memphis economy. According to the Bureau of Labor Statistics, Memphis' 501(c)(3) nonprofits employed 52,245 workers in 2016.[8] Furthermore, nonprofit employees were 9.9percent of the Memphis workforce. The positions held by nonprofit employees are reasonably compensated as well. Nonprofit employees earned an average of $52,460. While employees in the health care and education field do contribute substantially to the total nonprofit workforce in Memphis, they do not substantially skew the earnings numbers. Employees in non-health and social assistance nonprofits earned an average of $51,995.

Beyond the need for graduate education in nonprofit management generally, there is evidence of a need in the region for expertise specifically in the area of fund development and philanthropy. Memphis is one of the most generous large cities in America. According to IRS tax return data analyzed by the Chronicle of Philanthropy, Memphis has the highest giving rate outside of Utah. Itemizers in the Memphis

[7] 2017 Nonprofit Employment Practices Survey Interactive Data Portal. https://www.nonprofithr.com/2017-nep-survey-new/#section-10
[8] https://www.bls.gov/bdm/nonprofits/nonprofits.htm

Metropolitan Statistical Area (MSA) gave 5.6 percent of their income to nonprofit organizations in 2015. This is an increase from 2012, when the giving rate was approximately 5.percent and 2006, when the giving rate was approximately 4.8 percent.[9]

Memphis is a generous city compared to Tennessee, broadly, as well as other large cities in the region.[10] The giving rate in Tennessee overall was 4.9 percent in 2015. In Nashville, the giving rate was 4.0 percent. While cost of living differences certainly do contribute to the differences between these Metro areas, Memphis giving rates also surpass those of more affordable cities in the region including Little Rock, which has a giving rate of 4.7 percent.

Individuals living in Memphis reported 2015 donations to the IRS in the amount of $1.04 billion.[11] Residents at every income level were generous. Those itemizers making between $50,000 and $100,000 donated an average of $4,932. Itemizers making between $100,000 and $200,000 donated an average of $6,586. Finally, itemizers making more than $200,000 in 2015 donated an average of $28,885.

Future Sustainable Need/Demand

While Memphis is often cited as a community of great need and challenges, it also has an earned reputation for its large and growing nonprofit sector. Memphis is ranked first in the nation in the number of nonprofits per 10,000 residents. Yet according to our community partners there is a need in the community for nonprofit management and leadership education. Not only is this evident in the responses to our needs assessment, this theme is echoed in our letters of support (For complete letters of support, see Appendix B). As the CEO of one of the largest nonprofits in the region wrote:

> *"I believe this program will fill a major void in the regional arena of education for nonprofit leadership and enhance the University's role as a catalyst for community and economic development in the Greater Memphis area. Beyond Memphis, it will serve as a destination program for students around the world who want to pursue thriving careers in nonprofit leadership."*
>
> *Richard C. Shadyac Jr.*
>
> *President and Chief Executive Officer, ALSAC / St. Jude Children's Research Hospital*

[9] https://www.philanthropy.com/article/How-Much-People-Give-i11n-the/152497
[10] https://www.philanthropy.com/interactives/how-america-gives#search
[11] https://www.philanthropy.com/interactives/how-america-gives#search

Memphis is also recognized as a "giving city," having the highest giving rate outside of Utah. In 2015, Memphis residents reported contributions exceeding $1 billion. A Master of Nonprofit Management at the University of Memphis would be a natural fit for the community and will help sustain this reputation by building capacity in the philanthropic sector.

> *"I believe the program would strengthen the connection between the University and its community and help build capacity for the city and region, furthering Memphis' reputation nationally as one of the most philanthropic cities in the country."*
>
> *-Richard Greenwald,*
> *President and CEO, Soulsville Foundation*

However, while the nonprofit and philanthropic sector is a significant part of our local community, leadership of these organizations does not reflect the communities they work in and serve. According to a 2016 report by Watkins Uiberall,[12] fewer than 10 percent of nonprofits in Tennessee had executive directors/ CEOs of color. In Memphis, that number is only slightly higher at 13 percent.

> *"Across the nonprofits arts sector, as with other sectors, we need to develop a pipeline for nonprofit professionals of color. This program would benefit the Memphis community through recruiting, educating and training diverse professionals to grow into their leadership positions."*
>
> *-Tracy Lauritzen Wright*
> *Chief Operating Officer, ArtsMemphis*

In summary, these data and community letters demonstrate both the need and community demand for a program to train and develop nonprofit leaders, and that the proposed Master of Nonprofit Management could meet those demands.

[12] Tennessee Nonprofit Compensation Survey 2016
https://static1.squarespace.com/static/59b9516280bd5ee35b52d9b6/t/5a1457b6652dea75bb55c496/1511282626407/TNNFP2016CompensationReport.pdf

Program Costs/Revenues

Both the need and the resources for offering a Master of Nonprofit Management has grown from two current programs: The Nonprofit Concentration if the Master of Public Administration, and the Graduate Certificate in Philanthropy and Nonprofit Leadership. While the MNM program is expected to generate revenue from student tuition and fees, the program will primarily rely on existing resources within the Department of Public and Nonprofit Administration. The curriculum is comprised of existing courses that are currently taught by our full-time and part-time faculty. Options for elective courses are available either in the department or in other departments on campus. As a fully online program, student support will be provided by existing faculty and staff, UMDegree facilitated advising, and UofM Global Student Services and Support. Thus, the MNM will not require additional faculty or staff lines.

THEC Financial Projection Form

Tennessee Higher Education Commission						
Appendix A: THEC Financial Projections						
University of Memphis						
Master of Nonprofit Management						
Five-year projections are required for baccalaureate and Master's degree programs						
Projections should include cost of living increases per year.						
Planning year projections are not required but should be included when appropriate.						
	Planning Year	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**
I. Expenditures						
A. One-time Expenditures						
New/Renovated Space[1]	$ -	$ -	$ -	$ -	$ -	$ -
Equipment	-		-	-	-	-
Library*	-	1,750				
Consultants	-	-	-	-	-	-
Travel**		1,500				

Other [M50] Course Develop.***	32,000				-	-
Sub-Total One-time	$ 32,000	$ 3,250	$ -	$ -	$ -	$ -
B. Recurring Expenditures						
Personnel						
Administration						
Salary	$ -	$ -	$ -	$ -	$ -	$ -
Benefits	-	-	-	-	-	-
Sub-Total Administration	$ -	$ -	$ -	$ -	$ -	$ -
Faculty						
Salary	$ -	$ -	$ -	$ -	$ -	$ -
Benefits	-	-	-	-	-	-
Sub-Total Faculty	$ -	$ -	$ -	$ -	$ -	$ -
Support Staff						
Salary	$ -	$ -	$ -	$ -	$ -	$ -
Benefits	-	-	-	-	-	-
Sub-Total Support Staff	$ -	$ -	$ -	$ -	$ -	$ -
Graduate Assistants		**1**	**1**	**1**	**1**	**1**
Salary	$ -	$ 6,000	$ 6,000	$ 6,000	$ 6,000	$ 6,000
Benefits	-	-	-	-	-	-
Tuition and Fees* (See Below)	-	$ 10,698.00	$ 10,911.96	$ 11,130.20	$ 11,352.80	$ 11,579.86
Sub-Total Graduate Assistants	$ -	$ 16,698	$ 16,912	$ 17,130	$ 17,353	$ 17,580
Operating						

Travel	$ -	$ 1,500	$ 1,500	$ 1,500	$ 1,500	$ 1,500
Printing	-	500	500	500	500	500
Equipment	-	3,000	1,000	1,000	1,000	1,000
Other	-	5,000	3,000	3,000	3,000	3,000
Sub-Total Operating	$ -	$ 10,000	$ 6,000	$ 6,000	$ 6,000	$ 6,000
Total Recurring	**$ -**	**$ 26,698**	**$ 22,912**	**$ 23,130**	**$ 23,353**	**$ 23,580**
TOTAL EXPENDITURES (A + B)	**$ 32,000**	**$ 29,948**	**$ 22,912**	**$ 23,130**	**$ 23,353**	**$ 23,580**
***If tuition and fees for Graduate Assistants are included, please provide the following information.**						
Base Tuition and Fees Rate	$ -	$ 10,698.00	$ 10,911.96	$ 11,130.20	$ 11,352.80	$ 11,579.86
Number of Graduate Assistants		1	1	1	1	1
	Planning Year	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**
II. Revenue						
Tuition and Fees[2]	-	120327	135855	1397400	271710	310530
Institutional Reallocations[3]	32,000	(90,379)	(112,943)	(1,374,270)	(248,357)	(286,950)
Federal Grants[4]	-	-	-	-	-	-
Private Grants or Gifts[5]	-	-	-	-	-	-
Other[6]	-	-	-	-	-	-
BALANCED BUDGET LINE	**$ 32,000**	**$ 29,948**	**$ 22,912**	**$ 23,130**	**$ 23,353**	**$ 23,580**
Notes:						

(1) Provide the funding source(s) for the new or renovated space.						
N/A						
(2) In what year is tuition and fee revenue expected to be generated? Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program. Explain any differential fees.						
We expect the program to generate revenue within the first year.						
(3) Identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.						
The cost of M50 course development ($32,000) will be paid by online fee recovery that has been reserved for this purpose.						
(4) Provide the source(s) of the Federal Grant including the granting department and CFDA(Catalog of Federal Domestic Assistance) number.						
(5) Provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).						
(6) Provide information regarding other sources of the funding.						
* One time library funding for current titles in Nonprofit Management, particularly fund development ad the use of analytics in philanthropy, a new program focus.						
** One time travel cost is to send coordinator to Nonprofit Academic Centers Council for accreditation training.						
** One time course development cost to develop existing courses for M50 online course approval for inclusion in UofM Global program.						

Master of Nonprofit Management

New Academic Program Proposal

University of Memphis
Department of Public and Nonprofit Administration

Table of Contents

Implementation Timeline

Accreditation considerations for professional disciplinary accreditation organization and/or SACSCOC, if applicable

The Nonprofit Academic Centers Council (NACC) is the accrediting body for Nonprofit Academic programs. The University of Memphis Master of Nonprofit Management will initiate the accreditation process with NACC in November 2022.

Proposed dates for the external judgment site visit

The site visit for external review is anticipated in July 15th, 2020.

Estimated date of submission of the external review report to THEC and the institution (within 30 days after the site visit)

If the external review is completed in mid- August, the submission of the external review report is expected for September 15, 2020.

Estimated date of institution's response to external review

The institutions response to the external review is estimated for September 30, 2020.

Proposed date of the institutional governing board meeting the new academic program would be considered for approval

The Master of Nonprofit Management program was approved by the University of Memphis Board of Trustees on June 10, 2020. The Provost will submit a final letter of approval following the report and updates from the external reviewers.

Proposed date of the THEC meeting for the academic program to be considered for Commission approval.

We anticipate the MNM will be considered by the Commission for approval on November 6, 2020.

Curriculum

Program Requirements

Students are required to complete a minimum of thirty-nine (40) semester hours. Twenty-one (22) hours are taken in the core curriculum; fifteen (15) hours of electives, plus a three (3) hour internship. An individual course plan is designed for each student and approved by the student's academic adviser.

Program learning outcomes – Provide the academic program learning outcomes. Focus on program outcomes that reflect the specific knowledge and skills one expects students to acquire as part of their educational experience in the proposed program.

NACC Curricular Guidelines at the core of this program:

2.0 Scope and Significance of the Nonprofit Sector, Voluntary Action, and Philanthropy
5.0 Nonprofit Governance and Leadership
6.0 Public Policy, Advocacy, and Social Change
10.0 Fundraising and Resource Development
12.0 Leadership, Management, innovation, and Entrepreneurship

Upon completion of this program, students will have attained competency in the following areas:

1. Students will understand the size, impact, and role of the nonprofit sector, philanthropy, and voluntarism in a multi-sector society.
2. Students will understand the role and function of nonprofit governing boards, and the complex relationship between the board and executives in providing leadership within organizations, communities, and society.
3. Students will understand the role of nonprofit and voluntary organizations in effecting social change, shaping and interacting with public policy, and fostering community engagement.
4. Students will understand the fund development process, as well as innovations, trends, and changes that affect fundraising and fund development approaches.
5. Students will understand the role of organizational strategy and innovation in creating sustainable and effective organizations.

Academic Program Requirements
Students are required to complete a minimum of thirty-nine (39) semester hours. Twenty-one (21) hours are taken in the core curriculum; fifteen (15) hours of electives, plus a three (3) hour internship. An individual course plan is designed for each student and approved by the student’s academic adviser.

Required / Core Courses (21 SCH)

PADM 7641 – THRY/PRAC NONPROFIT ADM (3)
PADM 7642 – RESOURCE DEVELOPMENT (3)
PADM 7643 – SEMN NONPROFIT ADM&PHILANTH (3)
PADM 7601 – RESEARCH METHODS (3)
PADM 7605 – HUMAN RESOURCES ADMIN (3)
PADM 7612 – PROGRAM/POLICY EVALTN (3)
PADM 7607 – PUBLIC MGMNT LEADERSHIP (3)

Elective Courses (15 SCH)
PADM 6228 GRANT DEVELOPMENT/ MANAGEMENT (3)

PADM 7602	PUBLIC BDGT ADM/FIN (3)
PADM 7603	PBLC/NONPROFIT CONTR (3)
PADM 7608	PUBLIC MGMT INF SYS (3)
PADM 7614	INTERAGENCY COLLAB/ADM (3)
PADM 7635	ISSUES PUB HUMAN RESOUR (3)
PADM 7663	ISSUE PUBLIC MGMT POLCY (3)
PADM7644	NONPROFIT BRANDING/STRYTELLING (3)
PADM 7720	SOCIAL ENTREPRENEURSHIP (3)
PADM 7721	PERFORMANCE MEASUREMENT (3)

Current Courses and Existing Program

All courses required for the Master of Public Management (MNM) degree are currently available. In addition to the Public and Nonprofit Administration (PADM) courses identified, we have identified the following courses in other academic programs that would serve as suitable electives for the MNM student:

Approved Electives from Other Departments:

ACCT 6320	MGR DECISION MAKING/ACCT (3)
ANTH 6416	CULTURE/IDENTITY/POWER (3)
JRSM 7410	ADVANCED CRISIS COMMUNICATION (3)
JRSM 7330	SOCIAL MEDIA & COMMUNITY ENGAGEMENT (3)
LAW 0370	NONPROFIT ORGANIZATIONS (3)
MGMT 7130	ORGANIZATIONAL BEHAVIOR AND PERFORMANCE (3)
MGMT 7173	EXECUTIVE COMMUNICATIONS (3)
MGMT 7520	SEMINAR IN ORGANIZATIONAL CHANGE MANAGEMENT (3)
MKTG 7060	MARKETING MANAGEMENT (3)
MKTG 7510	NEGOTIATION STRATEGIES (3)
PLAN 6004	COMMUNITY ORGANIZING (3)
PBRL 6301	EVENT MANAGEMENT (3)
PRST 7105	PROJECT PLANNING AND SCHEDULING (3)
SOCI 7325	SEMINAR IN QUALITATIVE RESEARCH (3)
SOCI 7421	RACIAL AND SOCIAL INEQUALITY (3)
SWRK 7022	ORGANIZATIONS AND COMMUNITIES (3)
SWRK 7030	SOCIAL WELFARE POLICY/SERVICES (3)

- New Courses Needed – None
- Distance Learning – This program will be available fully online
- Course Syllabi – Please see Appendix A

Academic Standards

Admission Requirements

Applicants must satisfy admission requirements of the Graduate School and receive favorable endorsement from the public administration faculty. Admission will be based on:

1. Applicable test scores (Graduate Record Examination [GRE], Graduate Management Aptitude Test [GMAT], or Miller Analogy Test [MAT]);
2. Undergraduate grade point average; Applicants for the MPA degree may be eligible for a waiver of the standardized entrance exam (GRE, GMAT or MAT). To learn more about the waiver policy please go to: www.memphis.edu/padm/mpa/standardized-waiver.
3. Previous education and/or experience demonstrated via a résumé and two letters of reference;
4. Ability to articulate career goals and education objectives via a personal statement.

Graduation Requirements

The student must have a cumulative GPA of 3.0 on all graduate work undertaken at The University of Memphis whether or not the courses are listed on the candidacy form. Grades of "D" or "F" are not accepted for any graduate degree credit, but these grades will be computed in the GPA. No more than seven (7) hours of "C+," "C," or "C-" will be counted toward degree requirements.

The program must include a minimum of 70% of the total required hours as 7000 level courses.
All requirements of the Graduate School, the student's college, and the academic department must be met.

The student's graduate work up to this point must be acceptable in quality and quantity to the major advisor, department chair and/or director of graduate studies in the student's college, and the Dean of the Graduate School.

The student must produce a satisfactory capstone e-portfolio. The e-portfolio is introduced at the beginning of the program and students add to it throughout their experience. The completion phase of the e-portfolio is incorporated into PADM 7607: Public Management Leadership (Capstone Course).

Retention Requirements

Students must remain in good standing and make adequate progress toward the degree. All students must confer with their academic adviser each semester. Students on academic probation must meet with their academic adviser to create a plan for getting back in good standing.

Other Requirements

The capstone project must be successfully completed during the calendar year in which the student expects to graduate. Students must also successfully complete PADM 7607 - Public Mgmt Leadership, during the calendar year in which the student expects to graduate.

Preservice students must complete a 3 SCH Internship. Midcareer students may substitute a 3 SCH Independent Study OR 3 SCH of ELC.

Equity

The Master of Nonprofit Management will support a diverse student body. While 49 percent of Master of Public Administration students are nonwhite, 55 percent of students enrolled in the graduate certificate in Philanthropy and Nonprofit Leadership are non-white.[1] We expect that this level of diversity for the MNM will be similar, if not greater.

This program will proactively recruit both pre-service and mid-career professionals that reflect the diversity of the region and the sector.   One strategy will be to recruit from within our undergraduate students in the Nonprofit management Minor and the Certified Nonprofit Professional (CNP) programs. Approximately 50 percent of nonprofit minors and 70 percent of students enrolled in the CNP program are non-white.

Externally, we will advertise and recruit from institutions with diverse student bodies, particularly in those areas with strong and/or growing nonprofit communities. A strong focus of the local nonprofit sector is to increase diversity in the talent pipeline, particularly at the mid-career and executive levels of leadership. The MNM will work with these community partners to identify and recruit promising students to increase the diversity of the program and sector. These efforts are enhanced through the use of admissions exam waivers. While exam scores have long been considered a barrier for graduate school admission, particularly for minorities, women, nontraditional, and economically disadvantaged students, MNM applicants who have at least six years of experience in the sector or have earned the CNP credential are able to waive this requirement.

This program will be offered fully online to serve adult learners, most of whom have full-time careers. The benefit of the MNM's online format is that it increases accessibility and provides a flexible learning environment for these students. Additionally, the online format will allow students outside the immediate Memphis Metropolitan area to access the program, providing individuals regionally and globally with an opportunity to advance their education in Nonprofit Management.

[1] University of Memphis Office of Institutional Reasearch

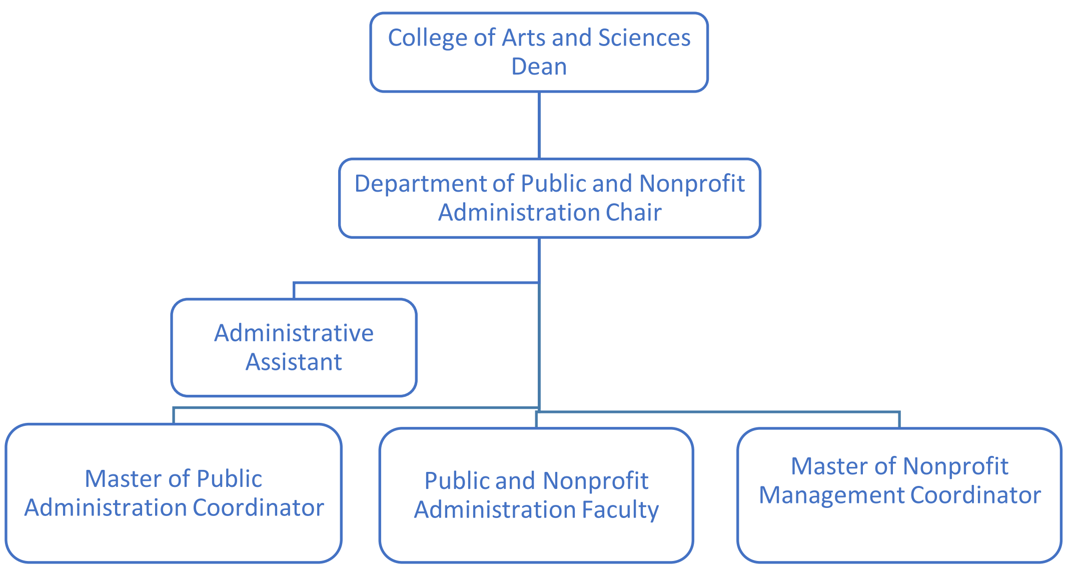
Program Enrollment and Graduates

The estimates for enrollment are based on trend data for students in the Nonprofit Concentration, the Graduate Certificate in Nonprofit Leadership and Philanthropy, and the partnership/bulk tuition agreement with ALSAC/St. Jude Children's Research Hospital. These estimates are conservative in that they do not take into account the fact that online students are likely to come from beyond our typical recruitment area. As the recognition and reputation of the program increases, we expect this program's enrollment to outpace the growth of our existing Master of Public Administration program. Based on these projections, we expect that by year five, a graduation rate of approximately 25 students (full and part time) students per year.

ESTIMATED ENROLLMENT

	Year 1	Year 2	Year 3	Year 4	Year 5
Full Time	5	5	8	10	10
Part Time	8	10	15	25	25

Administrative Structure



ORGANIZATIONAL CHART

The Master of Nonprofit Management degree will be housed within the Department of Public and Nonprofit Administration. There are two programs in the department, the

MPA and MNM. Each program will have its own graduate program coordinator. The current Administrative Assistant will split their time between the two programs.

Faculty Resources

The faculty resources listed below include two newly hired faculty members who will be starting in Fall 2020. Current CVs can be found in Appendix B.

Name	**Rank**	**Highest Degree**	**Home Department**	**Involvement**	**Graduate Faculty**
Michael Howell-Moroney	Professor	PhD	Public and Nonprofit Administration	10% MNM 90% MPA	Full Grad Faculty Status
Sharon Wrobel	Associate Professor	PhD	Public and Nonprofit Administration	25% MNM 25% MPA 50% Admin.	Full Grad Faculty Status
Erin Nelson	Assistant Professor	PhD	Public and Nonprofit Administration	90% MNM 10% MPA	Full Grad Faculty Status
John Topinka	Clinical Assistant Professor	PhD	Public and Nonprofit Administration	20% MNM, 80% MPA	Associate Grad Faculty Status
Elizabeth Gillespie	Assistant Professor	PhD	Public and Nonprofit Administration	100% MNM	**START DATE: August 2020**
Joseph Hafer	Assistant Professor	PhD	Public and Nonprofit Administration	10% MNM 90% MPA	**START DATE: August 2020**

Current Faculty

The current faculty within the Department of Public and Nonprofit Administration will serve as faculty in both the core and electives. All Current MNM faculty hold terminal degrees. All faculty are, or will be, eligible to chair thesis committees.

Anticipated Faculty

At this time, we do not anticipate needing any new faculty to run the MNM program.

Library and Information Technology Resources

The field of nonprofit management has seven primary peer-reviewed journals in which faculty can publish. However, several others across many disciplines are considered primary resources for teaching and scholarly activity. In conducting a search for the publications used most frequently among nonprofit studies faculty, all but one (*Journal of Civil Society*) are held at the University of Memphis Libraries. In addition, the field's key trade publications are available online through the library, and the collection of books held by the library is kept current with the field.

As a relatively young discipline, there have been several new refereed journals established in the last 5-10 years. However, the newest peer-reviewed journals to emerge in the field of nonprofit management have primarily been open-access. Nevertheless, we anticipate at least one new journal being published in the next 5 years that would require an online subscription.

Support Resources

Evidence of Willingness to Partner

Faculty within the Department of Public and Nonprofit Administration have many rich partnerships with the community. As a member of the Nonprofit Academic Centers Council, our faculty have had an opportunity to network with and engage in collaborative research with leaders of other nonprofit programs across the globe, while simultaneously learning about current national trends in nonprofit management education.

Local partnerships and collaborations involve co-convening the nonprofit capacity builders' network (CBN), which is a network of over 20 MidSouth nonprofit organizations that work to build capacity of the nonprofit sector. Key partners within the CBN include Momentum Nonprofit Partners, the United Way of the MidSouth, the Community Foundation of Greater Memphis, CommunityLift, and Seeding Success, among others. The Department plays a key role in this collaborative, in that our contribution to building sector capacity is preparing the future workforce through our graduate programs. This collaboration allows the Department of Public and Nonprofit Administration to stay attuned to local knowledge needs while contributing to workforce development.

Another key partner of the Department is ALSAC/St. Jude Children's Research Hospital. Through this partnership, students in the Department will be able to learn the principles and practices of nonprofit marketing and fundraising from an organization that is a standard-bearer in the field. Not only will this partnership yield subject-matter experts who can contribute to our existing curriculum, they are uniquely positioned to keep the program apprised of larger global trends in nonprofit management.

Other partners like ArtsMemphis, VolunteerOdyssey, CrosstownArts, Meritan, and the YMCA have provided service-learning opportunities to our students. Our collaborations with organizations like MakeAWish MidSouth, the Assisi Foundation, Memphis Music Initiative, the National Civil Rights Museum, and the Brooks Museum have provided important practitioner perspectives through various guest lecturers and practitioner panels.

Our many partnerships, both locally and globally, lead to meaningful relationships with the nonprofit sector and provide opportunities for service-learning projects, engaged scholarship research, and help inform our curricular development. Many of our external partners employ departmental alumni and look to hire graduates from our programs.

Other Support Currently Available

The Department is currently supported by an administrative assistant, who will also provide support services to the MNM program. Full-time faculty currently provide academic advising to our graduate students, and we anticipate that this will continue with students in the MNM program. Faculty are provided with an annual travel budget, and new hires are provided start-up funds to ensure continued support for professional development and research productivity.

In addition, we are able to employ subject matter experts from local nonprofit partners (with preference given to our alumni) to teach some of the more specialized elective courses. For example, senior or executive marketing staff from ALSAC/St. Jude Children's Research Hospital teach our nonprofit branding and storytelling course.

Other Support Needed

We do not anticipate needing any additional support for the MNM program.

Facilities and Equipment

Current information technology resources meet the needs of the Department of Public and Nonprofit Administration faculty. The addition of a Master of Nonprofit Management would likely require a license for NViVO (or similar qualitative analysis software) and STATA to support research activity.

Marketing and Recruitment Plan

Our initial recruitment will focus on three areas. First, we will work with our community partner, ALSAC/St. Jude Children's Research Hospital. We will continue to participate in the ALSAC-sponsored recruitment events, which have been successful in attracting ALSAC employees to our current nonprofit concentration and graduate certificate. Second, we will reach out to the numerous nonprofits who expressed interest in supporting our program. In a spring 2019 Needs Assessment survey, 40 area nonprofits expressed that they would be interested in supporting a Master of Nonprofit Management at the University of Memphis. Third, we will reach out to our undergraduate nonprofit minors and students pursuing the Certified Nonprofit Professional certification.

To market the program outside the immediate community, we will market the program formally and informally through our faculty affiliations with professional and academic organizations such as the Nonprofit Academic Centers Council (NACC), Association for Research on Nonprofit Organizations and Voluntary Action (ARNOVA), Association of Fundraising Professionals (AFP) as well as outreach with our alumni and professional colleagues. Finally, as an online program, the Master of Nonprofit Management will be included in the marketing efforts of UofM Global.

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.

Program evaluation for the Master of Nonprofit Management will focus on student outcomes, student feedback, and community involvement.

<u>Student Outcomes:</u> Overall student outcomes will be tracked to accreditation standards for the Nonprofit Academic Centers Council (NACC), the (anticipated) accrediting body.

NACC Curricular Guidelines at the core of this program:

2.0 Scope and Significance of the Nonprofit Sector, Voluntary Action, and Philanthropy
5.0 Nonprofit Governance and Leadership
6.0 Public Policy, Advocacy, and Social Change
10.0 Fundraising and Resource Development
12.0 Leadership, Management, innovation, and Entrepreneurship

Specific Program Outcomes are as follows:

Upon completion of this program, students will have attained competency in the following areas:

1. *Students will understand the size, impact, and role of the nonprofit sector, philanthropy, and voluntarism in a multi-sector society.*
2. *Students will understand the role and function of nonprofit governing boards, and the complex relationship between the board and executives in providing leadership within organizations, communities, and society.*
3. *Students will understand the role of nonprofit and voluntary organizations in effecting social change, shaping and interacting with public policy, and fostering community engagement.*
4. *Students will understand the fund development process, as well as innovations, trends, and changes that affect fundraising and fund development approaches.*
5. *Students will understand the role of organizational strategy and innovation in creating sustainable and effective organizations.*

<u>Student Feedback</u>: As a requirement for graduation, each student must complete a comprehensive program ePortfolio. For this ePortfolio, the student must provide a completed assignment, or “artifact’” that demonstrates a given competency. They then write a series of reflective essays for each competency. Once the portfolios are graded, the assessment committee evaluates the scores for each dimension of the competency to identify possible deficiencies in the curriculum, ambiguity in the competency language, or opportunities to expand or refine the curriculum.

Toward the end of their final spring semester, students will participate in a program focus group where students can share their impressions of curriculum, skills, advising, career mentoring, and program administration. General responses will then be shared with and discussed by the faculty.

<u>Community Input</u>: The department has also established a community advisory committee, which has guided us in the creation of the curriculum. We will continue to engage this committee to ensure the program’s curriculum, research, and outreach are relevant and meaningful to the sector.

Accreditation

The Nonprofit Academic Centers Council (NACC) provides accreditation to nonprofit studies programs. We would pursue accreditation during the 2021-2022 academic year, once the MNM has been running for a full academic year. The estimated timeline for NACC accreditation is:

- **November 1, 2022**: Submit initial accreditation application and application fee

- **November 15-December 31**: Interviews (Section 2) completed. Section 3 made available to applicant immediately following completion of interview.
- **January 31:** Deadline to submit Section 3. This concludes the application process.
- **February 15:** Accreditation Team to provides Preliminary Reports to ERB for their review and approval.
- **March 30:** Preliminary Reports sent to respective Applicants for their review and response.
- **April 15:** Deadline for Applicant to submit response to Preliminary Report to Accreditation Team.
- **June 1**: Accreditation Team announces ERB's final decisions to respective Applicants.
- June 30: Hard copy reports sent to participating Institutions
- **August 30:** Accreditation Team produces Health of the Field report based on Accreditation findings.

Funding

The THEC projection form is based on expected enrollment of 13 students in the first year, 15 in the second year, 23 in the third year, and 35 by year five. We believe these estimates to be quite conservative and expect enrollment to increase rapidly as the reputation of the program increases. Since the proposed program utilizes existing faculty and support, these are not included in this projection.

Tennessee Higher Education Commission						
Appendix A: THEC Financial Projections						
University of Memphis						
Master of Nonprofit Management						
Five-year projections are required for baccalaureate and Master's degree programs						
Projections should include cost of living increases per year.						
Planning year projections are not required but should be included when appropriate.						
	Planning Year	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**
I. Expenditures						
A. One-time Expenditures						
New/Renovated Space[1]	$ -	$ -	$ -	$ -	$ -	$ -

Equipment	-		-	-	-	-
Library*	-	1,750				
Consultants	-	-	-	-	-	-
Travel**		1,500				
Other [M50] Course Develop.***	32,000				-	-
Sub-Total One-time	$ 32,000	$ 3,250	$ -	$ -	$ -	$ -
B. Recurring Expenditures						
Personnel						
Administration						
Salary	$ -	$ -	$ -	$ -	$ -	$ -
Benefits	-	-	-	-	-	-
Sub-Total Administration	$ -	$ -	$ -	$ -	$ -	$ -
Faculty						
Salary	$ -	$ -	$ -	$ -	$ -	$ -
Benefits	-	-	-	-	-	-
Sub-Total Faculty	$ -	$ -	$ -	$ -	$ -	$ -
Support Staff						
Salary	$ -	$ -	$ -	$ -	$ -	$ -
Benefits	-	-	-	-	-	-
Sub-Total Support Staff	$ -	$ -	$ -	$ -	$ -	$ -
Graduate Assistants		**1**	**1**	**1**	**1**	**1**
Salary	$ -	$ 6,000	$ 6,000	$ 6,000	$ 6,000	$ 6,000

Benefits	-	-	-	-	-	-
Tuition and Fees* (See Below)	-	$ 10,698.00	$ 10,911.96	$ 11,130.20	$ 11,352.80	$ 11,579.86
Sub-Total Graduate Assistants	$ -	$ 16,698	$ 16,912	$ 17,130	$ 17,353	$ 17,580
Operating						
Travel	$ -	$ 1,500	$ 1,500	$ 1,500	$ 1,500	$ 1,500
Printing	-	500	500	500	500	500
Equipment	-	3,000	1,000	1,000	1,000	1,000
Other	-	5,000	3,000	3,000	3,000	3,000
Sub-Total Operating	$ -	$ 10,000	$ 6,000	$ 6,000	$ 6,000	$ 6,000
Total Recurring	**$ -**	**$ 26,698**	**$ 22,912**	**$ 23,130**	**$ 23,353**	**$ 23,580**
TOTAL EXPENDITURES (A + B)	**$ 32,000**	**$ 29,948**	**$ 22,912**	**$ 23,130**	**$ 23,353**	**$ 23,580**
***If tuition and fees for Graduate Assistants are included, please provide the following information.**						
Base Tuition and Fees Rate	$ -	$ 10,698.00	$ 10,911.96	$ 11,130.20	$ 11,352.80	$ 11,579.86
Number of Graduate Assistants		1	1	1	1	1
	Planning Year	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**
II. Revenue						
Tuition and Fees[2]	-	120327	135855	1397400	271710	310530
Institutional Reallocations[3]	32,000	(90,379)	(112,943)	(1,374,270)	(248,357)	(286,950)
Federal Grants[4]	-	-	-	-	-	-
Private Grants or Gifts[5]	-	-	-	-	-	-

Other[6]	-	-	-	-	-	-
BALANCED BUDGET LINE	**$ 32,000**	**$ 29,948**	**$ 22,912**	**$ 23,130**	**$ 23,353**	**$ 23,580**
<u>Notes:</u>						
(1) Provide the funding source(s) for the new or renovated space.						
N/A						
(2) In what year is tuition and fee revenue expected to be generated? Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program. Explain any differential fees.						
We expect the program to generate revenue within the first year.						
(3) Identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.						
The cost of M50 course development ($32,000) will be paid by online fee recovery that has been reserved for this purpose.						
(4) Provide the source(s) of the Federal Grant including the granting department and CFDA(Catalog of Federal Domestic Assistance) number.						
(5) Provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).						
(6) Provide information regarding other sources of the funding.						
* One time library funding for current titles in Nonprofit Management, particularly fund development ad the use of analytics in philanthropy, a new program focus.						
** One time travel cost is to send coordinator to Nonprofit Academic Centers Council for accreditation training.						
** One time course development cost to develop existing courses for M50 online course approval for inclusion in UofM Global program.						

Le Bonheur
Methodist Healthcare Family Children's Hospital

Board of Trustees
University of Memphis
324 Administration Building
3720 Alumni Drive
Memphis, TN 38152

Dear Trustees:

As president and CEO of Le Bonheur Children's Hospital, I wholeheartedly support the proposal for the Master's Program in Nonprofit Management at the University of Memphis. I believe this program will fill a void by developing leaders who will help Le Bonheur and other local non-profit organizations better meet our community's needs.

Le Bonheur is the region's only comprehensive children's hospital, and we work with more than 500 community partners, including churches, schools, child care centers, community organizations, businesses and governmental agencies. Together, we're improving the health and well-being of children and families by implementing evidence-based programs that will improve our region.

As we look toward the future, our challenges are great. We expect reduced funding opportunities for some of the most chronic health issues our community faces. Le Bonheur will lean on thoughtful and talented nonprofit leaders to help us navigate these challenges. We'll also seek additional training for our existing work force, so that they can help our community prosper.

I am impressed with the generous spirit that runs through Memphis. It's essential that we train the next generation of nonprofit leaders who can build on the good work already begun and help us better serve our community. I believe the Master's Program in Nonprofit Management at the University of Memphis will serve this community and region well.

Sincerely,

Michael Wiggins, MBA, FACHE
President and CEO
Le Bonheur Children's Hospital

MOMENTUM NONPROFIT PARTNERS

Kevin Dean, CEO
Momentum Nonprofit Partners
630 S. Cooper St.
Memphis, TN 38104

Board of Trustees
University of Memphis
324 Administration Building
3720 Alumni Drive
Memphis, TN 38152

Dear Trustees:

As CEO of Momentum Nonprofit Partners, I support the proposal for the Master of Nonprofit Management at the University of Memphis. I believe that the program would strengthen the connections between the University and its community and help build capacity for the city and region.

Momentum Nonprofit Partners provides help with the challenges that are unique to nonprofit organizations. We offer an extensive selection of trainings and networking aimed at sharing knowledge, building leadership skills and providing tools and techniques that help organizations respond effectively to the needs of the community and the demand for accountability.

In Memphis, aspiring nonprofit leaders have limited options for professional development around nonprofit management. As a person who entered the nonprofit workforce without a background in nonprofit administration, I can personally say that a Master of Nonprofit Management would have been game changing for my own trajectory as a leader, and I could have more easily tackled more complex challenges with greater ease had I had the opportunity.

Per capita, Memphis has one of the largest nonprofit sectors in the nation, yet nonprofit leaders have so few options. By adding this degree program to the University of Memphis, we have the opportunity to retain talent in Memphis and root the curriculum and learning opportunities in the unique culture of our community.

Momentum Nonprofit Partners looks forward to partnering in whatever ways possible with the University of Memphis in the creation and implementation of this wonderful opportunity!

Sincerely,

Kevin Dean, CEO
Momentum Nonprofit Partners

MOMENTUM NONPROFIT PARTNERS

630 S. Cooper Street
Memphis, TN 38104

901-726-5725
www.momentumnonprofit.org

Habitat for Humanity® of Greater Memphis

We build strength, stability and self-reliance through shelter.

Dwayne Spencer, President/CEO
Habitat for Humanity of Greater Memphis
7136 Winchester Road

Board of Trustees
University of Memphis
324 Administration Building
3720 Alumni Drive
Memphis, TN 38152

Dear Trustees:

As President and CEO of Habitat for Humanity of Greater Memphis, I support the proposal for the Master of Nonprofit Management at the University of Memphis. I believe that the program would strengthen the connections between the University and its community and help build capacity for the city and region—one nonprofit leader at a time.

At Memphis Habitat, we are focused every day on the issue of decent, affordable housing and as of late—aging in place. We believe that every person deserves to live in a safe, clean, affordable home. However, the ability to lead while also working to innovate and be progressive in our approaches to our work can be daunting. Like many nonprofits—we struggle to create real change among a group of constituents that seems to never shrink. The need greatly outpaces our deliverables. Yet we are not deterred in our effort to truly create life-changing housing solutions.

I, myself, received a Master of Public Administration with a nonprofit concentration from the University of Memphis in 2015. I did so in the 14th year of my tenure as CEO of Memphis Habitat. Even then, the program provided invaluable lessens that have greatly benefited me and my organization. Now, in my 18th year as CEO of Memphis Habitat, I feel much better prepared to take my agency to new levels of constituent impact.

The nonprofit workforce has changed in the last few years. Many new nonprofit employees are transitioning from the corporate sector or from areas where they have had no real introduction to how nonprofits uniquely function. Many of these sector-switchers assume they understand the nonprofit sector, and that kind of assumption can be detrimental to a nonprofit's growth and advancement. For those new nonprofit leaders as well as others who are moving up the ranks of nonprofit management, the Master of Nonprofit Management that is being proposed would be a huge benefit. As we all know, fundraising alone cannot create the sustainability that is necessary for today's nonprofit sector to survive and prosper. There are lessons to be learned around innovative techniques and approaches, financing tools, and partnership strategies that can drive an agency's overall performance to serve at greater levels and to have deeper and more meaningful impact. The new Master's program could help drive nonprofit impact for years to come!

To reach our highest potential and to address the growing need for nonprofit professionals, I hope the Tennessee Board of Regents will take this important and imperative proposal to heart and create a Master of Nonprofit Management program that will have lasting impact on our city and the region.

Sincerely,

Dwayne Spencer

Dwayne Spencer
President/CEO
Habitat for Humanity of Greater Memphis

Administrative Office | 7136 Winchester Road, Memphis, TN 38125 tel (901) 761-4771 fax (901) 761-4704 info@memphishabitat.com memphishabitat.com

ReStore | 7130 Winchester Road, Memphis, TN 38125 tel 901-RE STORE (737-8673) fax (901) 322-3548 memphisrestore.com

September 12, 2019

Tracy Lauritzen Wright, COO
ArtsMemphis
575 S. Mendenhall
Memphis, TN 38117

Board of Trustees
University of Memphis
324 Administration Building
3720 Alumni Drive
Memphis, TN 38152

Dear Trustees:

As Chief Operating Officer of ArtsMemphis, I support the proposal for the Master of Nonprofit Management at the University of Memphis. I believe that the program would strengthen the connections between the University and its community and help build capacity for the city and region.

ArtsMemphis, every year, invests approximately $2.5 million in grant funds in more than 70 local arts organizations and artists. We work closely with our grantees to identify their strengths and needs, and to explore ways to leverage greater impact in the community.

With a large nonprofit community in Memphis, we have a great need to ensure the individuals being served through our nonprofits can trust that they are operating according to the standards and requirements established, and that they are sustainable. Having a program to train future leaders would help to ensure the professionalism, sustainability and integrity of our nonprofit corporations.

Across the nonprofit arts sector, as with other sectors, we need to develop a pipeline for nonprofit professionals of color. This program would benefit the Memphis community through recruiting, educating and training diverse professionals to grow into leadership positions.

Our organization has worked with representatives of the College of Communications and Fine Arts and the Department of Public and Nonprofit Administration. This program would be welcome addition to our community, and I believe, will present more opportunities for partnerships and collaboration.

Sincerely,

Tracy Lauritzen Wright

Tracy Lauritzen Wright
Chief Operating Officer

ArtsMemphis®

Sustaining Memphis' world-renowned cultural vitality and strengthening local communities through the arts.

SOULSVILLE FOUNDATION

Ensuring the future of the Stax Museum of American Soul Music, Stax Music Academy, and The Soulsville Charter School

Board of Trustees
University of Memphis
324 Administration Building
3720 Alumni Drive
Memphis, TN 38152

Dear Trustees:

As President and CEO of the Soulsville Foundation, I support the proposal for the University of Memphis' Master's Program in Nonprofit Management. I believe the program would strengthen the connection between the University and its community and help build capacity for the city and region, furthering Memphis' reputation nationally as one of the most philanthropic cities in the country.

The Soulsville Foundation is the nonprofit organization that operates the Stax Museum of American Soul Music, Stax Music Academy, and The Soulsville Charter School. Not only do we serve approximately 800 children and families each day through our youth programs, we also offer a wide variety of youth programming at the Stax Museum, in addition to approximately 30 events each year that are free to the public and geared toward those who have historically had little access to the arts.

As an organization that has to raise funding every day to make our work possible, we think the training associated with this proposed program will add not only to the quantity of professional fundraisers in Memphis, but also to the quality of their work.

We think this is needed because, as mentioned above, Memphis is one of the most philanthropic cities in the country and this added workforce will only help highlight the generous giving that happens in this region and will help reinforce that reputation nationally.

On a personal note, what we do at the Soulsville Foundation is ensure that the young people with whom we work are prepared for college and success as adults. Many of our alumni are looking for ways to give back and have actually worked for us on staff in our development efforts. I think more access to better training for the young people we serve and young people in general who want to go into the fundraising field will serve their needs and build a greater philanthropic community Memphis and the Mid-South.

Sincerely,

Richard Greenwald
President and CEO, Soulsville Foundation

926 E. McLemore Ave. • Memphis, TN 38106 • (901)946-2535 • Fax: (901)948-8560 • www.soulsvillefoundation.org

Coach. Grow. Lead.

Board of Trustees
University of Memphis
324 Administration Building
3720 Alumni Dr
Memphis, TN 38152

Dear Trustees:

As the President and Chief Executive Officer of Memphis Athletic Ministries (MAM), MAM fully supports the proposal for the Master's Program in Nonprofit Management. This program would strengthen the connections between the University and its community and help build capacity for the city and region. I would pursue this course of study.

MAM operates as an after-school program, providing mentorship through the venue of sports to over 700 youth ages 8 to 18. MAM operates eight facilities throughout Memphis in distinct neighborhoods, with over 100 employees. MAM has partnerships with over 100 Shelby County Schools.

As a leader in the nonprofit sector for thirty years, I will certainly endorse this program of study. This program is needed. I have seen hundreds of nonprofit leaders go untrained, for various reasons, and therefore have limited access to resources. This program will connect leaders to necessary resources and place them in an environment of learning that will produce equipped leaders who can impact our city, region, and nation.

Many of the nonprofit organizations in Memphis have an unmet need to drastically improve the training provided to professionals in public service fields. Many organizations are seeking more sophisticated approaches to research and evaluation. I am convinced that numerous local professionals will benefit from the training provided by the program. MAM provides a literacy program in partnership with Literacy Mid-South, and additional training in this space would significantly increase our impact and ability to measure data.

MAM has had a long-standing impactful relationship with the University of Memphis. MAM has worked with Dr. Beverly Cross in the creation of a Youth Development program within the College of Education. We have also worked with the Athletic Department in the past. We welcome any opportunity to strengthen our relationship with the University of Memphis further.

Sincerely,

Randy Odom
President/CEO
Memphis Athletic Ministries
randy@mamsports.org

Memphis Athletic Ministries
2107 Ball Road, Memphis, TN 38114
901.744.6261 | Fax 901.744.1600 | www.mamsports.org

Appendix C: Course Syllabi

The University of Memphis
Division of Public and Nonprofit Administration
PADM 4226: Introduction to Nonprofit Organizations

Instructor: Anna Kathryn Word
Contact Information: 901-409-4362
Office Hours: By appointment via telephone
E-mail: annakword@gmail.com; amurray@memphis.edu

I. Course Description

The nonprofit sector has gained significant prominence in recent decades. As a sector, it incorporates a broad scope of activities including human services, health services, animal welfare, education and performing arts. This course introduces the nonprofit organizational form and examines the social, political, legal and economic environments in which nonprofits operate; the various roles they play on the local, national and international levels; and the structures, processes and complexities of organization governance that is shared by both volunteer and staff decision-makers. This course uses readings, class discussions and a variety of written assignments to expand the awareness of the scope of nonprofit organizations in the United States, to examine the inner workings of these types of organizations and to give students a foundation for further study on these topics.

II. Required Text

Nonprofit Management: Principles and Practices (3rd Edition) by Michael J. Worth

Additional selected readings that add something to the class discourse will also be made available. While some are already selected, others may change based on current events or the interests of the class. These will be uploaded to the course page on eCourseware. (Abbreviated on the assignment schedule as EC) It is critical that you keep up with the readings. They drive the discussions we will have in class, the assignments you will be given, and ultimately the grade you receive.

III. Course Organization and Expectations

Students are expected to carefully review the assigned material, including any textbooks, websites, online documents, and videos (See assignment schedule later in this document). We will meet face-to-face thirteen (13) times during the semester (please see the course schedule for the exact dates) with each starting promptly at 5:30 PM. Your attendance and participation during these sessions will impact your final grade. All class assignments and events of interest are available not only in this syllabus, but via your eCourseware homepage and the Calendar tab. Any changes will be posted there.

Attendance

Attendance is tracked for each class. Per division guidelines, you will receive a 5 point deduction from you final grade for each additional absence after you miss 3 classes. That is roughly half a letter grade. Keep that in mind if you think you might have a problem with regular attendance. If for some reason you are unable to make a class session, please contact me ahead of time if possible.

Assignments & Exam

Written assignments are graded primarily on the relevance of your content and the logic of any argument you may make. Assignments should be submitted in APA style. If you have difficulty with this style, you may want to consider ordering *A Pocket Style Manual* by Diana Hacker from www.dianahacker.com/pocket. Assignments must be electronically submitted using the eCourseware Dropbox. Grades and comments will also be posted via Dropbox. **NO LATE PAPERS WILL BE ACCEPTED.** If you have problems meeting a deadline, you must speak with me well in advance. All grades will be posted via eCourseware.

Class Responsibilities
Come to class prepared to discuss the day's topic. The classroom is a place of open and thoughtful discussion. We will listen to our classmates and respond to each other with respect at all times.

During the weeks that we do not meet, you are expected to stay on track with the reading assignments and submit assignments on time. You are also to post comments to the discussion board and respond or react to questions posed there.

Student Expectations for Professor
High quality learning results from a partnership between professor and student. Consequently, standards that I will apply to myself include the following:

- Design a well-organized and thoughtful course. Specify clear learning objectives.
- Effectively guide discussions and encourage and stimulate student participation.
- Treat students with dignity and respect, supporting a variety of opinions.
- Provide clear and specific feedback on assignments. Be available to provide more detailed feedback upon request.
- Grade assignments in a timely manner, i.e., returned within one week.
- Return student phone calls and e-mails within 24-48 hours (regular work week).

Assignments and Grading
Below are the grading policy and basic descriptions for the course assignments. Additional details will be provided during the semester as needed.

Assignment	Percentage
Participation	10%
Journal entries	15%
Case Study	15%
Volunteer experience journal	10%
Midterm exam	15%
Learning by Giving	15%
Final Exam	20%
Total	**100%**

Your final grade will be based on the following grading scale:

A+ 100-97, A 96-93, A- 92-90
B+ 89-87, B 87-83, B- 82-80
C+ 79-77, C 76-72, C- 72-70
D+ 69-67, D 65-63
F 62 and less

Course Assignments
Assignments focus on the student's ability to analyze issues/situations and demonstrate integration of course readings and discussions. Assignments are expected to be insightful, well written, and free of grammatical, spelling and style errors. All assignments must use American Psychological Association

(APA) referencing and citing methods (see www.apastyle.org.) **PLEASE NOTE**: Although assignments in this course can build on student work from prior or concurrent courses, the work for this course should be original. Please check with me if you have any questions. Assignments must be created in Microsoft Word or PowerPoint. Please label the file with your name and assignment (example: AKWassgn1). Assignments will be posted to the course discussion board or submitted online via the http://ecourseware.memphis.edu webpage and Dropbox. **Written assignments should be submitted on or before the due date.**

Participation (10%)

In addition to basic attendance, class members will be evaluated on their preparedness for and contribution to the class. It is imperative that you attend each scheduled class session. You participation will also be gauged by your active participation in our online discussion forum.

Journal Entries (15%)

A Web log or "Blog" is the virtual editorial page of the 21st century. It is a source of opinion writing associated with a variety of topics. Bloggers often craft a very distinctive style and voice, and they articulate a specific point of view. It relies on both facts and opinion. Since people can also comment on posts, blogs also serve as a community forum for various public issues.

When blogging, you should keep in mind this is a public forum to meaningfully discuss sensitive issues. **Online doesn't mean it should read like a text message.** Write keeping in mind the importance of the issue, the audience, tone, and quality of content. Your piece can be argumentative, descriptive, narrative, reflective, analytical, or satirical but should also be based in some agreed upon facts. Feel free to include links about the issue at other reputable sites.

For this course, you will write three blog entries (think of them as journal entries) about a specific topic. The grade is based on how well you communicate your purpose and opinion. Your journal entry must include a clear theme or thesis statement, evidence/sources to support it, and a conclusion. Your original post should be approximately 700 words and contain at least two (2) sources. You can earn up to 5 extra points by responding in a thoughtful manner to someone else's entry. Responses should be 500-700 words in length and contain at least 1 source.

Journal Entry 1-Due by 5:30 pm via EC on Jan. 23. Introduce yourself to your classmates—what is your major and your education background.. Why are you taking this class? Why are you interested in nonprofit management? What are your experiences in the nonprofit sector?
Journal Entry 2-Due by 5:30 pm via EC on February 13. Why is strategic planning important?

Case Study (15%)

In class, students will discuss and respond to case studies I provide. I will also assign one case study to be completed individually outside of class. Case studies provide the chance to apply what we have learned to real world events. They are also a common means of evaluation and review in government. Your case study is to be typed, double-spaced, in a legible font, and at least 1,000 words in length (not to exceed 1,500). I will provide additional information and guidelines well before the case is due.

Volunteer Service (10%)

The nonprofit sector depends heavily on volunteers to carry out their missions. This assignment consists of participating in a volunteer project and reflecting on that experience. Volunteer for a minimum of two (2) hours at a local nonprofit organization. After your volunteer experience, write a 500 word journal entry discussing your experience with the nonprofit organization, including topics discussed in class like staff interactions, marketing and communications, organization structure, convenience, volunteer screening and management, how you learned about the experience and how you felt after the volunteer experience. Please include the name and contact information for the nonprofit staff member who can verify your volunteer participation. This assignment is due on Thursday, April 17 by 5:30 PM via EC.

Midterm Exam (15%)
An exam allows you to show me that you have a basic understanding of the necessary components of nonprofit management as well as your ability to synthesize solutions drawing from across the content of the course. The exam will feature multiple choice, short answers, and essay questions.

Learning by Giving Project (15%)
The University of Memphis was awarded $10,000 by the Learning by Giving Foundation to make grants to public charities in our community. You will review the grant applications and select recipients of these grants. The applications are a part of the Strengthening Communities Grant Initiative. Students will divide into groups during three class sessions and determine which organizations will receive grant funding. Each group will write a short paper on the top 2 grants in their respective groups as well as present your group's top 2 organizations to the class. Your grade will be determined by your participation in this assignment. More information is provided in the assignment schedule.

Final Exam (20%)
An exam allows you to show me that you have a basic understanding of the necessary components of nonprofit management as well as your ability to synthesize solutions drawing from across the content of the course. You will receive more information about the exam format as the semester progresses.

IV. Course Policies

Students with disabilities: The University encourages the full participation of students with disabilities. Students are invited to meet with the instructor to discuss special accommodations needed for successful participation in this course.

Academic Integrity and Student Conduct: Please refer to the current *University of Memphis Code of Student Rights and Responsibilities* located online at http://www.memphis.edu/ugcatalog/pdfs/csrr.pdf for procedures regarding incomplete grades, plagiarism and grievances. Academic integrity is expected of every individual in the University. Academic dishonesty will not be tolerated. This includes, but is not limited to, cheating, plagiarism, or deception on an exam, paper, or class assignment.

Inclement Weather: If classes are cancelled due to inclement weather, I will send out an email notification and post to eCourseware as quickly as possible. **Note: Inclement weather will not change the assignment schedule for this course, unless the University of Memphis server is affected.**

V. Assignment Schedule This course outline is tentative and subject to change.
Week 1: January 16
Course and syllabus overview

Discussion: *Nonprofit Management as a profession*

Week 2: January 23
Required readings: Worth, Chapters 2 & 3

Discussion: *Theories of Nonprofit Management*

Assignment: Introductory journal entry due by 5:30 pm on January 23-EC

Week 3: January 30
Required reading: Worth, Chapter 4 & 5

Discussion: *Governing boards/Executive Leadership*

Week 4: February 6 (NO CLASS MEETING)
Required reading: Worth, Chapter 6

Week 5: February 13
Required reading: Worth, Chapters 6 & 7

Discussion: *Review Accountability/Strategic Planning*

Assignments: Journal entry due on the importance of strategic planning. Submit via EC by 5:30 PM on Thursday, February 13.

Week 6: February 20
Required reading: Worth, Chapter 8

Reflection: *Capacity and Collaboration*

Week 7: February 27
Required reading: Worth, Chapter 9 & 10

Reflection: *Managing Paid Staff and Volunteer/Marketing and Communications*

Assignment: CASE STUDY DUE. Submit via EC by 5:30 PM on Thursday, February 27.

Week 8: March 6 (NO CLASS MEETING)
Mid-term Exam is due. Submit via EC by 8:30 PM on Thursday, March 6.

Assignment: Review the following websites to prepare for the Learning by Giving project.

- www.memphis.edu/scgrants
- http://www.memphis.edu/mediaroom/releases/oct11/community.htm
- http://www.learningbygivingfoundation.org/
- http://www.cfgm.org

Week 9: March 13 (NO CLASS MEETING)
SPRING BREAK

Assignment:

- Review the following websites to prepare for the Learning by Giving project.
  - www.memphis.edu/scgrants
  - http://www.memphis.edu/mediaroom/releases/oct11/community.htm
  - http://www.learningbygivingfoundation.org/
  - http://www.cfgm.org

Week 10: March 20
Learning by Giving, Part I (Dr. Leigh N. Hersey, lecturer)

Discussion: Foundations, accountability and giving back
- What is philanthropy?
- What are some of the essential needs of our community?

Overview of the Learning by Giving project and the Strengthening Communities Initiative
Division into groups for grants review

Assignment:

- Read Creating High-Impact Nonprofits by Heather McLeod Grant & Leslie Crutchfield at http://www.ssireview.org/articles/entry/creating_high_impact_nonprofits
- Review the grants you are assigned. Using the score cards given to you in class, grade the different elements of the grant applications. Using the narrative worksheet as a guide, write a 1-2 page essay on why you liked or disliked each application (to hand in).

Week 11: March 27
Learning by Giving, Part II (Dr. Leigh N. Hersey, lecturer)

Discussion:

- Nonprofit panel: Community foundations, Business involvement in nonprofits, career in nonprofit funding and grants
- Understanding consensus- decision making models, methods and application to nonprofit organizations
- Application review: divide into groups and discuss applications reviews; each group should reach consensus on top two applications. Once your group has reached a consensus on the top two applications, develop a plan on how you wish to present the applications on April 3. Time slots will be listed for your group to sign up. PowerPoint or other media will be available for your use. Remember, you are presenting these organizations to the class, so put your best foot forward.

Assignment:

- Read Wood, E. (2013) *Lessons in Building a Better Community, One Voice at a Time. The Foundation Review 4*(4), p. 71-83 at http://dx.doi.org/10.4087/FOUNDATIONREVIEW-D-12-00008.1
- Prepare materials for group discussion
- Write a 1-2 page essay to turn in addressing the following questions:

1. What types of things impressed you about your applicants?
2. What questions did you still have after reading the applications?
3. How do you make difficult decisions about which programs to fund?

Week 12: April 3
Learning by Giving, Week III (Dr. Leigh N. Hersey, lecturer)

Activity:

- Each group will have 7-10 minutes to present each of their top two applications. After all presentations, students will rank the finalist.
- After submitting their rating sheets, discussion will be held to enable students to come to consensus of final winners.

Assignment:

- Write a 1-2 page essay to turn in addressing the following questions:
    - What did you learn about grant making?
    - How did it feel to give away money to projects that will help your community?
    - What skills did you build by participating in this activity?
- Read Worth, chapters 11 & 12

Week 13: April 10
Required reading: Worth, Chapters 11 & 12

Discussion: *Fundraising/Earned Income Strategies*

Assignment: Reflective papers are due via EC by 5:30 PM on Thursday, April 10.

Week 14: April 17
Required reading: Worth, Chapters 13 & 14

Discussion: *Government Support/Financial Management*

Assignment: Volunteer Experience journal entry due (500 words). Submit via EC by 5:30 PM on Thursday, April 17.

Week 15: April 24 (LAST CLASS MEETING)
Required reading: Worth, Chapters 15, 16 & 17

Discussion: *Advocacy & Lobbying/International and Global Organizations /Social Entrepreneurship and Future Trends*

FINAL EXAM- GROUP PRESENTATIONS

PADM 7602 Public Budgeting and Financial Administration (3 credits)
Department of Public and Nonprofit Administration
Fall 2016, Wednesday, 5.30-8.30 pm, Room 202 Manning

John P. Topinka, Ph. D.
Office Hours: Wednesday, 2:00 to 5:00 pm and by appointment
Office: 132 McCord
jptpinka@memphis.edu
Phone: 901-678-3365; Cell: 305-951-1583

Office Hours
Scheduled hours: Wednesday, 2 to 5 pm.

Please feel free to schedule an appointment with me during office hours or on other days or times, should you have any questions or wish to discuss course material. If you need to contact me, do not hesitate to call, text or email me; use the university email system not the system within e-courseware. E-mail is usually the best way to reach me.

Textbook
Finkler, Steven A, Smith, Daniel L., Calabrese, Thad D. and Purtell, Robert M. (2017). *Financial Management for Public, Health and Not for Profit Organizations*. Sage: Los Angeles.

Description
This course is a review and assessment of current practice and theory in public budgeting and financial administration with a focus on public, non-profit and health care organizations. We assess theories in terms of their usefulness in governmental and non-for-profit settings. We practice budgeting and financial management techniques through a series of exercises based on our readings and other materials. Finally, this course will incorporate lessons from assigned readings and technical exercises into one major financial/budget research project.

In the technical arena of budgeting, Excel is the most used software. Excel is critical for analyzing large amounts of numeric data and for presenting some of these data in simple but highly informative charts. You will be using Excel in this class. The lessons are not overly complicated; so most formulas will be simple addition, multiplication, and percentages. There will be several more complicated lessons but nothing that you cannot master. For most assignments, you will be given a template in a spreadsheet to work from. A couple of lessons will require you to create your own spreadsheets.

The basic stuff of budgeting and financial management is simple: "find" some money, determine how and where to spend it; get approval for both; implement programs; monitor revenue and spending during the year; track and report financial transactions, and conduct a year-end audit. Then do it all over again. Budgeting and financial management are continuous processes but usually with several months of peak load work. This class is structured to emulate the peak load of the budget season to some extent. (Yes, in addition to spring, summer, fall and winter, there is a budget season.)

The budget challenge for government is often political (of the electoral and policy kind); technical (forecasting challenges and assumptions about future revenue and spending); and managerial—how to coordinate all of the work and decision-making to make get the job done. For nonprofits the challenge begins with revenue: where will it come from and how much will it be? Spending decisions are a bit easier, but satisfying funders, boards of directors and clients brings other challenges related to the value you obtain from the spending you do. Put all of this together with the Constitution, laws, regulations, ordinances, contracts, accounting rules, and performance requirements makes budgeting and financial management key support functions of government and nonprofit administration. At the very least, you need to know how budgeting and financial management work in order to ensure you use resources wisely (and legally) in getting the job done (fulfilling your mission, goals and objectives); the more you know, the better manager you will be, and a few of you may like it so much that you will pursue a career in budgeting and financial management.

Program Competencies

As a program accredited by the National Association of Schools of Public Affairs and Administration (NASPAA), we use "competencies" in our courses. For PADM 7602, our objective is to meet the following competencies:

- Clear and effective communication
- Use of technology to organize budget data and assist in common budgeting techniques
- Apply techniques for forecasting
- Understand the nuances of public and nonprofit budgets and be able to create key elements of a budget
- Employ analytical tools for collecting, analyzing, presenting and interpreting budget data
- Navigate the political context of budgeting practice
- Attention to detail necessary to review and produce budgets
- Familiarity with the role of fiscal administration in risk management and strategic planning

Course Objectives

This course focuses on understanding budgeting techniques from a practical perspective, incorporating theory where appropriate. More specifically, the objectives of this course are to give you both an understanding of and practice in the following techniques:

- Understanding chart of accounts and fund structure
- Analyzing budget changes and other items
- Understanding various types of costs
- Understanding cash flow
- Preparing an operating budget
- Forecasting detailed salary and fringe benefits
- Estimating revenue (forecasting revenue, trend analysis)
- Implementing the budget (variance analysis)
- Calculating bond costs and other capital related costs
- Understand how to use financial reports for fiscal analysis
- Applying lessons learned from the text and other assignments to complete a major budget and financial analysis report

Grades

There are a number of assessment items in this course. Ten Excel lessons, a research project and class discussion make up a total of 100 points. How well you do on each assignment will determine your point total; your point total will fall somewhere on the following grade scale.

High to Low	Letter Grade	High to Low	Letter Grade
100-94	A	78-76	C+
93-90	A-	75-73	C
89-86	B+	72-70	C-
85-83	B	69-65	D
82-80	B-	Below 64	F

Budget Lessons (60 points)

Budget lessons are assignments made up of key skills in "doing" budget work. You will be given detailed background information and instructions on how to do these lessons. Video instruction will also be provided for most of the lessons. Each lesson is worth 6 points. Your completed lesson should be uploaded into drop box on the due date. *Please make sure to include your name on the spreadsheet that you post, and save your file with your last name and the lesson number (for example, smith_lesson_1; smith_lesson_2).*

Assessment Item	
Budget Lessons	**Points**
1. Common sizing tools	6
2. Revenue forecasting	6
3. Detailed payroll forecasting	6
4. Understanding costs	6
5. Cash flow budgeting	6
6. Creating a budget	6
7. Fiscal Health Analysis	6
8. Variance analysis	6
9. Bond principle and interest calculations	6
10. Indexing	6
Subtotal Points for Lessons	60
Research Project	25
Participation	15
Total	100

Budget Lessons

There are ten budget lessons worth 6 points for a total of 60 out of 100 for the class. Each will require working in Excel. Each presents an often used tool or topic in budget and financial analysis. Most of the lessons will come with detailed instructions (Power Points), an Excel file with a template and often with a video on how the assignment is to be done. Assignments will be discussed in class prior to your working on them. You will post all completed assignments in the e-Courseware drop box by listed due dates.

Research Project (25 points) Comparing the Cost of Government between Nashville Davidson County and Memphis-Shelby County
Nashville and Memphis are the two largest cities in Tennessee, each with unique qualities. From a government perspective, these two areas are structured differently. The Nashville area has one (for the most part) local government—the Nashville-Davidson County Metro government. All local government public services, including public education are provided by this single government entity. In Memphis, there is one large city, several smaller cities, one large school system and several smaller school systems. The question to be addressed and answered in the class research project is: what is the total cost of local government in these two Tennessee. Metropolitan areas More details about this project will be presented throughout the semester.

The lessons and research study are evaluated based on the following rubrics.

Assigned Points, Letter Grades and Rubrics			
Points		Grade	Rubrics
6	25	A	Numbers are correct; explanation is right on target; presentation is easily readable; presentation looks *professional*. This means your work would reflect the skills of a highly competent budget analyst.
5.2	22.25	B	Numbers are mostly correct; explanation is good but just a little off; presentation is a little difficult to understand, and presentation is just presentable. This means your work would reflect the skills of a competent budget analyst still learning the job.
4.6	19.75	C	Less than half the numbers are correct; explanation barely meets the needs of reviewers; presentation is just barely understandable; presentation is barely professional. This means your work reflects the skills of an entry-level budget analyst just starting to work full-time in the budget arena.
4.0	17.25	D	Few numbers are correct; explanation does not meet the needs of reviewers; presentation is not understandable or professional. This means your work would reflect the skills of someone who knows little about analytical work in the budget and finance area.
<3.5	<17.25	F	Failure to turn in assignment; all numbers are wrong and appearance is not even close to semi-professional. Oops, this means you are in the wrong profession. Budget and financial management work is not for everyone, although anyone in the public and nonprofit sectors has to have some knowledge of this area to survive. Practice, practice, practice.

Participation (15 points)
Participation points are related to your attendance in class.

Course Policies

- All assignments must be submitted in the appropriate Dropbox by the assigned due date. (The course will be fully loaded in e-courseware.)
- Late submissions will ONLY be accepted with prior approval from the instructor.
- My Memphis email is my preferred method of correspondence. I will respond to this email no later than 24 hours after I receive it, but often within an hour. I will also check my voicemail and office messages on a semi-regular basis (maybe twice a week). Of course, weekend responses might be a little slower than weekday responses and I do occasionally travel. So sometimes I will not be able to respond quickly.

- Any issues that impact your effective participation in the course, including technical difficulties, must be brought to the attention of the instructor immediately.
- Plagiarism Policy: Anyone caught plagiarizing will be disciplined according the Student Handbook regulations. More information on Academic dishonesty can be found at: http://saweb.memphis.edu/judicialaffairs/
- Writing Standards: The division of Public and Nonprofit Administration has established guidelines for written assignments (research papers, issue papers, literature review, and bibliographic citations, etc.). The American Psychological Association (APA) style is the proper format for all DPNA courses.
- If you have general questions about the course or specific assignments, I ask that you post those on the Open Discussion Forum. Other students may have similar questions and this will help me give consistent information to everyone in the class.
- MPA Student Handbook. You are responsible for following the policies in the MPA Student Handbook. You may find this document at: http://memphis.edu/padm/pdfs/Student Handbook.2008.pdf
- Academic Dishonesty: Policies regarding incomplete grades, plagiarism and grievance procedures are available in the current University of Memphis Code of Student Rights and Responsibilities (found at www.people.memphis.edu/~jaffairs/cse/CSRR.pdf). As outlined in the UM Code of Student Rights and Responsibilities, "cheating" and "plagiarism" will result in severe disciplinary action on the part of the instructor. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly and "F" for the course, depending on the severity of the offense.

Students with Disabilities
The University encourages the full participation of students with disabilities. Students with disabilities are urged to contact the University Office of Student Disability Services and to meet individually with the instructor to discuss special accommodations that may be needed for successful participation in this course.

Policy on Sexual Misconduct and Domestic Violence
The University has a policy prohibiting sexual misconduct. The University has made every effort to formulate a comprehensive policy that provides students with information about the applicable definitions and the process. The policy contains definitions of sexual assault, dating violence, domestic violence and stalking as well as information regarding consent and reporting. The full policy can be read here: http://umwa.memphis.edu/umpolicies/UM1786.htm

Reporting Sexual Misconduct
There are several options available to a student who is a victim of sexual misconduct and who decides to report. In addition to bringing charges in criminal or civil court the complainant may also seek recourse through the university disciplinary process if the perpetrator is a student.

A complaint can be filed directly with the following University offices:

Title IX Coordinator	Associate Dean, Office of Student Conduct
Office for Institutional Equity	Office of Student Conduct
156 Administration Building	359 University Center

(901) 678-2713
http://www.memphis.edu/oie/

(901) 678-2298 studentconduct@memphis.edu
http://www.memphis.edu/studentconduct/

University of Memphis Police Services
109 Zach Curlin St.
(901) 678-4357 police@memphis.edu
http://www.memphis.edu/police/index.php

Course Schedule
The following is a schedule for the class with readings and assignments. The schedule is subject to change at the discretion of the instructor.

PADM 7602 Public Budgeting and Finance Administration, Fall 2016, Room 202 Manning		
Class Weeks Ending Date	Financial Management for Public, Health and Not-for-Profit Organizations	Technical Assignments (Excel) and other deliverables/due dates
Week 1: Overview August 24 - 30	Chapter 1 Introduction	
Week 2: Introduction and Planning for Success Aug 31 – Sep 6	Chapter 2 Planning	1 Common size tools: percent, ratios, and per capita measures Due Sep 6
Week 3: Sep 7 - 13	Chapter 9 Taking Stock: the Balance Sheet	2 Revenue forecasting Due Sep 13
Week 4: Sep 14 - 20	Chapter 3 Additional Budget Concepts	3 Detailed payroll calculation Due Sep 20
Week 5: Sep 21 - 27	Chapter 4 Understanding Costs	4 Understanding costs Due Sep 27
Week 6: Sep 28 – Oct 4	Chapter 10 Reporting Results: the Activity and Cash Flow Statements	5 Cash flow budgeting Due Oct 4
Week 7 Fall break Oct 5 - 11	Chapter 13: Reporting Financial Results	6 Creating a budget Due Oct 11
Week 8: Oct 12 - 18	*No class meeting; readings only* Chapter 11 Unique Aspects of Accounting for Not-for-Profits Chapter 12 Unique Aspects of State and Local Accounting	
Week 9: Oct 19 - 25	Chapter 14 Financial Statement Analysis	
Week 10: Oct 26 – Nov 1	Chapter 15 Financial Condition Analysis	7 Fiscal Health Due Nov 1
Week 11: Nov 2 – Nov 8	Chapter 5 Capital Budgeting	8 Variance analysis Due Nov 8
Week 12: Nov 9 - 15	Chapter 6 Long-Term Financing	9 Bond interest calculation Due Nov 15
Week 13: Nov 16 - 22	Chapter 7 Managing Short-Term Resources and Obligations	10 Indexing Due Nov 22
Week 14: Nov 30	Chapter 8 Accountability and Control	
Dec 1	Review research Project	Final due date for research project Dec 4

University of Memphis
Division of Public and Nonprofit Administration
RESEARCH METHODS

Course Number: PADM 7601, Section 001
Semester: Fall – 2015 Tuesday 5:30 – 8:30

Instructor: Sharon Wrobel, Ph.D.
Room: McCord Hall
Phone: (901) 678-4720

Office Hours: Tue. - Thurs. 2:30 – 4:30
or by appointment
E-mail: swrobel@memphis.edu

Course Overview:
The purpose of this class is to introduce public and nonprofit administration students to the essentials of research in the field. Through the course of the semester, we will explore the framing of research questions and hypotheses, appropriate research design, measurement, and data collection. We will then learn various tools and techniques for presenting data, as well descriptive and inferential statistical analyses. Through these activities, students will gain both theoretical instruction and hands-on experience with the critical analysis of scholarly research and the production of original research in the field of Public and Nonprofit Administration.

Method of Instruction:
This class will include in-class lecture as well as applied computer work using MS Excel. Students will also be required to complete research and data analysis assignments at home. This means that you will need reliable access to a computer with Excel 2010.

Catalog Description:
PADM 7601 - Research Methods (3)
Issues and techniques in data collection for design and implementation of independent research projects; logic of conducting research in public administration, measurement, and sampling; introduction to program evaluation and specific quantitative decision-making techniques.

Textbooks:

Salkind, N.J. (2012). *Statistics for People Who (Think They) Hate Statistics: The Excel Edition.*Thousand Oaks, CA: SAGE

Nishishiba, M., Jones, M., Kraner, M., (2014). *Research Methods and Statistics for Public and Nonprofit Administrators: A Practical Guide.* Thousand Oaks, CA: SAGE

Additional Resources:

http://www.memphis.edu/rsp/compliance/citi.php

Supplemental materials as assigned

Learning Objectives

1. **To analyze, synthesize, think critically, solve problems and make decisions**

   Associated Competencies
   - Identify, manage, analyze, and interpret secondary policy data
   - Demonstrate an understanding of complex policy problems and weigh policy alternatives

   Assessment Methods: Data assignments, exams, article analysis

2. **To articulate and apply a public service perspective**

   Associated Competencies
   - Demonstrate an ability to apply public administration theories and practices to specific policy issues and populations
   - Recognize and apply ethical standards for policy research and formulation.

   Assessment Methods: CITI Training, exams, article analysis

3. **To communicate and interact productively with a diverse and changing workforce and citizenry**

   Associated Competencies
   - Present information that is valuable to both policy experts and diverse community stakeholders
   - Recommend policy alternatives that recognize the needs of under-represented groups
   - Demonstrate sensitivity to differing opinions

   Assessment Methods:
   Data assignments, exams, article analysis

Assignments:
1) In-Class Activities: Most of these exercises will be graded, not on the "correctness" of the answer, but on the analytical thinking and problem-solving skills required of a competent researcher. These in-class activities may involve the use of a computer. There will be approximately 5 of these in-class exercises counting for approximately **10%** of the final grade.

2) Research Article Analyses: Students will analyze one research article of their choice that is related to their particular discipline or research interests. Students will complete a written evaluation report that will follow a set of guidelines to be distributed later in the semester by the instructor. The analysis will be worth **10%** of the final grade.

3) Homework: There will be 5 homework assignments made during the course of the semester. These assignments will require you to apply your understanding of the concepts presented in class. The homework will count for approximately **20%** of the final grade.

4) Exams: There will be two exams, a midterm and a final, that will require you to apply the knowledge you've learned through your involvement in the course. Together exams will be worth **60%** of the final grade.

Grading System
The grades that may be awarded are as follows: A+, A, A-, B+, B, B-, C+, C, C-, D+, D, D- or F." Grades used to postpone or suspend course completion include "I" (incomplete), "IP" (in progress), and "W" (withdrawn).

Plus/Minus Grading Scale (Effective Fall 2000) Grade	Quality Points	Grade	Quality Points
A+ =97-100	4.00	C+ = 77-79	2.33
A = 94-96	4.00	C = 74-76	2.00
A- = 90-93	3.84	C- = 70-73	1.67
B+ = 87-89	3.33	D+ = 67-69*	1.33
B = 84-86	3.00	D = 64-66	1.00
B- = 80-83	2.67	D- = 60-63	.67
F		0.00	

General Policies:

- MPA Student Handbook: You are responsible for following the policies in the MPA Student Handbook. You may find this document at: http://memphis.edu/padm/pdfs/Student_Handbook.2008.pdf
- **Skills:** Students are expected to possess basic computer skills. If you are not comfortable in a technology environment, you must meet with me ASAP.
- **Assignment Submission:** Assignments MUST be submitted on-line, before class, on the assigned due date.
- **Late Work**: I expect assignments to be handed in on time. When this is not possible, you must make arrangements with me **prior to the due date**. Make Up work will only be given in the case of a legitimate, documented emergency.
- **Class Attendance Policy:** "Students are expected to attend all classes. Faculty members will record attendance in each class. Early exits and lateness to class also have negative consequences regarding class participation and learning. Thus, three "tardies" or early exits equal one absence. On the third absence from class, the student's grade will be lowered by one letter grade level, e.g., from an "A" to a "B." According to Division policy, any student missing four or more classes must be given a grade of "F" in the course. Students are encouraged to withdraw from the course if attendance becomes an issue."
- **Plagiarism Policy** Anyone caught plagiarizing will be disciplined according the Student Handbook regulations. More information on Academic dishonesty can be found at: http://saweb.memphis.edu/judicialaffairs/
- **Students with Disabilities:** The University of Memphis is committed to providing equal opportunity and challenge to all academically qualified students with disabilities and is compliant with Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. To register for disability services or to obtain more information, students should contact Student Disability Services, 110 Wilder Tower or call 678-2880 (voice or TDD)
- **Writing Standards:** The Division of Public and Nonprofit Administration has established guidelines for written assignments. (Research papers, issue papers, literature review, and bibliographic citations, etc.) The American Psychological Association (APA) style is the proper format for all DPNA courses.

Course Schedule

Session	Topic	Chapter
Week 1 Aug. 25	Introduction to Syllabus http://www.memphis.edu/irb/education.php	
Week 2 Sep. 1	The Research Process	NJK, 1-3
Week 3 **Sep. 8**	**Research Design** **ASSIGNMENT 1 (CITI) DUE**	**NJK, 4**
Week 4 Sep. 15	Sampling and Data Collection	NJK, 5-6
Week 5 Sep. 22	Introduction to Excel, Measures of Central Tendency & Measures of Variability	Salkind, 1-3 NJK, 7
Week 6 Sep. 29	Using Tables, Charts, and Graphs	Salkind, 4
Week 7 **Oct. 6**	**Reliability and Validity** **ASSIGNMENT 2 DUE**	**Salkind, 6**
Week 8 Oct. 13	**FALL BREAK – NO CLASSES**	
Week 9 **Oct. 20**	**MIDTERM EXAM**	
Week 10 Oct. 27	Hypothesis Testing Significance, Type I & Type II Error	NJK, 8 Salkind, 7-10
Week 11 Nov. 3	Independent Samples t-Test Dependent Samples t-Test	NJK, 9 Salkind 11-12
Week 12 **Nov. 10**	**Testing Correlation Coefficients** **ASSIGNMENT 3 DUE**	**NJK, 11** **Salkind 5, 15**
Week 13 Nov. 17	Regression	NJK, 13 Salkind, 16
Week 14 **Nov. 24**	**Nonparametic Tests** **ASSIGNMENT 4 DUE**	**NJK, 12** **Salkind, 17**
Week 15 **Dec. 1**	**Wrap-Up / Review** **ASSIGNMENT 5 DUE**	
Week 16 **Dec. 8**	**FINAL EXAM**	

PADM 7603 Public Projects and Contracts

Course Information

Instructor: Mr. Jason Sonnenfelt
Office: 136 McCord Hall
Twitter: Sonnenfelt
AIM: jason.sonnenfelt@memphis.edu
Office Hours: Monday through Wednesday 2 -5, or by appointment.

Phone: 901-678-3359
Email: jason.sonnenfelt@memphis.edu
Skype: jason.sonnenfelt

Course Introduction

The trend to transform governance has been championed those by supporters of the New Public Management (NPM) seeking to use private sector practices in order to enhance efficiency and accountability in the public sector. Practices associated with these reforms have generally focused on two particular practices. One is transferring work traditionally done by government employees to third parties through contracting out, load shedding, sale of state assets, vouchers, franchise agreements, deregulation, and other arrangements for transferring production of governmental goods and services into private hands. The second is to organize work as projects built upon standardized practices in order to improve the efficiency, effectiveness, and ultimate success of public projects. Proponents argue that privatization and project management are the best approaches to counter the inefficiencies and bureaucratic pathologies associated with public sector work.

The purpose of this course is to give the student a theoretical and practical grounding in dealing with projects and contracts. First, the course examines the theoretical background of these concepts as tools of policymaking. The second half of the course will consist of material related to the management projects and third party vendors. Readings, class discussions, case studies, and guest lectures will illustrate best practices. The student should leave the class prepared for further study on the subject of alternative mechanisms for public service delivery and an appreciation for the difficulties involved.

Course Objectives

- Develop a conception of the theoretical and practical issues involved in contract and project management.
- Develop knowledge of the important components or dimensions of New Public Management, NPR, third party governance, third party governance economics, interorganizational networks, and the legal environment of contracting out.
- Learn the state of knowledge and application of contracting out.
- Learn many important concepts and ideas relevant to contracting out, including managing and organizing service contracts, planning and awarding contracts, preparing and monitoring contracts, and many others.
- Engage in discussions and exercises to develop a sense of how to apply the topics and ideas covered in the course.

Course Competencies

During this course, students will:

1) Become familiar with a variety of theories relating to the use of contract and project management while connecting them to contemporary pressures facing urban and local government.

Associated competencies:

- Familiarity with the origin and theories of project management.
- Exploration of the rise of contracts as a governance tool.
- Use of multiple ethical frameworks to examine various aspects of project and contract management.

Assessment methods:

- Classroom Discussions
- Case Studies
- Examinations

2) Examine and critique the characteristics of public projects and contracts in an effort to develop a means of evaluating their practicality in any given situation.

Associated competencies:

- Familiarity with the types of contract vehicles and their impact on project scope.
- Demonstrated ability to critically analyze and estimate the costs of a project.
- Understanding the managerial and political challenges of implanting a project structure.
- Awareness of the relative advantages and disadvantages of contracts in a public context.

Assessment methods:

- Classroom Discussions
- in-Class Scope Plan
- Examinations
- Final Research Paper

3) Master practical components of typical project and an associated contract.

Associated competencies:

- Reflection on the cost, efficiency, and effectiveness of urban service delivery.
- Identification of policy specific methods or best practices
- Synthesis of basic planning and implementation solutions within a team environment.

Assessment methods:

- Classroom Discussions
- In-Class Scope Plan Activity
- Examinations
- Project Tools/Risk Assessment

Organization

This class meets once a week (excepting holidays and school closures), with each meeting starting promptly at 5:30pm and wrapping up at 8:30pm. There will be a 10-minute break during the meeting. The time will vary depending on our discussion, but the goal is to have it at about 7:00pm. Promptness at the beginning of class is expected. **Being professional means being on time.** A failure to regularly do so will not only be reflected in your participation grade, but I reserve the right of asking you to leave if your arrival is disruptive. Please be sure to contact me if you think you will have a problem with this expectation.

A week's readings absolutely must be done by the day listed. Given that you will also be asked to contribute question via post the day prior to class, you should plan accordingly. I am so strict about this because our discussions, not my lectures, are what drives this class and makes it worthwhile. They serve as the starting point for each class and frame our ongoing discussion for the entire semester. What you learn from the readings will allow you to share unique and creative answers to the questions your classmates and I raise in class.

This is a very practical class. In order to succeed, you will need to prepare by reading. Reading will need to be done prior to the week's class discussing the topic. You need to know it **before** we talk about it. Then our assignments and activities will require you to apply what you have read. I will facilitate and evaluate that application. Not to beat a dead horse, but your success depends on your active involvement and proper preparation, not to mention time and effort. Although there are not specific questions for each chapter, I will present issues of relevance in the class discussions. Please feel free to add additional questions or include research you find pertinent.

Texts

Primary Textbooks:

Managing Public Sector Projects: A Strategic Framework for Success

in an Era of Downsized Government

David S. Kassel

CRC Press

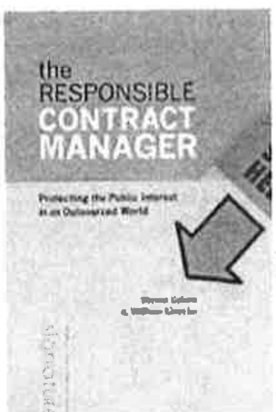
Amazon

Public Sector Project Management: Meeting the Challenges and Achieving Results

David Wirick

Wiley

Amazon



The Responsible Contract Manager: Protecting the Public Interest in an Outsourced World

Steven Cohen and William Eimicke

Georgetown Press

Amazon

Additional Readings:

Additional selected readings that add something to the class discourse will also be listed. I have already posted several in the schedule, but I may incorporate more based on current events or the interests of the class. I have provided the listings for these readings, all of which are available from our library and its electronic holdings. The responsibility is on you to locate and make the most of them.

It is critical that you keep up with the readings. They drive the discussions we will have in class, the assignments you will be given, and ultimately the grade you receive.

Assignments and Grading

Grading

This course is writing intensive. Therefore, you will be assessed not only on your understanding and application of the content, but also your effectiveness to communicate ideas as well. I will provide feedback on every major written assignment to explain the results of my assessment and areas of improvement. The highest achievement is generally that shows a mastery of the topic. I will provide specific criteria for each assignment.

Your performance in the course will be based on the following assignments. There are no planned extra credit assignments points. The distribution of your grade among the assignment follows.

Participation	10%
Case Study	15%
Project Management Tool Review	15%
OTEs (2)	40%
Research Paper and Presentation	20%

Scale

Your final grade will be based on the standard scale used by the University of Memphis.

A 100-93, A- 92-90

B+ 89-87, B 86-83, B- 82-80

C+ 79-77, C 76-73, C- 72-70

D+ 69-67, D 66-63

F 62 and less

Assignments

Participation:

To raise and answer questions, you have to be there. Your regular attendance and participation in class are expected. They will contribute to your final grade.

I will record attendance in each class. After two absences, additional absences will cause a five-point deduction from the student's final grade (equivalent to a half letter grade) for each absence. You should consider withdrawing from the course if you anticipate that this attendance policy will affect you.

I will try to be understanding in the case of unforeseen circumstances (e.g. Acts of God, alien abductions, etc.). However, that only applies if you give adequate prior notice and have a legitimate reason, which will be subject to verification. That means if it was the aliens, you will need to take me to their leader.

Of course, you should also remember participation involves more than just showing up. You should already be comfortable contributing in a classroom setting. To that end, you will be evaluated on active participation and the quality of your contributions to the discourse. This not only includes talking in class, but participation in any class activities I may employ. These usually involve real world cases that tie into the theories we are covering.

Case Study:

You will individually read, prepare and write a case study I provide the class. The goal is for you to recognize and analyze selected issues in real world examples. Each case study is to be typed, double-spaced, in a legible 12-point font, and at least 4 pages in length. As part of class, you will be introduced to case study methodology if you are not yet familiar with it. In addition, I will discuss the specific case study assignment prior to handing it out. However, a basic case study answers the following questions:

1. What is/are the central issue(s)?

2. What were the major factors in the development of the policy/management problem?

3. What were the alternatives for resolving the problem?

4. What were the authors' recommended solution(s)?

5. What are the lessons for public administration?

Project Tool Assessment:

Relatively new as they are the practices of project and contracts management has changed noticeably based on the availability of new technological tools. Throughout the course, we will generally discuss some tools. This assignment asks you to go further by searching, learning, and reviewing one of these many tools. You will be given criteria to evaluate the applications based on project and contract management theory as well as practical considerations.

Opportunities to Excel (OTE):

They are not just tests! They are chances for you to find out just how much you know (i.e. "excel"). Both of these assessments will be essay-based. They will be graded primarily on content, but grammar and organization matter as well. The questions that we address in readings will serve as the point of departure. However, I will also use information from our in-class discussions as well. I also expect you to independently include additional reading and information when you think it is relevant.

Research Report and Presentation

There are a number of worthy investigations within the areas of project and contract management that time simply does not allow us to explore fully as a class. Therefore, I will work with you individually to define a worthy research project. As a result, you will be expected to produce a paper that investigates several issues within a local government context. You will present the findings of this paper in a 15-20 minute presentation given to your classmates, instructor, and possibly guests. The nature and expectations of this assignment will be covered in an earlier class meeting to better prepare you.

Expectations

For assignments...

Written assignments will be graded primarily on the relevance of your content and the logic of any argument you may make. However, good writing makes it much easier for me to assess the first two things. Grammar, spelling, sentence structure, and organization can help or hurt you. If you are a worried about your writing, I am happy discuss it with you. The university also provides assistance through the Educational Support Program (http://saweb.memphis.edu/cclt/html/esp.HTM).

Written assignments must be typed using a legible 12-point font and 1.5 line spacing. References and citations should be presented in the American Psychological Association (APA) style, which is the preferred format for the Division of Public and Nonprofit Administration. You can find some information about this format at http://www.apastyle.org/ and http://owl.english.purdue.edu/owl/resource/560/01/.

All assignments must be electronically submitted using the Dropbox Tool. Files should be in either Microsoft Word (.doc, .docx) or Rich-Text Format (.rtf) files. Graded assignments will also be returned to you in an electronic format with mark-up and comments. In the case of a snafu or other rare occurrence, I will accept an email attachment, but that is not the acceptable norm and you must have my permission before doing so.

NO LATE PAPERS WILL BE ACCEPTED. Assignments are due prior to the beginning of class, so that we can incorporate them into our discussion immediately. Anyone failing to submit an assignment on time will receive a zero unless they have received an extension from me.

Regarding extensions, I give them out rarely and only with documented reasons. If you think you will have a problem meeting a deadline, you must speak with me well in advance. "In advance" does not mean just prior to class. I will consider extension request up until 48 hours before class.

I realize technology can sometimes be troublesome. However, the procedures for this course are well established and proven to work. It is the 21st century and I expect you know how to save, back-up, or protect your data. Therefore, "my computer crashed" is no better than "my dog ate my homework."

In addition, in advance, I am perfectly happy to provide feedback on drafts of written assignments before they are due. Ideally, the sooner the better. The more time I have to look at it, the more comments I can provide.

Opportunities to Excel will be completed in class or within an assigned timeframe away from class. There will be no make-ups if you miss one.

In the classroom...

The following are the standards we all should strive for so that we learn as much as we possibly can and enjoy ourselves while doing it.

All of us will come to class prepared to discuss the day's topic. This means you will have completed the reading. In addition, I will have an agenda for our discussion. I will facilitate this discussion to keep class engaging and to meet our stated educational objectives.

To have a meaningful discussion you have to be in class. I will track attendance for each class. If you miss more than three classes, you will receive a five-point deduction from you final grade for each additional absence. That is roughly half a letter grade, so keep that in mind if you think you might have a problem with regular attendance.

I will try to be understanding in the case of unforeseen circumstances (e.g. Acts of God, alien abductions, etc.). However, that only applies if you give adequate prior notice and have a legitimate reason, which will be subject to verification. That means if it was the aliens, you will need to take me to their leader.

The classroom is a place of open and thoughtful discussion. We will listen to our classmates and respond to each other with respect at all times. Debates over content are welcome. Personal arguments are not. In a further show of respect to me and other students, all cell phones, iPods, mp3 players, and portable entertainment devices should be turned off at the door. Laptops can be used for note taking, but you do not want to be the person I find checking email or playing World of Warcraft.

As already noted, you will have your assignments submitted prior to the given class meeting. I will make my best effort to have them returned to you within one week, and with constructive feedback.

If you are having problems with the course, please do not hesitate to speak with me. I am available during posted office hours, but can also meet with you by appointment as necessary. I am also available via email and instant messenger.

University Policies

Academic Dishonesty

Policies regarding incomplete grades, plagiarism and grievance procedures are available in the current *University of Memphis Code of Student Rights and Responsibilities* (found at www.people.memphis.edu/~jaffairs/csc/CSRR.pdf). As outlined in the *UM Code of Student Rights and*

Responsibilities, "cheating" and "plagiarism" will result in severe disciplinary action on the part of the instructor. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

Your written work may be submitted to Turnitin.com, or a similar electronic detection method, for an evaluation of the originality of your ideas and proper use and attribution of sources. As part of this process, you will be required to submit electronic copies of your written work as instructed. By taking this course, you agree that all assignments may undergo this review process and that the assignment may be included as a source document in Turnitin.com's restricted access database solely for detecting plagiarism in such documents.

Inclement Weather

In the event that inclement weather requires the cancellation of classes at the University of Memphis, local radio and television media will be immediately notified. Additionally, the U of M has established an Inclement Weather Hotline at 678-0888. You may also sign up for Tiger Text Alerts via your cell phone athttps://bf.memphis.edu/tigertext/instructions.php

Students with Disabilities

For an online course, you will want to make sure your browser, computer, and peripherals meet Section508 Standards.

The University encourages the full participation of students with disabilities. Students with disabilities are urged to contact the University Office of Student Disability Services and to meet individually with the instructor to discuss special accommodations that may be needed for successful participation in this course.

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Schedule

Date	In Class	To Read	Assignments
Week 1 - Introductions			
8/29/11	**Icebreaker** **Class Overview**		
Week 2 – The Big Picture: Changing Demands of Public Service Provision			
9/12/11		Chapter 1, Public-Sector Project Management, David Wirick Kettl, Donald F. 2000. "The Transformation of Governance: Globalization, Devolution, and the Role of Government." Public Administration Review. 60(6): 488-497 The New Public Management: How to Transform a Theme into a Legacy Laurence E. Lynn, Jr. Public Administration Review Vol. 58, No. 3 (May - Jun., 1998), pp. 231-237	
Week 3 – Contract and Project Management Theory			
9/19/11	**The Case Study Method**	Chap. 2 Public-Sector Project Management, Wirick Chapters 1 and 2, Managing Public Sector Projects, David S. Kassel Chapter 1, The Responsible Contract Manager, Steven Cohen and William Eimicke On Uncertainty, Ambiguity, and Complexity in Project Management Michael T. Pich, Christoph H. Loch and Arnoud de Meyer Management Science Vol. 48, No. 8 (Aug., 2002), pp. 1008-1023	
Week 4 - Contract and Project Management Ethics			
9/26/11		Chapter 4, Managing Public Sector Projects, David S. Kassel Chapters 2-4, The	**Due: Case Study**

		Responsible Contract Manager, Steven Cohen and William Eimicke Brown, Trevor L., Matthew Potoski, and David M. Van Slyke. 2006. "Managing Public Service Contracts: Aligning Values, Institutions, and Markets." Public Administration Review. 66(3): 323-331.	
Week 5 – Contract and Project Management Implementation			
10/3/11	**Research Writing**	Chapters 3 & 4, Public-Sector Project Management, David Wirick Chapter 3, Managing Public Sector Projects, David S. Kassel Chapter 5, The Responsible Contract Manager, Steven Cohen and William Eimicke	
Week 6 - OTE			
10/10/11	**Individual Research Meetings**		**Due: OTE**
Week 7 – Scope and Comparative Advantage			
10/24/11		Chapter 5, Public-Sector Project Management, David Wirick	
Week 8 - Scheduling Resources			
10/31/11		Chapter 6, Public-Sector Project Management, David Wirick Chapter 5, Managing Public Sector Projects, David S. Kassel Chapter 9, Managing Public Sector Projects, David S. Kassel	
Week 9 - Selecting Personnel			
11/7/11		Chapter 9, Public-Sector Project Management, David Wirick Chapters 6 & 7, Managing Public Sector Projects, David S. Kassel Chapter 6, The Responsible Contract Manager, Steven	

		Cohen and William Eimicke	
Week 10 – Managing Costs			
11/14/11	**Research Updates**	Chapter 7, Public-Sector Project Management, David Wirick Chapter 5, Managing Public Sector Projects, David S. Kassel	
Week 11 – Managing People			
11/21/11		Chapters 10-12, Public-Sector Project Management, David Wirick Chapter 7, The Responsible Contract Manager, Steven Cohen and William Eimicke	**Due: Risk Assessment**
Week 12 – Writing Contracts			
11/28/11		Chapter 8, Managing Public Sector Projects, David S. Kassel Chapter 7, The Responsible Contract Manager, Steven Cohen and William Eimicke	
Week 13 - Presentations			
12/5/11		Chapter 13, Public-Sector Project Management, David Wirick Chapter 12, The Responsible Contract Manager, Steven Cohen and William Eimicke	**Due: Research Report**
Week 14 - Final OTE			
12/12/11			**Due: OTE**

PADM 7605
Human Resources Administration (3 credits)
University of Memphis
Department of Public and Nonprofit Management
Fall 2016, On-Line
Department Website: http://www.memphis.edu/padm

John P. Topinka, Ph. D.
Office: 132 McCord
jptpinka@memphis.edu
Phone: 901-678-3365
Office Hours: Wednesdays 2 to 4:30 pm

Course Description

Public and nonprofit human resource management is the administration of and policymaking for people and positions in those sectors. These are critical to the successful implementation of government and nonprofit programs. The objective of this course is to provide the foundation necessary for performing human resource management tasks. Student participation in exercises and case studies will aid the development of professional skills necessary in public human resource management. Students should obtain an understanding of the ethical, legal, political, and practical issues facing public human resource managers. This course is not just for those wanting to be human resource specialists. The fact is anyone with supervisory responsibilities up to the chief executive officer in an organization is a human resources manager. It's part of management life. In fact, the higher up you reach in management, the more often you will spend your work hours dealing with personnel issues.

Catalog Description

PADM 7605: Policies, methods and techniques used in public and nonprofit organizations; special attention is given to problems reflecting contemporary demands upon human resource systems, capacity to diagnosis problems, select the most effective means of addressing them, and plan appropriate courses of action developed through case studies.

Program Competencies

- Lead and manage in public governance
- Participate in and contribute to the policy process
- Analyze, synthesize, think critically, solve problems and make decisions
- Articulate and apply a public service perspective
- Communicate and interact productively with a diverse and changing workforce and citizenry.

Course Objectives

At the end of this course, students should:

- Be able to demonstrate a substantive knowledge of human resource principles, the civil service system, and legal and ethical standards for human resource management

- Use decision making skills and techniques to determine and address workforce needs for various human resource tasks such as recruitment and training and development
- Identify better practices to perform managerial tasks such as interviewing, writing job descriptions, conducting performance evaluations, and implementing disciplinary procedures
- Demonstrate ability to report on managerial decisions
- Demonstrate and understanding of diversity issues related to public service organizations and society

Prerequisites and Co-requisites
None; however, it is recommended, but not required, that MPA students complete Contemporary Perspectives before enrolling in this course.

Textbook and Supplementary Materials
Pynes, J. E. (2013). Human Resources Management for Public and Nonprofit Organizations. (4th Ed.) San Francisco, CA: Jossey-Bass.

Additional materials (case studies and other items) will be provided on eCourseware.

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Hardware and software minimum requirements for course participation can be found at http://www.memphis.edu/ecampus/tecjhnical.php.

Assessment and Grading
Grades are based on points earned for each assessment item, as shown below. The total number of possible points is 100. There are no tests in this course.

Assessment Item	Points
3 Case analyses (10 points each)	30
Job evaluation	10
Recruitment and retention plan	10
Research paper	25
Participation	25
Total Points	**100**

Case Analysis (3 at 10 points each for a total of 30 points)
The cases used in this course are based on real events. Of course, names and other identifying elements have been changed to preserve some anonymity for the real people and places involved. We will first discuss the cases on-line over a two-week period. Each case comes in several parts (usually a, b and c or d). Part a lays out the challenge. We will use this part to begin our on-line discussion. We may use part b for on-line discussion as

well. Usually, after we discuss the first two parts of the case, you will have the writing assignment. I will give you specific directions on what to write about, format and number of pages; however, in general, you should think about these cases from a management perspective. This of course includes the HR perspective but in large part that should be part of a broader management context. Once all writing assignments are in, I will share the case conclusions with you. Then, you can see how you did in comparison to the real people. Keep in mind that the real results are only one path to a positive solution. Your recommendations may in fact be better than what actually happened. This is another way of saying, there is no wrong answer to case analyses. Your answers will be evaluated based on your logic, analysis, persuasiveness and writing performance and not necessarily on your ability to match the real outcome of the case.

Job Evaluation (10 points)
Using the interview protocol provided, conduct a job evaluation of a current position (not your own) in a public sector or nonprofit agency. Place the position in the context of the organizational chart and include an organizational job description of the chosen position and any relevant information obtained from O*.net.

Recruitment and Retention Plan (10 points)
Write a project report that outlines your recruitment and retention plan for filling the position you reviewed for the Job Evaluation assignment. Include the target population, summary of duties, required qualifications, desired qualifications, sample job announcement, and interview questions. The plan should have the goal of addressing a need, such as a position with specialized skills, a shortage of applicants, high turnover rate, or other needs.

Research Paper (25 points)
Students will research and write a paper not to exceed 12 typed, double-spaced pages on strategic human resources management (SHRM). SHRM assumes HR staff members are true corporate partners. As such, their work contributes to organizational success. Organizational success is determined by achieving certain goals and objectives. Your paper should address some aspect of SHRM and its relationship to organizational performance. More information will be provided in eCourseware. Use APA as your style guide for the paper. Of course, you need a number of references (Internet sites are not good references), formatted correctly and properly cited in the body of the paper. Title and reference pages do not count in the 12-page limit. By the way, I have had excellent 8-page papers, but short papers are quite challenging to do well. I am also certain that some of you could write excellent 20-page papers. Don't do it. Keep your paper to 12 pages or fewer. Writing is a skill that matters in the work world, and writing matters for this paper. I will share my grading rubrics for the paper with you in eCourseware. Style, grammar, punctuation, word choice and so on count towards your grade on this paper. See paper instructions and suggested paper topics in eCourseware for more guidance.

You must email me your paper topic by October 4. I will let you know quickly whether or not it is approved. I may suggest a change or two. You will get reminders on this due date several times in September.

Participation (25 points)
Each student should be prepared to participate in every week. Much of our discussion will focus on case studies, as each has several parts. We will discuss the cases over several weeks before you write your case assignment. Of course, I am expecting you to weave some of what you learn in reading the textbook into these discussions.

Proper participation requires signing in regularly, reading the assigned material, completing tasks in a timely manner, and being an active participant on the discussion boards. You are expected to sign in eCourseware regularly. Your activity on the course site will be tracked. Generally, you will have to contribute a comment of your own (a post) and then read and respond (reply) to at least two of your colleagues' posts for a satisfactory grade (that means a B). To earn a higher grade, you have to do more. Most weekly posts are worth 2 points unless otherwise noted. So a B score would range from 1.6 to 1.7 points, and an A score would be above 1.7 points. By tracking I mean eCourseware tracks each new post, each response and each time you read a post or response. I run a report on this at the end of each week.

Due dates for assignment are shown in eCoursware.

This is one area where on-line courses differ from those in a classroom. Everyone has to participate in the discussion (or risk losing points), and this can increase the amount of time you spend on this class. In other words, on-line classes can be more time consuming than those done in a classroom. The good side of this is that everyone's voice is heard (read), including those of you who are a little shy. You do not have to write volumes here; short answers are fine, but they have to be meaningful, substantive, funny, and so on. It is not acceptable, for example, to respond to someone else's post simply with "I agree with you." Give us a reason in a pithy manner.

Course Policies
On line courses are more than high-tech correspondence classes. You are expected to sign into eCourseware at least three times per week and participate in class discussions and/or group activities. Furthermore, you must adhere to the following policies:

- By signing up for an online course, it is understood that you will have the computer skills and technical capabilities to participate fully in the course.
- All assignments must be submitted in the appropriate Dropbox by the assigned due date
- Late submissions will ONLY be accepted with prior approval from the instructor.
- My Memphis email is my preferred method of correspondence. I will respond to this email no later than 24 hours after I receive it. I do check my voicemail and office messages on a semi-regular basis. The best way to reach me is through the university email system (jptpinka@gmail.com). Do not use the eCourseware email system.
- Any issues that impact your effective participation in the course, including technical difficulties, must be brought to the attention of the instructor immediately.
- You are responsible for any information disseminated on the eCourseware News Board. I use the News Board often. So check that regularly.

- Plagiarism Policy: Anyone caught plagiarizing will be disciplined according the Student Handbook regulations. More information on Academic dishonesty can be found at: http://saweb.memphis.edu/judicialaffairs/
- Writing Standards: The division of Public and Nonprofit Administration has established guidelines for written assignments (research papers, issue papers, literature review, and bibliographic citations, etc.). The American Psychological Association (APA) style is the proper format for all DPNA courses.
- If you have general questions about the course or specific assignments, I ask that you post those on the Open Discussion Forum. Other students may have similar questions and this will help me give consistent information to everyone in the class.
- Remember that tone and content can be misinterpreted in remote communication. Students must observe course netiquette at all times. For more information on netiquette, go to the following link: http://www.albion.com/netiquette/.

Discussion Groups

- Try to maintain threads by using the "Reply" button rather than starting a new topic
- Do not make insulting or inflammatory statements to other members of the discussion group.
- Be respectful of others' ideas.
- Be patient and read the comments of other group members thoroughly before entering your remarks.
- Be positive and constructive in group discussions.
- Respond in a thoughtful and timely manner.

Web Resources:

- Columbia Gide to Online Style by Janice R. Walker and Todd Taylor
- Citation Styles Online http://www.bedfordstmartins.com/online/cite6.html

Library and Other Resources

Links to library materials, such as electronic journals, data bases, inter library loans, digital reserves, dictionaries, encyclopedias, maps, and librarian support, and Internet resources needed by learners to complete online assignments and as background reading must be included in all courses. The myMemphis Portal system, eCampus Student tab provides access to University library and tutorial services. Other support services are available through the Educational Resources site at: http://www.memphis.edu/students/htm.

Students with Disabilities

Qualified students with disabilities will be provided reasonable and necessary academic accommodations if determined eligible by the appropriate disability services staff at their home institution. 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 at the home institution. It is the student's responsibility to initiate contact with disability services staff and to follow the established procedures for having the accommodations notice sent to the instructor. To register for disability services or to obtain more information, students should contact Student Disability Services, 110 Wilder Tower or all 678-2880 (voice or TDD).

Policy on Sexual Misconduct and Domestic Violence
The University has a policy prohibiting sexual misconduct. The University has made every effort to formulate a comprehensive policy that provides students with information about the applicable definitions and the process. The policy contains definitions of sexual assault, dating violence, domestic violence and stalking as well as information regarding consent and reporting. The full policy can be read here:
http://umwa.memphis.edu/umpolicies/UM1786.htm

Reporting Sexual Misconduct
There are several options available to a student who is a victim of sexual misconduct and who decides to report. In addition to bringing charges in criminal or civil court the complainant may also seek recourse through the university disciplinary process if the perpetrator is a student.

A complaint can be filed directly with the following University offices:

Title IX Coordinator
Office for Institutional Equity
156 Administration Building
(901) 678-2713
http://www.memphis.edu/oie/

Associate Dean, Office of Student Conduct
Office of Student Conduct
359 University Center
(901) 678-2298
studentconduct@memphis.edu
http://www.memphis.edu/studentconduct/

University of Memphis Police Services
109 Zach Curlin St.
(901) 678-4357 police@memphis.edu
http://www.memphis.edu/police/index.php

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
Helpdesk: 901-678-8888
Online helpdesk: https://umhellpesk.memphis.edu/

Course Schedule

PADM 7605 Human Resources Administration Fall 2016, On-Line		
Class Weeks	Chapter readings from Joan E. Pynes, *Human Resources Management* (HR) and other assigned readings (see eCoursware)	Dropbox Graded Writing, Due Weeks and Dates
Week 1 Aug 22-Aug 28	HR1 Management	Post your introduction to the class by September August 28
Week 2 Aug 29-Sep 4	HR2 Planning Valuing Diversity article by Gilbert and Ivancevich for discussion (see week 2 materials in eCourseware) Begin reading Case 1, part a: Making Work Pay for Seattle Public Housing Residents	Post comments on valuing diversity article by September 4
Week 3 Sep 5-Sep 11	HR3 Legal Environment Finish reading Case 1, part a	Post follow-up comments on Valuing Diversity September 11
Week 4 Sep 12-Sep 18	HR4 Diverse Workforce Case 1 Seattle Community Association	Post comments on Case 1 part a by September 18
Week 5 Sep 19-Sep 25	HR5 Job Analysis Read Case 1, part b	Job Evaluation due October 2 (10 points) Post Seattle Part b discussion by September 25
Week 6 Sep 26-Oct 2	HR6 Recruitment and Retention Case 1 Making Work Pay for Seattle Public Housing Residents analysis	Case 1 writing assignment due by October 9
Week 7 Oct 3-Oct 9	HR7 Compensation Case 2 Granite City: Part a	Recruitment and Retention Plan due by October 17 (10 points) Post Case 2 part a discussion by October 17
Week 8 Oct 10-Oct 16	**Fall Break**	
Week 9 Oct 17-Oct 23	HR8 Benefits	Post Case 2 part b discussion by October 23
Week 10 Oct 24-Oct 30	HR9 Training and Development	Case 2 written assignment due by November 6 (10 points)
Week 11 Oct 31-Nov 6	HR10 Performance Management Case 3 Water Resources Part a	Post Case 3 part a by November 6
Week 12 Nov 7-Nov 13	HR11 Collective Bargaining Case 3 Water Resources Part b	Discussion Case 3 Part b by November 20
Week 13 Nov 14-Nov 20	HR12 Volunteers	Case 3 written assignment due November 28 (10 points)
Week 14 Nov 21–Nov 27	**Thanksgiving**	
Week 14 Nov 28-Nov 30	HR13 Future Challenges	Post final discussion item by December 4
Week 15 Dec 6	Turn in final	Final papers due December 6 by 11.50 pm (25 points)

The University of Memphis
Division of Public and Nonprofit Administration
School of Urban Affairs and Public Policy

PADM 7607: Public Management Leadership
Spring 2015
Manning 426
Tuesdays, 5:30 – 8:30 pm

Instructor:	Erin Nemenoff, Ph.D.
Office:	138 McCord Hall
Phone:	678-5527
Email:	E.Nemenoff@memphis.edu
Office Hours:	By appointment

COURSE DESCRIPTION

Public management leadership is based on the perspective that effective leadership in public service organizations is characterized by particular behaviors, individual skills, and ways of thinking that are different from those of less effective leadership. The two core purposes of this course are for students to learn about leadership, and for students to understand and develop their own capacity for leadership.

This course is also designed to provide students with a culminating experience which brings together the competencies that they have developed in the program, allowing for reflection and evaluation. This culminating experience involves creation of an e-portfolio which presents evidence of competency-based skills and knowledge gained through the MPA program.

REQUIRED READINGS
The instructional design for this course depends on student participation. In addition to the traditional text book readings and classroom and online lectures, class discussion, guest speaker interaction, and participation through the online course web site are essential to meet the learning goals of this course. Students should come to class ready to discuss the readings.

Fisher, R., Ury, W., & Patton, B. (2012). *Getting to yes: Negotiating an agreement without giving in*. London: Random House Business.

Gallos, J. V. (2008). *Business leadership: A Jossey-Bass reader.* San Francisco: Jossey-Bass.

Sugerman, J., Scullard, M., & Wilhelm, E. (2011). *The 8 dimensions of leadership: DiSC strategies for becoming a better leader.* San Francisco: Berrett-Koehler Publishers.

There will be an in-class exercise on April 14th, for which you are required to bring $10. You will use the money in the exercise, and you may lose it! It is also possible you may gain more!

Additional readings will be posted on the course eCourseware page throughout the semester.

COURSE COMPETENCIES
This course will develop students' abilities to lead and manage in public governance. Specifically, we aim to:

1. Increase self-understanding of our own leadership style, its strengths and weaknesses
2. Create and refine a leadership development plan to build on our strengths and overcome our weaknesses
3. Work to develop specific leadership competencies
4. Develop a capacity to analyze, problem solve, and respond to management and leadership challenges

COURSE POLICIES AND PROCEDURES
Course Requirements:

Students are required to be active participants in all aspects of this course.

- Attendance is important for the success of the course. Three "tardies" or "early exits" equal one absence. On the second absence from class, your grade will be lowered by one grade level. According to division policy, any student missing three or more classes must be given an "F" in the course. I encourage you to withdraw from the course if attendance becomes an issue.
- All assignments are due in class the day indicated in the course schedule. Assignments are due before class begins, so that we can discuss the assignment while in class. Late assignments will receive a full letter grade deduction for every day that they are late; after the second day, you will receive an F for that assignment. You must turn in an electronic copy of your assignment unless previously cleared by the instructor.
- Peer review of projects requires students to be responsible, reflective participants in their own education. All grades given through peer review are taken under advisement by the instructor.
- You are expected to have read assigned material prior to class. Out-of-class preparation, regular attendance and full class participation are expected.
- The instructor reserves the right to give her own grade for each assignment.

Course Assignments:

DiSC Assessment and Leadership Assessment Paper:
One of our core objectives in the course is to discover who we are as leaders and gain a sober assessment of our strengths and weaknesses. This assignment will be divided into two smaller 5-7 page papers. In these papers, you will discuss the results of your leadership self-assessment and provide a self-portrait of your leadership style. A more detailed outline of the paper and its requirements will be distributed later in the semester. Students receiving a C or lower on this paper will have the option of one re-write for a higher grade.

Coalition Bargaining Reflection Paper:
Students will write a reflection paper on their experiences during the in-class coalition bargaining exercise, based on course readings.

Leadership Seminar:
Student teams will choose and present on a particular leadership skill (or set of skills). Groups will develop and give a 45-60 minute leadership seminar to the rest of the class to provide instruction and training that centers on that skill.

E-Portfolio Checkpoints:
As part of your culminating experience in the MPA program, each of you will construct an E-Portfolio that showcases some of your work throughout the program, linking it back to the core competencies of public administration as defined by our accrediting body, NASPAA.

We will be working on these throughout the semester, using edublogs. More specific requirements for the E-Portfolios will be distributed on a rolling basis throughout the semester. There will be four checkpoints when specific parts of the E-Portfolio are due. Your work on those sections must be complete to "pass" the checkpoint. I will evaluate your work at each checkpoint.

Class Participation:
Active participation is predicated on being an informed participant. Your participation will be graded each class period based on the quality of your input. This is a large portion of your grade. You are expected to be prepared and active in class projects. This grade can either significantly help or hurt you, so please take it seriously.

Grading:

Written assignments will be graded on the technical quality of the writing, grammar, spelling, sentence structure, organization, as well as the topical content of the work. All written assignments should be typed using one-inch margins, a 12-point font and double spacing. References should be presented in the American Psychological Association (APA) style, which is the preferred format for the Division of Public and Nonprofit Administration. More information about APA style can be found at www.apastyle.org.

	Description	Due Date	% of Grade
	Attendance & Participation	--	15%
Assignment 1.1	DiSC Assessment	2/3	5%
Assignment 1.2	Leadership Self-Assessment Paper	3/3 and 3/31	20%
Assignment 2.1-2.4	E-Portfolio Checkpoints	2/3, 2/17, 3/17, and 4/7	20%
Assignment 3.1	Leadership Seminar Proposal	3/24	5%
Assignment 3.2	Leadership Seminar	4/21 or 4/28	20%
Assignment 4	Coalition Bargaining Reflection	5/5	15%

Your final grade will be based on the following grading scale:

A+	97-100	B	83-86	C-	70-73
A	93-96	B-	80-82	D+	67-69
A-	90-92	C+	77-79	D	63-66
B+	87-89	C	74-76	F	62 and less

Academic Misconduct and Integrity:
The Office of Student Conduct defines academic misconduct as such:

Plagiarism - The adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution.

Cheating - Using or attempting to use unauthorized materials, information, or aids in any academic exercise or test/examination. The term academic exercise includes all forms of work submitted for credit or hours.

Fabrication - Unauthorized falsification or invention of any information or citation in an academic exercise.

Policies regarding incomplete grades, plagiarism and grievance procedures are available in the current *University of Memphis Code of Student Rights and Responsibilities* (found at www.saweb.memphis.edu/judicialaffairs). As outlined in the *UM Code of Student Rights and Responsibilities*, cheating and plagiarism will result in severe disciplinary action. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

Classroom Misconduct:
Per the University of Memphis Office of Student Conduct, disruptive behavior in the classroom may be defined as, but not limited to, behavior that obstructs or disrupts the learning environment (e.g., repeated outbursts from a student which disrupt the flow of instruction or prevent concentration on the subject taught, failure to cooperate in maintaining classroom decorum, etc.), text messaging, and the continued use of any electronic or other noise or light emitting device which disturbs others (e.g., disturbing noises from electronic devices).

Students engaging in disruptive conduct or conduct not deemed professional and appropriate classroom behavior may be subject to temporary removal or exclusion from the classroom for each class session during which the conduct occurs and/or a deduction in participation grade. The instructor may also report incidents of classroom misconduct to the Office of Student Conduct and/or the department chair. More information can be found on the Office of Student Conduct web page (http://www.memphis.edu/studentconduct/misconduct.htm).

Inclement weather policy:
In the event that inclement weather requires the cancellation of classes at the University of Memphis, local radio and television media will be immediately notified. Additionally, the U of M has established an Inclement Weather Hotline at 678-0888. You may also sign up for Tiger Text Alerts via your cell phone at https://itweb2.memphis.edu/tigertext/index.php. **If class must be cancelled for weather reasons, check eCourseware for online assignments to be completed before the next meeting.**

Students with disabilities:
The University encourages full participation of students with disabilities. Any student who anticipates physical or academic barriers based on the impact of a disability is encouraged to speak with me privately. Students with disabilities should also contact Disability Resources for Students (DRS) at 110 Wilder Tower, 901-678-2880. DRS coordinates access and accommodations for students with disabilities.

Date	Topics and Assigned Readings	Assignments
Week 1 January 20th	Course Introduction • Review syllabus and course assignments	
Week 2 January 27th	E-Portfolio Workshop	
Week 3 February 3rd	Your Leadership Style • Sugerman, Scullard and Wilhelm: Chapters 1, 2, and applicable leader type chapters • Sugerman, et al.: Chapter(s) pertaining to your polar opposite	**Assignment 1.1 Due:** DiSC Assessment **Assignment 2.1 Due:** E-Portfolio Checkpoint 1 (E-Portfolio shell complete)
Week 4 February 10th	Defining Leadership • Gallos: Chapters 1-4 • Readings posted to eCourseware	
Week 5 February 17th	**---NO CLASS MEETING---** Becoming a Leader • **Gallos, Chapters 6, 9, 10** • **Readings posted to eCourseware**	**Assignment 2.2 Due: E-Portfolio Checkpoint 2 (Intro page complete)**
Week 6 February 24th	Understanding the Territory and its Challenges • Gallos, Chapters 15, 16, 20 • Readings posted to eCourseware	
Week 7 March 3rd	The Act of Leadership • Gallos, Chapters 21-23 • Readings posted to eCourseware	**Assignment 1.2 Due:** Leadership Self-Assessment Paper
Week 8 March 10th	**---SPRING BREAK---**	
Week 9 March 17th	The Act of Leadership • Gallos, Chapters 26, 28, 29, 31 • Readings posted to eCourseware	**Assignment 2.3 Due:** E-portfolio Checkpoint 3 (Critical Thinking Tab Complete)
Week 10 March 24th	**---NO CLASS MEETING---** The Act of Leadership • **Gallos, Chapters 32, 33**	**Assignment 3.1 Due: Leadership Seminar Proposals**

<table>
<tr><td>Week 11
March 31st</td><td><u>Sustaining the Leader</u>
Gallos, Chapters 35, 37
Readings posted to eCourseware</td><td>Assignment 1.2 Revisions Due: Leadership Self-Assessment Paper</td></tr>
<tr><td>Week 12
April 7th</td><td>---NO CLASS MEETING---
<u>Negotiation</u>
Fisher & Ury, Chapters 1-5
Readings posted to eCourseware</td><td>Assignment 2.4 Due: E-Portfolio Checkpoint 4 (Leadership Tab Complete; Total Portfolio Complete)</td></tr>
<tr><td>Week 13
April 14th</td><td><u>Negotiation</u>
Fisher & Ury, Chapters 6-8, Conclusion
Readings posted to eCourseware
IN CLASS – COALITION BARGAINING EXERCISE</td><td></td></tr>
<tr><td>Week 14
April 21st</td><td><u>Group Leadership Seminars</u></td><td>Assignment 3.2 Due: Leadership Seminars</td></tr>
<tr><td>Week 15
April 28th</td><td><u>Group Leadership Seminars</u></td><td>Assignment 3.2 Due: Leadership Seminars</td></tr>
<tr><td>Week 16
May 5th</td><td>--NO CLASS MEETING--</td><td>Assignment 4 Due: Coalition Bargaining Reflection Paper</td></tr>
</table>

The University of Memphis
Division of Public and Nonprofit Administration
School of Urban Affairs and Public Policy

PADM 7612/8612: Program and Policy Evaluation
Fall 2015
Manning 318
Thursdays, 5:30 – 8:30 pm

Instructor:	Erin Nelson, Ph.D.
Office:	138 McCord Hall
Phone:	678-5527
Email:	E.Nelson@memphis.edu
Office Hours:	By appointment

COURSE DESCRIPTION

This course is intended to provide the student with an understanding of the contributions and limitations of public and non-profit program evaluation, as well as a familiarity with the basic skills needed to conduct evaluations. Emphasis will be given to coping with the conceptual, methodological, organizational, political, and ethical problems that face evaluators.

Through class discussions and written assignments, this course is designed to help participants become intelligent and effective sponsors, consumers, and interpreters of evaluation research. The course is not designed to develop technical mastery of the various evaluation and analytic techniques available, but it will provide an opportunity for students to become more comfortable with the language and techniques of evaluation research.

REQUIRED READINGS

The instructional design for this course depends on student participation. In addition to the traditional text book readings and classroom and online lectures, class discussion, guest speaker interaction, and participation through the online course web site are essential to meet the learning goals of this course. Students should come to class ready to discuss the readings.

Newcomer, Kathryn E., Hatry, Harry P., and Wholey, Joseph S., (2015). *Handbook of Practical Program Evaluation 4th edition)*. San Francisco, CA: Jossey-Bass.

Additional readings may be posted on the course eCourseware page throughout the semester.

COURSE COMPETENCIES

This course addresses the five core competencies of the MPA program. The associated competencies and the ways they will be assessed are included below:

1. To lead and manage in public governance
    a. Assessment methods: Readings, class discussion, group project
2. To participate and contribute in the policy process
    a. Assessment methods: readings, class discussion, written assignments
3. To analyze, synthesize, think critically, solve problems, and make decisions
    a. Assessment methods: Readings, class discussion, written assignments
4. To articulate and apply a public service perspective
    a. Assessment methods: Readings, class discussion, written assignments
5. To communicate and interact productively with a diverse and changing workforce and citizenry
    a. Assessment methods: Readings, class discussion, written assignments, group project

COURSE POLICIES AND PROCEDURES

Course Requirements:

Students are required to be active participants in all aspects of this course.

- Attendance is important for the success of the course. Three "tardies" or "early exits" equal one absence. On the second absence from class, your grade will be lowered by one grade level. According to division policy, any student missing three or more classes must be given an "F" in the course. I encourage you to withdraw from the course if attendance becomes an issue.
- All assignments are due in class the day indicated in the course schedule. Assignments are due before class begins, so that we can discuss the assignment while in class. Late assignments will receive a full letter grade deduction for every day that they are late; after the second day, you will receive an F for that assignment. You must turn in an electronic copy of your assignment unless previously cleared by the instructor.
- Peer review of projects requires students to be responsible, reflective participants in their own education. All grades given through peer review are taken under advisement by the instructor.
- You are expected to have read assigned material prior to class. Out-of-class preparation, regular attendance and full class participation are expected.
- The instructor reserves the right to give her own grade for each assignment.

Course Assignments:

Logic Model:
The logic model assignment will allow students to better understand program theory by creating a logic model for a program of your choice.

Evaluation Critique:
Students will utilize this assignment to gain the stakeholder perspective in evaluation, and also reflect on evaluation as a tool in the accountability process.

Pre- Post-test Analysis and Report:
This assignment will allow student teams to conduct a brief literature review, analyze data from a real program evaluation, determine a preliminary set of conclusions, and present those findings to peers. The class will provide peer-review to the other student groups on their presentations.

Evaluation Proposal:
This assignment attempts to simulate a real-life program evaluation proposal for a local organization. Group members will have a chance to peer-review each other.

Class Participation:
Active participation is predicated on being an informed participant. Your participation will be graded each class period based on the quality of your input. This is a large portion of your grade. You are expected to be prepared and active in class projects. This grade can either significantly help or hurt you, so please take it seriously.

Grading:

Written assignments will be graded on the technical quality of the writing, grammar, spelling, sentence structure, organization, as well as the topical content of the work. All written assignments should be typed using one-inch margins, a 12-point font and double spacing. References should be presented in the American Psychological Association (APA) style, which is the preferred format for the Division of Public and Nonprofit Administration. More information about APA style can be found at www.apastyle.org.

	Description	Due Date	% of Grade
	Attendance & Participation	--	20%
Assignment 1	Logic model	Sept. 17th	10%
Assignment 3	Evaluation critique	Oct. 8th	20%
Assignment 2	Pre- Post-test analysis and report	October 29th	25%
Assignment 4	Evaluation proposal	Dec. 10th	25%

Your final grade will be based on the following grading scale:

A+	97-100	B	83-86	C-	70-73
A	93-96	B-	80-82	D+	67-69
A-	90-92	C+	77-79	D	63-66
B+	87-89	C	74-76	F	62 and less

Academic Misconduct and Integrity:
The Office of Student Conduct defines academic misconduct as such:

Plagiarism - The adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution.

Cheating - Using or attempting to use unauthorized materials, information, or aids in any academic exercise or test/examination. The term academic exercise includes all forms of work submitted for credit or hours.

Fabrication - Unauthorized falsification or invention of any information or citation in an academic exercise.

Policies regarding incomplete grades, plagiarism and grievance procedures are available in the current *University of Memphis Code of Student Rights and Responsibilities* (found at www.saweb.memphis.edu/judicialaffairs). As outlined in the *UM Code of Student Rights and Responsibilities*, cheating and plagiarism will result in severe disciplinary action. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

Classroom Misconduct:
Per the University of Memphis Office of Student Conduct, disruptive behavior in the classroom may be defined as, but not limited to, behavior that obstructs or disrupts the learning environment (e.g., repeated outbursts from a student which disrupt the flow of instruction or prevent concentration on the subject taught, failure to cooperate in maintaining classroom decorum, etc.), text messaging, and the continued use of any electronic or other noise or light emitting device which disturbs others (e.g., disturbing noises from electronic devices).

Students engaging in disruptive conduct or conduct not deemed professional and appropriate classroom behavior may be subject to temporary removal or exclusion from the classroom for each class session during which the conduct occurs and/or a deduction in participation grade. The instructor may also report incidents of classroom misconduct to the Office of Student Conduct and/or the department chair. More information can be found on the Office of Student Conduct web page (http://www.memphis.edu/studentconduct/misconduct.htm).

Inclement weather policy:

In the event that inclement weather requires the cancellation of classes at the University of Memphis, local radio and television media will be immediately notified. Additionally, the U of M has established an Inclement Weather Hotline at 678-0888. You may also sign up for Tiger Text Alerts via your cell phone at https://itweb2.memphis.edu/tigertext/index.php. **If class must be cancelled for weather reasons, check eCourseware for online assignments to be completed before the next meeting.**

Students with disabilities:
The University encourages full participation of students with disabilities. Any student who anticipates physical or academic barriers based on the impact of a disability is encouraged to speak with me privately. Students with disabilities should also contact Disability Resources for Students (DRS) at 110 Wilder Tower, 901-678-2880. DRS coordinates access and accommodations for students with disabilities.

Date	Topics and Assigned Readings	Assignments
Week 1 August 27th	Course Introduction • Review syllabus and course assignments • Wholey, Preface (xv-xviii; 1-4) • Readings posted to eCourseware	
Week 2 September 3rd	Getting Started: Evaluation Planning and Design • Wholey, Chs. 1, 26 • Readings posted to eCourseware	
Week 3 September 10th	Theories of Change • Wholey, Chs. 3, 11 • Readings posted to eCourseware	
Week 4 September 17th	Performance Measurement and Monitoring • Wholey, Ch. 5 • Readings posted to eCourseware	**Assignment #1:** Logic model
Week 5 September 24th	Data Collection: Methods and Ethics • Wholey, Ch. 6, 7, 9, 12 • Readings posted to eCourseware	
Week 6 October 1st	Data Collection: Quantitative • Wholey, Chs. 13, 14 • Readings posted to eCourseware	
Week 7 October 8th	Data Analysis: Qualitative & Quantitative • Wholey, Chs. 22, 23, 24 • Readings posted to eCourseware	**Assignment #2:** Evaluation critique
Week 8 October 15th	Data Collection: Qualitative • Wholey, Chs. 19, 20, 21 • Readings posted to eCourseware	
Week 9 October 22nd	**---NO CLASS MEETING---** **Please use this time to get together with your groups and work on your pre/post analysis assignments.**	
Week 10 October 29th	Interpreting Evaluation Findings • Readings posted to eCourseware	**Assignment #3:** Pre/post analysis presentations
Week 11 November 5th	Getting Results Used • Wholey, Chs. 27, 28	
Week 12 November 12th	Evaluation in Action • Readings posted to eCourseware	
Week 13 November 19th	Trends in Evaluation • Wholey, Chs. 29, 31 • Readings posted to eCourseware	

Week 14 November 26th	**---NO CLASS MEETING: THANKSGIVING---**	
Week 15 December 3rd	**---NO CLASS MEETING: READING DAY---** Please use this time to get together with your groups and work on your evaluation proposal assignments.	
Week 16 December 10th	**--NO CLASS MEETING--**	Assignment #4: **FINAL PROJECT DUE BY 5:30pm**

THE UNIVERSITY OF MEMPHIS
DIVISION OF PUBLIC AND NONPROFIT ADMINISTRATION
SCHOOL OF URBAN AFFAIRS & PUBLIC POLICY
Spring Semester 2015

PADM 7614– Interagency Collaboration and Administration

Instructor:	Joy A. Clay, Ph.D.
Phone:	678-2780 (office)
E-mail:	joyclay@memphis.edu
Office Hours:	by appointment (Mondays, 3-5 PM), Clement Hall 337
Class Schedule:	Mondays, 5:30 p.m. – 8:30 p.m.
Class Location:	Manning Hall, Room 426

COURSE DESCRIPTION

In today's environment of constrained public funding and increasing societal complexity, public policy vehicles and administrative structures are constantly emerging or being rearranged. This has resulted in the creation of myriad processes, programs, and networks to address community needs and implement public policies by all three sectors. To be effective, future public administrators must become familiar with such concepts as government's toolkit for policy implementation; differing ways that nonprofits work together to further their mission; the critical role of communication and facilitation in sustaining or derailing alliances and collaborations; and accountability in a complex, often highly charged, inter-connected organizational/institutional environment. While the formation of partnerships and networks, within sectors or across sectors offers exciting new opportunities, this administrative and public policy reality requires innovative thinking, knowledge, skills, and abilities.

The purpose of this course is to help students understand the forces for change in the delivery of public services, potential for conflict, difficulties in assuring inclusion, and potential for ethical and democratic pitfalls. In this graduate seminar, students will analyze administrative processes, policy tools, and informal/formal structures of collaboration and coalitions.

COURSE OBJECTIVES

1. Develop understanding of the wide diversity of administrative structures and techniques that have evolved to implement public policy and deliver public services.

2. Assess the complex web of networks, partnerships, and relationships and the various roles and responsibilities of public/nonprofit administrators in these arrangements.

3. Analyze the complex challenges associated with fostering successful collaboration, being sensitive to inclusion and authentic participation, and sustaining effective relationships.

Assessment methods: Discussions, presentations, article and case study reviews, white paper.

REQUIRED TEXTS/READINGS:

Salamon, Lester M., ed. 2002. *The Tools of Government: A Guide to the New Governance.* New York: Oxford University Press (ISBN: 0-19-513665-9)

Hudson, Robert, ed. 2014. *New Politics of Old Age Policy*, 3rd edition. Baltimore, MD: John Hopkins Press (ISBN: 13:978-1-4214-1487-4)

Journal Articles: U of M Library; Ecourseware – see course topic section

Case Studies:

- Crosby, B. and Spanberger, J. 2010. *Minnesota's Vital Aging Network.* University of Minnesota, Humphrey Institute of Public Affairs.
- Penkert, C., Dobbins, N., and Sandfort, J. 2008. *Kujichagulia: Actively Building a Public-Nonprofit Community Partnership*, E-PARC at The Program on the Analysis and Resolution of Conflicts, The Maxwell School of Syracuse University.

Toolkits available on websites:
- White House Council for Community Solutions. *Collaboratives Toolbox* http://www.serve.gov/newimages/council/pdf/CommunityCollaborativeToolkit_all%20_materials.pdf (can be downloaded)
- Monitor Institute and Rockefeller Foundation, July 2013. *Gather: The Art and Science of Effective Convening. www:*http://www.rockefellerfoundation.org/bellagio-center/gather-artscience-Effective (can be downloaded)
- Website Resource: Collaborative Justice. *How to Collaborate* (http://www.collaborativejustice.org/how.htm)
- *Website Resource:* Prevention Institute. *Developing Effective Coalitions: An Eight Step Guide* http://www.preventioninstitute.org/index.php?option=com_jlibrary&view=article&id=104&Itemid=127

CLASS REQUIREMENTS
Class participation requires that students complete reading assignments and demonstrate understanding of topics, adding personal insight and examples appropriately. Your reflective comments are essential to this course. Please come to class prepared to discuss what you learned from assigned readings and class activities to express opinions, ask questions, and challenge each other and the instructor in a respectful and thoughtful manner.

a. Submit assignments both online in E-courseware and in hard copy to the instructor, unless the course outline only indicates E-courseware. When submitting an assignment electronically, you must **label** the file with your name and the assignment (example: jclay_learningplan.doc); also remember to put your name on your actual assignment (penalties will be imposed for not following this instruction).

b. Although assignments completed for this class could build on the student's work from prior or concurrent classes, the work for this class must be original.

c. Attendance, engagement, and participation are essential in a graduate seminar and critical to creating a dynamic learning environment. As specified in the syllabus, students are expected to attend all in-class sessions. I will record attendance in each class. Your overall grade will not be affected by the first absence. [Three "tardies" or "early exits" equal one absence.] On the second absence from class, I will lower your course grade by one-half grade. I encourage you to withdraw from the course if attendance becomes an issue.

d. Attendance, however, is not the same as participation. Students vary in their comfort levels about participating in class. At the same time, effective communication (verbal and written) skills are important characteristics of professionals in any discipline. In this class, students have multiple ways to participate in order to demonstrate and develop their communication and critical thinking skills.

Academic Integrity and Student Conduct
Policies regarding **incomplete grades, plagiarism and grievance procedures** are available in the current *University of Memphis Code of Student Rights and Responsibilities* (found at www.people.memphis.edu/~jaffairs/csc/CSRR.pdf). As outlined in the *UM Code of Student Rights and Responsibilities*, "cheating" and "plagiarism" will result in severe disciplinary action on the part of the instructor. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

As noted by the Office of Legal Counsel: "Your written work may be submitted to Turnitin.com, or a similar electronic detection method, for an evaluation of the originality of your ideas and proper use and attribution of sources. As part of this process, you may be required to submit electronic as well as hard copies of your written work, or be given other instructions to follow. By taking this course, you agree that all assignments may undergo this review process and that the assignment may be included as a source document in Turnitin.com's restricted access database solely for the purpose of detecting plagiarism in such documents. Any assignment not submitted according to the procedures given by the instructor may be penalized or may not be accepted at all" (October 17, 2005). See the Department of History's website for an excellent discussion: http://www.memphis.edu/history/turnitin.htm.

Expectations for academic integrity and student conduct are described in detail on the Office of Student Judicial and Ethical Affairs website (http://saweb.memphis.edu/judicialaffairs). Please review, in particular, the sections about "Academic Dishonesty," "Student Code of Conduct and Responsibilities," and "Disruptive Behaviors." I will expect students to be aware of these guidelines and to conduct themselves accordingly.

ASSIGNMENTS

The assignments will help students develop their critical thinking and complex reasoning skills as well as skills in professional discourse. The course syllabus is detailed; however, students should review the E-Courseware page to see if further specific assignment information is provided. *Be sure to ask the instructor if you need clarification on any of the assignments.*

a. Submit the formal written assignments on time. All assignments are due at the beginning of class on the date scheduled in the syllabus. Late assignments will not be accepted without prior consent from the instructor and will be subject to a grade reduction (one letter grade for every 24 hours that the assignment is late). Assignments later than two days will not be accepted.
b. Papers must be thoughtful, well written and error free. Unless otherwise noted, narratives/papers must be typed and use the American Psychological Association (APA) style for citations and references (see www.apastyle.org).

1. **THINKING CRITICALLY ABOUT THE LITERATURE** (Grading Weight: Total 28%)

   a. Critical Reading Notes (February 9; March 16) (Grading Weight: Total 20%)
   Each student will write two reflective notes providing insights (and any criticisms) about the class readings (per sign-up sheet). The reflective notes should be about 1.5–2 single-spaced pages. They are due NLT11:59 PM of the class date via E-courseware.

   The reflective note should very briefly state the major problem, issue, challenge or question examined and then very briefly the main points set forth in the reading. Then you should raise questions about the theory, methods, empirical analyses, and application to practice you found in the reading (this section should be relatively lengthy). The focus is on building your critical analysis of policy implementation and collaboration.

   b. Reading Discussion Lead (in class discussions 2/2; 3/2) (Grading Weight: total 8%)
   Each student will write two one-page summaries of policy tool readings, per the sign-up sheet to gain further insights about policy tools/collaboration. Students, in reading discussion groups of three-four, will share their knowledge with each other, with the student assigned to the reading acting as lead on the group's discussion. This assignment will serve as an additional resource for students in preparing their final paper.

2. ***CASE STUDY ANALYSIS (2)*** **March 23; April 13** (Grading Weight: 35% total)
Students will analyze two case studies (case study one should be 1.5-2 single-spaced pages (15% weight) in length and case study two should be 3 single-spaced pages (20%). The assignment

requires students to think through managerial, ethical, political, and strategic challenges presented by the politics of shifting priorities/alliances AND to link their analysis to class readings.

The case study analysis should very briefly state the major problem/issue facing the collaboration/coalition and briefly the main points set forth in the case. Then raise questions about what went right and/or wrong and make recommendations to improve the collaboration's outcomes. Be sure to link to class readings and discussions. The focus here is on building your critical analysis of collaboration management and leadership and to help you prepare for the final assignment. Follow the template developed in class.

3. **COLLABORATION/COALITION WHITE PAPER(April 20/27)** (Grading Weight: 30%)
Using the materials developed during the semester, including concept summaries, reading summaries, case studies, agency-mapping activity, and class discussions, students will develop a 4-5-page single-spaced white paper (25%) targeted to the leadership/decision makers of their targeted agency. We will discuss this assignment further in class and develop a template.

a. Briefly describe and justify the aging-related collaboration or coalition you propose; the funding source to support the effort, and outline the type of resources needed; the partners to work with (have at least three but no more than five that are key to the effort); and the training that agency staff need to make the effort successful. Address collaborative readiness for the partners.

b. The white paper must also address the challenges, issues, and barriers to implementation and explicitly link the knowledge gained about aging policy and collaboration from class readings.

c. Make a 10-15 minute presentation on April 27. (5%)

5. **CLASS PARTICIPATION/CONTRIBUTION TO KNOWLEDGE** (Grading Weight: 7%)

Grade Determination:
Student grades are determined by a combination of factors, including my assessment of the quality of the work. I will assess the quality of the student's work on the following elements: comprehensiveness, logic, clarity, thoughtfulness, rigor and degree of analysis, quantity, grammatical quality, and timeliness.

Critical Reading and Discussion Lead	28%
Case Study Analysis	35%
White Paper & Presentation	30%
Participation/Contribution	7%
	100%

A+	98-100
A	93-97
A-	90-92
B+	88-89
B	83-87
B-	79-82
C+	77-78
C	72-76
C-	69-71
D+	66-68
D	63-65
D-	60-62
F	59 and less

Students with disabilities: The University of Memphis encourages the full participation of students with disabilities. Students with disabilities are invited to meet individually with the instructor to discuss special accommodations that may be needed for successful participation in this course.

Inclement Weather: In the event that inclement weather requires the cancellation of class at The University of Memphis, local radio and television media will be immediately notified. Additionally The University of Memphis has established an Inclement Weather hotline at 678-0888.

E-courseware: Please check E-courseware regularly for assignments and grades. Several readings will be on the site as well and you will turn papers in through the dropbox.

CLASS TOPIC AND ASSIGNMENT SCHEDULE

- **January 26** *Course Introduction and Overview*

Readings:
Salamon (**Salamon**, Chapter 1), "The New Governance and the Tools of Public Action: An Introduction"

Hudson, "Preface"

Class Topics:
- Context for Collaboration Matters: Public Policy Area, Sector, and Organization
- Why Aging as a Lens?
- *Establish Reading Groups R, Agency Sign Up, and Clarify Expectations*

Class Activity:
Learning from the Field: **Mini-Cases in Collaboration, PAR**, 2006, (66, Supplement)
- *Encouraging Collaboration in Rural America,* Sears and Lovan, pp. 153–4
- *W. VA Collaboration for Creating Universal Prekindergarten*, Bushouse, pp.154–5

Discussion Questions:
Why all this attention to collaboration and collaborative practice?
What personal and organizational dynamics facilitate/sustain successful partnerships?
What is the role of nonprofits in democracy?
What local organizations collaborate (or could collaborate) on aging-related programs?

- **February 2** **Policy Tools of Governance I**

Readings:
Salamon ***(Salamon**, Chapter 1)*, "The New Governance and the Tools of Public Action: An Introduction"
Leman, ***Salamon**, Chapter 2)*, "Direct Government" *SKIM*

Discussion Questions:
Why the shift towards indirect government? Is this a "good" development for the U.S.?
What factors facilitate/sustain successful sector partnerships? What constrains partnering?

Activity:
R Reading Group Discussion Lead (1) (1-page summary notes re one policy tool)
- Weiss (**Salamon**, Chapter 7), "Public Information"
- Beam and Conlan (**Salamon**, Chapter 11), "Grants"
- Kelman (**Salamon**, Chapter 9), "Contracting"
- DeHoog and Salamon (**Salamon**, Chapter 10), "Purchase-of-Service Contracting" (if four in group)

Questions for each reading group re Policy Tool:
- What are the respective advantages/disadvantages of each of these policy tools?
- What factors facilitate/sustain successful implementation of these policy tools?

- What knowledge/skills are needed for public administrators to implement these tools effectively?
- What information challenges exist related to their effective design and implementation?
- How does each tool specifically affect the formation of collaborations and networks?

- **February 9** Reflecting on Collaboration from the Research **(ON LINE CLASS)**

Readings:
Hudson (**Hudson,** Chapter 1): Contemporary Challenges to Aging Policy
Wilmoth, (**Hudson,** Chapter 2, "The Implications of Structural Lag for Old Age Policy
Website Resource: *Developing Effective Coalitions: An Eight Step Guide*
http://www.preventioninstitute.org/index.php?option=com_jlibrary&view=article&id=104&Itemid=127

Activity:
R **Critical Reading Note 1:**
- **McGuire,** "Collaborative Public Management: Assessing What We Know and How We Know It," ***PAR**, (66, Supplement), pp. 33-43.*
http://proquest.umi.com/pqdweb?did=1174438091&sid=1&Fmt=6&clientId=37634&RQT=309&VName=PQD
- **Thomson & Perry**, "Collaborative Processes: Inside the Black Box," **PAR**, 2006, (66, Supplement), pp. 20-32.
http://proquest.umi.com/pqdweb?did=1174438081&sid=1&Fmt=6&clientId=37634&RQT=309&VName=PQD
- **Gazley and Brudney,** 2007. "The Purpose (and Perils) of Government-Nonprofit Partnerships," **Nonprofit and Voluntary Sector Quarterly**, 36 (3), pp. 389-415.
http://exlibris.memphis.edu/resource/eperiodicals.html

Reading Note should address the following:
- What processes further collaboration and involvement?
- What factors facilitate/sustain successful relationships?
- What are key roles related to collaboration and governance?
- What key factors lead to effective coalitions?

Conduct research on your agency

- **February 16** *Crafting Collaborations – Finding Opportunities to Partner/Collaborate*

Readings:
Gist **(Hudson, Chapter 3), "Fiscal Effects of Population Aging in the United States"**
Mayer, Davis, and Schoorman. "An Integrative Model of Organizational Trust." **Academy of Management Review**, 20 (3) (July 1995), pp. 709-734.

Discussion Questions:
How do you build a constituency?
What processes further collaboration and involvement?
What factors facilitate/sustain successful relationships and opportunities to partner?
What are key roles related to collaboration and governance around aging policy?

Activity:
Build a Regional Collaboration Asset Map
Agency Analysis: Opportunities for Collaboration: Assess current mission, current collaborations, policy tools implemented, collaboration opportunities and constraints -- build map in class
Discuss Coalition Building

- **February 23** *Collaboration Workshop*

Readings:
Peters (**Salamon**, Chapter 19), *The Politics of Tool Choice*
McNamara and Williamson (**Hudson**, Chapter 13), *"Ageisms Many Forms: Institutional, Unintended, and Reverse"*
White House Council for Community Solutions. *Toolbox Overview For Building Needle-Moving Community Collaboration*

Activity:
Review Lessons from the Toolbox- Making Change Happen

Discussion Questions:
What insights about collaboration can we learn from others' experience?
What factors facilitate/sustain successful partnerships and networks?
How can public administrators manage tensions within networks/temporary organizations?
How do institutional and political factors further/constrain innovation?

- **March 2** ***Policy Tools of Governance II;* Community Support**

Readings:
Cook and Moskowitz (**Hudson**, Chapter 4), *The Great Divide: Elite and Mass Opinion about Social Security"*

Activity:
R Reading Group Discussion Lead (2) (1-page summary notes re one policy tool):
Salamon **(Salamon**, Chapter 4), "Economic Regulation,"
May **(Salamon**, Chapter 5), "Social Regulation,"
Feldman, (**Salamon**, Chapter 6), "Government Insurance"
Cook and Moskowitz – if fourth person in group, see below

Policy Tool Questions:
- o What are the respective advantages/disadvantages of each of these policy tools?
- o What factors facilitate/sustain successful implementation of these policy tools?
- o What knowledge/skills are needed for public administrators to implement these tools effectively?
- o What information challenges exist related to their effective design and implementation?
- o How does each tool specifically affect the formation of collaborations and networks?
- o (for student signing up for Cook and Moskowitz: general reading note (see 2/9); address the implications for collaboration/coalition building)

Discussion Questions:
When do you use community involvement processes and techniques?
How do you address conflict and competing agendas?
What factors facilitate/sustain successful community-wide partnerships?

REMINDER: Discuss Case Study Assignment -- DUE March 23

- **March 9** **Spring Break (March 9-15) No class**

- ***March 16*** **Policy Tools of Governance III** **(ON LINE CLASS)**

Readings:
Agranoff, "Inside Collaborative Networks: Ten Lessons for Public Managers," **PAR**, 2006, (66, Supplement), pp. 56-65

Activities:

R **Critical Reading Note 2:**
Stanton (**Salamon**, Chapter 12), "Loans and Loan Guarantees"
Howard (**Salamon**, Chapter 13), "Tax Expenditures"
Steuerle and Twombly (**Salamon**, Chapter 14), "Vouchers"
Schuck (**Salamon**, Chapter 15), "Tort Liability"

Policy Tool Questions AND relate to Agranoff article:

- What are the respective advantages/disadvantages of each of these policy tools?
- What factors facilitate/sustain successful implementation of these policy tools?
- What knowledge/skills are needed for public administrators to implement these tools effectively?
- What information challenges exist related to their effective design and implementation?
- How does each tool specifically relate to the formation of collaborations and networks?

- **Conduct research on your agency**

• March 23 Effective and Ethical Collaboration

Reading:

Collaborative Justice. *How to Collaborate* (http://www.collaborativejustice.org (focus on website sections related to How to Collaborate)

Activities:

Case Study 1 (reflective paper due): *Penkert, C., Dobbins, N., and Sandfort, J. 2008.* Kujichagulia: Actively Building a Public-Nonprofit Community Partnership, *The Maxwell School of Syracuse University.*
Website toolkits and resources (bring laptop if at all possible)

Discussion Questions:

So, what have we learned about forming and sustaining collaborations and networks?
How do we know when to form a collaboration and how much energy to invest?
Is indirect government effective? Does it further or impede democracy?
How can we hold collaborations accountable?
What skills are necessary to lead and/or manage collaborations? coalitions?

March 30 Accountability/Performance Challenges; Bureaucracy Challenge

Readings:

Select one article: Posner (**Salamon**, Chapter 18), "Accountability Challenges of Third-Party Government" **OR** ***Page,*** 2004. *"Measuring Accountability for Results in Interagency Collaboratives,"* ***PAR****, 64 (5), pp. 591-606.*
Monitor Institute and Rockefeller Foundation, July 2013. *Gather: The Art and Science of Effective Convening.* *www:*http://www.rockefellerfoundation.org/bellagio-center/gather-artscience-
Effective

Activity:

Conflict or Team Building

Discussion Questions:

What are the important challenges to accountability in a complex network or collaboration?
What strategies should be used to assure high quality performance?
What are the ethical issues related to collaborations and networks?
What's lost/gained when "blame" is so complex to assign?
Does the presence of collaborations and networks further or impede democracy?

- **April 6** Collaborative *Leadership*

Readings:
Campbell **(Hudson, Chapter 9), Social Security, the Great Recession, and the Entitlements Problem"**
Morgan, **(Hudson, Chapter 10), "The Medicare Challenge: Clients, Cost Controls, and Congress"**
Applebaum and Bardo **(Hudson**, Chapter 11), Will You Still Feed Me, When I'm 84?"
Howard (**Hudson**, Chapter 12), "Means-Testing of Entitltlements: Good Policy? Good Politics?"

Activity:
Collaborative Readiness and Life Cycle -- Assess your agency

Discussion Questions:
So, what have we learned about forming and sustaining collaborations and networks?
How do we know when to form a collaboration and how much energy to invest?
How can we hold collaborations accountable?
What skills are necessary to lead and/or manage collaborations?

- **April 13** **Collaboration Skills**

Readings:
Collaborative Justice. How to Collaborate (http://www.collaborativejustice.org (focus on website sections related to Tips and Ideas – Facilitation and Leadership Tips AND Effective Meeting Tips

Activity:
Case Study 2 (reflective paper due): *Crosby, B. and Spanberger, J. 2010.* Minnesota's Vital Aging Network. *University of Minnesota, Humphrey Institute of Public Affairs.*

Facilitation and Meeting Management

- **April 20** **Innovation & Mediation: Collaboration & Intergovernmental Partnering**

Readings:
McGuire, M. (2013). Challenges of Intergovernmental Management, ***JHSSA*, 36** (2), 3-17.
Foran, J. and Jia, C. **(2013).** *Decisional Inconsistencies in the Management of Contaminated, Sport-caught Fish*, ***JHSSA*, 36** (2), 103-121.

Activity:
Review Draft of the Final Assignment, White Paper--Bring to class for discussion

- **April 27** **Crafting Collaboration or Partnership**

Activity: Present your proposal to the class (10-15 minutes)

HARD COPY OF Final Paper due NLT 5:30 PM, April 27 *and Dropbox, E-Courseware*

GRADUATE PROGRAM IN PUBLIC and NONPROFIT ADMINISTRATION
Fall Semester 2014

PADM 7635-ISSUES IN PUBLIC HUMAN RESOURCES

Professor: Joy A. Clay, Ph.D.
Office hours: Mon., 3-4:30, by appointment
Office: Clement Hall, Room 337
Scates Hall, Room 110
Office Phone: 678-3370/2780 **FAX**: 678-2981
Cell Phone: 412-1294 (before 7:30 PM)
E-mail: joyclay@memphis.edu
Class Schedule: Thursdays, 5:30-8:30 PM
Class Location: Manning Hall, Room 318

Public and Nonprofit Division Office: *McCord Hall, Room 119, 678-3360*

In our fast paced and increasingly competitive and inter-connected world, public administrators must continuously work to honor public service values. Concretely, public administrators must be knowledgeable about managing public funds, programs, and the human capital necessary to deliver public services/goods. This course focuses on the knowledge and skills needed to manage people and relationships effectively.

As a shared journey, students will become familiar with multiple theories and perspectives about cultural competence by critically examining the writings of the many contributors to the text, *Cultural Competency for Public Administrators*. Through our class discussions, students will develop understandings and strategies regarding how to foster cultural competence, rethink program design and implementation, and reimagine institutional structures and procedures to help our agencies effectively deliver public services to increasingly diverse communities. As a hybrid course, on-line postings on readings will further facilitate critical and thoughtful discourse. The applied professional development project gives students the opportunity to think about what worries/terrifies them the most about being a public manger/supervisor! Students will identify the problem/skill gap that they want to understand more deeply. Through reviewing the research and professional literature, interviewing experienced managers, and skillfully/critically surfing managerial websites, students will become experts on their topic and then teach the class what they have learned. The in-class presentation developed by each student will be polished, well researched, and tightly focused – the goal is to have a presentation that could serve as a professional development module for managers! The instructor will work individually with students to help them develop/refine their project.

Course Objectives:

A. Demonstrate an ability to apply public management concepts to the practice of public administration.
B. Develop knowledge about building employee and citizen relationships, applying inclusion strategies that incorporate cultural competence processes.

Associated Competencies:

- Understand and be sensitive to political, cultural, and managerial contexts
- Demonstrate understanding of organizational dynamics and human behavior
- Develop, organize, synthesize, and articulate ideas and information

Assessment methods: Discussions, presentations, interviews, article reviews, formal professional development presentation

Texts:
Norman-Major, K. A. & Gooden, S.T., eds. (2012). *Cultural Competency for Public Administrators*. Armonk, NY: M. E. Sharpe. ISBN: 978-0-7656-2677-6

Other readings as assigned—see course outline (check E-courseware for PAR article and case study).

Highly Recommended: American Psychological Association, *Publication Manual*. 6th edition, paper, 2010. ISBN: 1-4338-0561-8.

Class Requirements:
This course will use an individualized and web-enhanced format. Seven in-class sessions will be held. Students should arrange to meet with the instructor individually as indicated in the Course Outline to discuss the student's research progress and plan for the in-class exercise.

As indicated on the Course Outline, students will electronically submit some of the assignments related to the research project. Students are encouraged to check the course page at least once a week even when there is no specific deadline that week. Attendance at scheduled in-class sessions and class participation (both in-class and online) are expected. Given the nature of the course, students are expected to attend all seven class sessions; please consult with the instructor if you anticipate any absence as withdrawal from the course may be necessary. **Ringing cell phones will not be tolerated in class under any circumstances; please turn to mute.

Each member of the class will be required to:

a. Read all assigned materials.

b. Submit the professional development presentation as assigned on time. This major professional presentation will be thoughtful, well-researched and error free. Use the American Psychological Association (APA) style (see www.apastyle.org) to reference the research materials.

c. Submit assignments in the designated class sessions. Special dispensation is granted in exceptional circumstances involving sickness, injury, or extenuating circumstances beyond the student's control. I, however, reserve the right to reduce your grade by one letter for every two days that the assignment is late. Prior approval must be received for any late assignment and no work more than two days late will be accepted.

d. Although the research and analysis conducted for this class could build on the student's work from prior or concurrent classes, the work for this class should be original.

Student Expectations for Professor

High quality learning results from a partnership between professor and student. Consequently, standards that I will apply to myself include the following:

a. Be available for consultation on the major assignment throughout the semester

b. Structure and guide student participation effectively
c. Treat students with dignity and respect, supporting a variety of opinions
d. Present clear and specific feedback on assignments
e. Grade assignments in a timely manner, i.e., returned within two weeks
f. Return student phone calls and emails within 48-72 hours (regular work week)

Assignments:
All of the assignments are to encourage students to develop their critical thinking skills and to assure that the work on the major project has focus and direction. See E-Courseware for postings and submitting assignments electronically.

√ **Public Management Research—Supervision/Managerial Issues (total 70%)**
Students will individually research specific topics related to key concepts of supervision including motivation, power, negotiation, conflict, group processes, gender, issues of race and class, dynamics of change, goal setting, generational differences, organization culture, organization change, quality management, and organizational politics. Other topics are possible but should be discussed with the instructor before proceeding. The "spirit" of the mini-assignments is to assure that students stay focused and complete the major project on time. This approach also models an effective process for supervising an employee who is independently undertaking a major project.

Each student will prepare a forty-minute professional development presentation due at the end of the semester. Students will include an exercise/activity for the class to participate in to reinforce learning about this topic. The exercise should take no longer than 10-15 minutes and should be highly interactive (that is, not a survey or self-analysis). Students will use high quality, peer-reviewed academic/research literature, including, *Administrative Science Quarterly, Nonprofit Management and Leadership, Academy of Management Review, Public Administration Review, Management Science, Organization Dynamics, American Review of Public Administration*, etc. Books and book chapters which present research, not just description or commentary, may also be used. Students will utilize at least ten scholarly articles (take care to have same journal articles dominate). Students will interview at least one experienced administrator to gain a practitioner's insights into their topic.

The presentation should address the following: explanation and significance of the issue being addressed, summary findings from the body of research studied; and five practical (concrete) ways in which the student believes these insights should be put into practice by public managers/supervisors. The presentation will be thoughtful, comprehensive, focused, engaging, and well-organized. More specific instructions will be developed throughout the semester.

√-**Research Article Summary Format (two, 10% each):**
Use APA reference format as the Title of the research note. Key information to include:
a. Very briefly, present the specific purpose of the article, i.e., the researcher's argument/intent.
b. Summarily describe the research conducted. If there was no obvious empirical or theoretical "research," describe what legitimized the work for publication.
c. Discuss the key Implications of the findings/insights presented and their implications for public service practice, i.e., what do you *understand* better and/or more clearly and what will you apply to be a more effective practitioner.
d. Key references that formed the foundation of the author's work, mentioning theories and concepts, i.e., relate this work to other class readings.

Class Participation and Contribution to knowledge/Discussions
Graduate students are expected to carefully read the materials prior to class and to have taken time to identify questions and issues that warrant discussion. Participation should consistently include insightful and reflexive discussions and questions.

Grade Determination:
Student grades are determined by a combination of factors, including my assessment of the quality of the work (comprehensiveness, clarity, thoughtfulness, rigor and degree of research, analysis), quantity, and timeliness.

Article Summaries (2, 10% each)	20%
Research Presentation & Activity (70%)	
Research Question/Topic	2%
Feedback to help other students	2%
Contract (Draft, 4%; Final 7%)	11%
Administrator Interview	10%
Presentation (Nov. 13 or 20)	30%
Written Feedback to help another student	5%
Final Presentation	10%
Class Participation/Engagement	10%
	100%

Academic Integrity and Student Conduct
Policies regarding **incomplete grades, plagiarism and grievance procedures** are available in the current *University of Memphis Code of Student Rights and Responsibilities* (found at www.people.memphis.edu/~jaffairs/csc/CSRR.pdf). As outlined in the *UM Code of Student Rights and Responsibilities*, "cheating" and "plagiarism" will result in severe disciplinary action on the part of the instructor. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

As noted by the Office of Legal Counsel: "Your written work may be submitted to Turnitin.com, or a similar electronic detection method, for an evaluation of the originality of your ideas and proper use and attribution of sources. As part of this process, you may be required to submit electronic as well as hard copies of your written work, or be given other instructions to follow. By taking this course, you agree that all assignments may undergo this review process and that the assignment may be included as a source document in Turnitin.com's restricted access database solely for the purpose of detecting plagiarism in such documents. Any assignment not submitted according to the procedures given by the instructor may be penalized or may not be accepted at all" (October 17, 2005). See the Department of History's website for an excellent discussion: http://www.memphis.edu/history/turnitin.htm .

Expectations for academic integrity and student conduct are described in detail on the Office of Student Judicial and Ethical Affairs website (http://saweb.memphis.edu/judicialaffairs). Please review, in particular, the sections about "Academic Dishonesty," "Student Code of Conduct and Responsibilities," and "Disruptive Behaviors." I will expect students to be aware of these guidelines and to conduct themselves accordingly.

Notes:

Student Engagement: Students are expected to attend and participate in all classes. I will record attendance and participation. An A on class participation and contribution to knowledge will be based on the student's full participation in the discussions and regular attendance. If you miss class, you obviously cannot participate.

Students with disabilities: The University of Memphis encourages the full participation of students with disabilities. Students with disabilities are invited to meet individually with the instructor to discuss special accommodations that may be needed for successful participation in this course.

Inclement Weather: In the event that inclement weather requires the cancellation of class at The University of Memphis, local radio and television media will be immediately notified. Additionally The University of Memphis has established an Inclement Weather hotline at 678-0888.

Grading: I will be using the "plus and minus grading system" as follows:
A+ 98-100
A 94-97
A- 90-93
B+ 88-89
B 83-87
B- 79-82
C+ 77-78
C 72-76
C- 69-71
D+ 66-68
D 63-65
D- 60-62
F 59 and less

Course Outline

Schedule	Class Topics	Readings and Assignments
1-Aug 28 Class meets	Course Overview Getting Organized Diversity--Public Sector Challenges & Opportunities	**NM-G**, Ch. 1, "Cultural Competence and Public Administration" **PAR** (E-courseware): Bryson, Crosby, Bloomberg, 2014. "Public Value Governance: Moving beyond Traditional Public Administration and the New Public Management, " ***PAR**, 74* (4), pp. 445-456. Cramm blog, "Lead by Doing, Not by Delegating," ***strategy+business***, July 25, 2014 http://www.strategy-business.com/blog/Lead-by-Doing-Not-by-Delegating?gko=60f2f Critically thinking about Quality Resources Critically thinking about Emerging PA
2-Sept 4 Class meets	Communication, Communication, Communication Defining Cultural Competence	**NM-G**, Ch. 2, "A New Kind of Public Service Professional: Possessing Cultural Competency Awareness, Knowledge, and Skills" **Class discussion on text chapters 1 & 2** **Draft Topic (Research Question) Due -- Bring 3 copies to class; post feedback on at least one other student's topic/question -- Due NLT 10 AM Wednesday, September 9**
3-Sept 11 E-Courseware Class Meet Individually or in groups	Employee Motivation in the Public Sector Cultural Competence Perspectives	**NM-G**, Ch. 6, "Developing Gender-Competent Public Administrators" **NM-G**, Ch. 9, "Cultural Competency around Sexual and Gender Orientation and Identify" **Post Favored Article Summary (one page, single-spaced)**
4-Sept 18 E-Courseware Class	Public Management Practice	**NM-G**, Ch. 5, "Human Resource Management Practices That Facilitate Cultural Competence" **Class posted discussion on text chapters 5, 6 & 9** **Draft Contract Due**

5-Sept 25 **Class meets**	Mobilizing Support and Legitimacy Co-Production of Knowledge	**NM-G**, Ch. 7, "Cultural Competency in Hispanic Communities" **NM-G**, Ch. 10 "Partnership for People with Disabilities" **NM-G**, Ch. 12, "Cultural Competency in Disasters" **Class discussion on text chapters 7, 10, & 12** **Final Contract Due (topic, research question, methodology, and more developed bibliography of high quality references, at least 7) NLT October 2, 8 AM**
6-Oct 2 **E-Courseware Class**	Politics, Internal and External	**NM-G**, Ch. 17, "Educating for and Assessing Cultural Competence" **Post Favored Article Summary (one page, single-spaced)**
7-Oct 9 **Class meets**	Raising the Expectations of Professionalism & Inclusion	**NM-G**, Ch. 14, "Cultural Competency in Public Administration Programs" **NM-G**, Ch. 15, "Cultural Competency in "Everyday" Public Policy Research" **Class discussion on chapters 14, 15, & 17**
8-Oct 16 **E-Courseware Class** **Individual Consultation**	Responsibilities of Professionals	**NM-G**, Ch. 16, "A Dialogic Model for Cultural Competency in the Graduate Classroom" **Instructor Posting** **Meet with Instructor** **Draft Presentation Outline Due**
9-Oct 23 **Class meets**	Formal and Informal Teams & Networks	**NM-G**, Ch. 19, "Challenges to Cultural Competency in Public Administration" **NM-G**, Ch. 20, "An Assessment of the State of Cultural Competency in Public Administration" **Case Study:** "Chris Peterson at DSS Consulting" **Class discussion on Chapters 16, 19, & 20** **Notes on Administrator Interview Due (1 pg)**

10-Oct 30 No class Professionalize Presentation	Develop Presentation	**NM-G**, Ch. 3, "Legally Competent Public Servants" SKIM **Instructor Posting – see E-Courseware** Available for individual or group consultation
11-Nov 6 No class Test Presentation	Refine Presentation Develop Activity	Available for individual or group consultation Practice presentation with an informal audience
12-Nov 13 Class meets	**Student Presentations** **Sign Up**	**Presentation Due (40 minutes each)** **Written Feedback from Class to assist in finalizing the presentation**
13- Nov 20 Class meets	**Student Presentations** **Sign Up**	**Presentation Due (40 minutes each)** **Written Feedback from Class to assist in finalizing the presentation**
14-Nov 27 **No Class**	**Thanksgiving Holiday**	**Holiday Break**
15-Dec 4 Class meets	**Critique Class and Learning Objectives**	**Final Presentation Due (electronic and hardcopy)** **Revisit Articles from first class: Enhancing Critical Thinking about Public Administration, Managerial Competence, and Leadership Expectations**

PADM 7642 Resource Development for Nonprofits Online

University of Memphis, Fall 2017

Professor:

Dr. Danielle Vance-McMullen

Email: dvncmcml@memphis.edu (Use course number in subject)

Phone: 901-678-3873

Office: 130 McCord Hall

Office Hours: Mondays 10-11, Wednesdays 1-2, or by appointment

Course Overview:

This is a course on fund development methods and planning. Fundraising methods related to the annual fund, capital campaigns, and planned giving will be covered in turn. The course will also discuss tools for projecting fundraising revenues to create an annual budget. Finally, we will discuss strategies for continuous improvement of development-related activities, including donor-surveys and A/B testing.

The course emphasizes the strategic role that fundraising plays in the modern nonprofit organization. It makes the case that fundraising should not be an isolated function, and that it should be integrated with strategic planning, programs, and other organizational processes. For an organization to reach its full potential, board members and senior leadership at all levels should contribute to fund development. Therefore, the best practices presented in this course emphasize how every staff member and volunteer leader can support a nonprofit's mission through fundraising.

Learning Objectives:

By the end of this course, students will be able to:

- Explain the fundraising methods that an organization can use to support is mission, and identify the methods that match an organization's needs and donor base.
- Describe best practices related to important fundraising methods, and evaluate current organizational practices to identify areas for improvement.
- Articulate the development-related roles and responsibilities of board members, leadership staff, and development office staff (including how these vary in small and large organizations).
- Write a compelling Case for Support in anticipation of a fundraising campaign or as part of ongoing fundraising solicitations.
- Use competitive positioning and program evaluation to enhance a case for support.
- Summarize the process for identifying, qualifying, cultivating, soliciting, closing, and stewarding major gift donors.
- Incorporate the broad range of annual fundraising methods into a comprehensive organizational development plan.
- Create annual fundraising projections and a corresponding development office budget, and understand risk factors which will affect an organization's fundraising potential.

- Comprehend the vocabulary used in fund development.
- Develop a donor survey, and use survey results strategically.
- Understand the role of A/B testing and identify opportunities for implementation.
- Articulate the ethical considerations related to fundraising, including ethics related to the annual fund, planned giving, major gifts, and restricted gifts.

Prerequisites:

This course has a perquisite requirement: PADM 7641: Theory and Practice of Nonprofit Administration. If you have not met this requirement, please talk with the instructor immediately.

This class is designed to be taken by MPA students and students in the Nonprofit Graduate Certificate. The course assumes a basic understanding of the nonprofit sector and nonprofit organizations, although no prior knowledge of nonprofit fund development is required.

Course Structure, Expectations, and Policies:

Students are required to be active participants in all aspects of this course.

- The course is split into 12 modules, which will typically open Mondays at noon and close Sundays at 11:59pm. Typically modules will last for a week. Occasionally, the university academic calendar calls for some weeks to be shorter than average (Fall break, Thanksgiving break). The modules for these weeks will typically be stretched over two weeks. Please see the course outline for details.
- At the beginning of each week, you should open the week's module. The module will contain instructions for the week, including the week's learning objectives. It will also contain lecture-related materials (either a recorded lecture video or other lecture materials/notes) and information on required readings and assignments for the week. Students should aim to complete all readings and lecture materials by Thursday to allow sufficient time for class discussions.
- Each student is expected/required to participate in the online class discussions. Discussions questions will be posted to the eCourseware discussion tool, with separate threads for each topic. Participation will be tracked and factored into your grade. To fully participate, you must answer each discussion question in an informed, critical manner. Ideally, your answer will reflect course readings as well as personal experiences from organizations where you have worked, volunteered, or donated.
- In addition to posting your answers to questions, you are expected to reply to classmates' answers and respond to classmates' replies to your answers. Appropriate replies include adding personal examples to support a classmate's point, challenging a classmate's assertion, or asking for more information/clarification from a classmate.
- Students are expected to work independently on assignments. Individuals outside of the class should not be consulted for assistance with assignments. For each assignment, there will be a structured opportunity for peer feedback. This is the only acceptable form of collaboration with classmates on assignments. The peer feedback step is optional.
- All assignments are due on the day indicated in the course schedule at 11:59pm. Late assignments will receive a full letter grade deduction for every day that they are late; after 11:59pm on the second day, you will receive an F for that assignment. Assignments must be turned in using the electronic course management system – they should not be emailed to your instructor.
- When emailing the instructor, please include the course number in the email title. This will allow me to quickly separate course emails from my other correspondence. Also note that class-related questions can be posted on the "Ask the Class" discussion forum!
- To complete the assignments in this course, you will need to select an organization to focus on this semester. You will need to have access to an informed staff member who is willing to share relevant documents and answer questions for you over the course of the semester. The assignments you complete

may also be useful to the organization, so offering to share this work with the organization would certainly be appropriate. By September 10, please provide the name of the nonprofit that you plan to focus on this semester. If you have trouble identifying a nonprofit, please contact me.

Required Readings:

This course depends on student participation, and participation depends on your preparation. The knowledge you gain in this course will largely depend on the effort you put into it. The required readings have been carefully selected based on learning objectives, and completing the reading will allow you to fully contribute to class discussions and maximize your score on written assignments.

There is one required text for this course:

Achieving Excellence in Fundraising, edited by Eugene Tempel, Timothy Seiler, and Dwight Burlingame. Published by John Wiley & Sons. 2016 edition is preferred.

In addition to the traditional text book, weekly course materials (articles, cases, etc.) will be posted on the course's website.

Assignments/Grading:

The following is a brief outline of all assignments. As this is an online course, most assignments are written. Writing is expected to be presented in a logical format without errors in grammar and spelling. A professional style of writing is appropriate for most assignments. For readability, please turn in work that is typed and double-spaced.

Weekly Responses (12): Each week, there will be discussion questions related to the lectures, readings, and other materials. Students are expected to provide an answer to the posted questions using the discussion board. There will usually be some required and some optional questions. The answers should provide 2-3 paragraphs of thoughtful, original feedback on the question and should demonstrate a synthesis of course material, with appropriate references. Students should also provide 2 follow-up responses to their peers' posts. Follow-up responses should be substantial and add to the conversation. Examples of substantial comments include adding to the answer with additional examples, challenging the underlying assumptions of the answer (in a professional way), or asking questions related to the answer. To give other students something to respond to, your original answer should be posted by the question completion date, which will typically be a Thursday or Friday. I will drop your two lowest weekly response grades.

Assignments (4): There are four graded assignments in this course. To complete the assignments, you will need to select an organization. This can be an organization where you currently work or volunteer, or it can be another organization that you develop a relationship with for the purposes of this course. You will find your work easier if you build a rapport with the organization you have selected – for instance, you might ask that the organization share copies of its current strategic plan, development materials, and aggregate fundraising data with you and offer to provide copies of your assignments or final project to the organization for their use.

Each assignment will be graded anonymously. More details will be provided about each assignment closer to the due date.

- Case for Support Assignment – Craft a 3-page document describing the mission priorities and future needs for an organization, with the goal of developing a compelling case for why a donor should support the organization.
- Donor Profile Assignment – Develop an overview of the important donor groups which support an organization. Using resources from class, explain the motivations of these donor group, the aspects of

the case for support that are compelling to the donor group, and how targeted communications might persuade the group to increasing giving.

- Annual Fund Assignment – Compare and contrast the direct response activities (direct mail and/or online solicitations) of your focus organization and another organization with a similar mission. Assess the strengths and weaknesses of each approach, considering that the two organizations may not have the same donors or case for support. Explain how the appeals of your focus organization might be improved by using concepts from class, suggesting new text as appropriate.
- Engagement Assignment – Evaluate the fundraising engagement of Board members and non-development staff in the focus organization. Discuss how the strengths of each of these constituencies are/can be used to further the organization's development goals. Articulate a plan for improving fundraising engagement by Board members and non-development staff over the next year.

Final Project (1): For your final project, you will implement a continuous improvement project for an organization. By the end of the semester, we will have reviewed three continuous improvement activities for fundraising. Students can choose a project related to any of the three continuous improvement activities. You may also propose another substantial continuous improvement project that would be useful to your organization. The proposed project will be reviewed to ensure it meets course expectations.

Project options include: 1) Donor Survey – Develop a donor survey with an accompanying plan for analyzing and using the survey results. 2) A/B Test – Create two versions of an annual fund solicitation. Articulate a hypothesis about donor behavior related to the test, and explain how the results will be analyzed and used. 3) Development Evaluation Plan – Formulate a comprehensive, strategic set of fundraising goals and objectives, including measurable metrics for each. The metrics should be realistic, based on a review of previous years' performance. The plan should explain how progress on these metrics will be monitored and how strategies will be adjusted in response to unexpected organizational and environmental factors.

Additional details on the project will be available on the course website on October 23. By November 6, you are required to email the professor with your project choice or your proposal for another non-listed project. If you choose to do a non-listed continuous improvement project, you are required to meet with the professor (in-person or Skype) to discuss your plan and ensure it meets the expectations of the course.

Grade Weights:

- Weekly Responses 20%
- Case for Support Assignment 15%
- Donor Profile Assignment 15%
- Annual Fund Assignment 15%
- Engagement Assignment 15%
- Final Project 20%

Your final grade will be based on the following grading scale:

A+ 97-100	B 83-86	C- 70-73
A 93-96	B- 80-82	D+ 67-69
A- 90-92	C+ 77-79	D 63-66
B+ 87-89	C 74-76	F 62 and less

Office Hours:

I want you to succeed in this course! Professor office hours are on an appointment system. You may sign up for an appointment (phone, Skype, or in-person) using the scheduling website, https://vancemcmullen.youcanbook.me. If you have scheduling conflicts which prevent you from meeting during the scheduled office hours, please contact the me.

Occasionally my speaking obligations or other academic conflicts will force me to move office hours from the ones indicated on the first page of the syllabus. When this happens, the new office hours will be announced.

Other Policies:

University policies on cheating, plagiarism, students with disabilities, etc. apply to this course.

Student conduct and discipline

Academic honesty and online integrity

Students with disabilities

A few specifics…

Academic Misconduct and Integrity: The Office of Student Conduct defines the following:

- *Plagiarism* - The adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution.
- *Cheating* - Using or attempting to use unauthorized materials, information, or aids in any academic exercise or test/examination. The term academic exercise includes all forms of work submitted for credit or hours.
- *Fabrication* - Unauthorized falsification or invention of any information or citation in an academic exercise.

As outlined in the *UM Code of Student Rights and Responsibilities*, cheating and plagiarism will result in severe disciplinary action. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

Students with disabilities: The University encourages full participation of students with disabilities. Any student who anticipates physical or academic barriers based on the impact of a disability is encouraged to speak with me privately. Students with disabilities should also contact Disability Resources for Students (DRS) at 110 Wilder Tower, 901-678-2880. DRS coordinates access and accommodations for students with disabilities.

Course Outline:

Week	Topics	Assignments Due
August 28	Introduction to Fund Development	* *Weekly Responses Each Week*
September 4 (shorter week)	Case for Support	Focus organization selection Due September 10
September 11	What Individual Donors Value	
September 18	Institutional Donors (Corporations and Foundations)	Case Assignment Due September 24
September 25	Structuring the Fundraising Operation	
October 2	Personal Solicitation	Donor Profile Due October 8
October 9	Direct Response Solicitation (including Online)	
October 16 (super-short week)		
October 23	Special Events; Marketing and Communications for Fundraising	
October 30	Engaging the Board and Leadership Volunteers in Fundraising	Annual Fund Assignment Due November 5

November 6	Managing and Leadership in Fundraising; Organizational Development for Fundraising	
November 13 November 20 (super-short week)	Budgeting, Projection, and Planning; Evaluating Success	Engagement Assignment Due November 26
November 27 December 4 (super-short week)	Stewardship, Accountability, and Ethics	
December 11 (finals week)		Final Due (See Registrar Exam Date)

PADM 7643

Seminar in Nonprofit Administration & Philanthropy

(aka Nonprofit Financial Management)

University of Memphis

Spring 2019

Professor:

Dr. Danielle Vance-McMullen

Phone: 901-678-3873

Office: 130 McCord Hall

Office Hours: MWF by appointment (Schedule at https://vancemcmullen.youcanbook.me/)

Email: dvncmcml@memphis.edu (Please mention PADM 7643 in the subject line)

Course Overview:

This is a course on the financial management of nonprofit organizations. The course will cover the basics of nonprofit accounting, financial analysis and management, and financial decision making. Because each of these topics is extensive, the course will focus on foundational concepts and high-level information especially relevant to nonprofit leaders who must oversee and guide, rather than directly implement, finance and accounting practices.

The course will emphasize several themes especially relevant to nonprofit leaders, including financial accountability, organizational sustainability, alignment between financial decisions and organizational mission, preparing for organizational growth, and making financial decisions when resources are scarce.

Sound financial management improves an organization's effectiveness and strengthens its reputation in the community. For an organization to reach its full potential, leadership must understand and implement best practices which steward organizational resources and prepare the organization to achieve its mission in the future.

Learning Objectives:

By the end of this course, students will be able to:

- Use accounting and financial management vocabulary in an informed manner
- Describe the principles and practices of managerial and financial accounting, reporting, analysis, and planning
- Evaluate systems of internal controls and financial risks

- Use assessments of past financial performance, current financial analysis, and financial forecasts to make strategic decisions
- Explain the role of financial management and donor intent in nonprofit accountability and financial stewardship

Prerequisites:

This course has a prerequisite requirement: PADM 7641: Theory and Practice of Nonprofit Administration. If you have not met this requirement, please talk with the instructor immediately.

This class is designed to be taken by MPA students and students in the Nonprofit Graduate Certificate. The course assumes a basic understanding of the nonprofit sector and nonprofit organizations, although no prior knowledge of nonprofit financial management is required.

Course Structure, Expectations, and Policies:

Students are required to be active participants in all aspects of this course.

- This course is scheduled to meet from **January 14 – May 2, 2019**. This is a relatively intensive course; students should expect to spend approximately 6-8 hours per week on class readings, discussions, and assignment.
- The course is split into 13 modules, which will typically open Mondays at noon and close Sundays at 11:59pm. Typically, all work for the module will be completed by the time the module closes.
- At the beginning of each week, you should open the week's module. The module will contain instructions for the week, including the week's learning objectives. It will also contain lecture-related materials (either a recorded lecture video or other lecture materials/notes) and information on required readings and assignments for the week. Students should aim to complete all readings and lecture materials by Wednesday to allow sufficient time for completing class discussions and assignments.
- Each student is expected/required to participate in the online class discussions. Discussion questions will be posted to the eCourseware discussion tool, with separate threads for each topic. Participation will be tracked and factored into your grade. To fully participate, you must answer each discussion question in an informed, critical manner. Ideally, your answer will reflect course readings as well as personal experiences from organizations where you have worked, volunteered, or donated.
- In addition to posting your answers to questions, you are expected to reply to classmates' answers and respond to classmates' replies to your answers. Appropriate replies include adding personal examples to support a classmate's point, challenging a classmate's assertion, or asking for more information/clarification from a classmate.
- Students are expected to work independently on assignments. Individuals outside of the class should not be consulted for assistance with assignments.
- All assignments are due on the day indicated in the course schedule at 11:59pm. Late assignments will receive a full letter grade deduction (10%) for every day that they are late up to the fourth day; after 11:59pm on the fourth day, the assignment will be graded for 50% of the points. Assignments must be turned in using eCourseware's Dropbox feature – they should not be emailed to your instructor.

- When emailing the instructor, please include the course number in the email title. This will allow me to quickly separate course emails from my other correspondence. Also note that class-related questions can be posted on the "Ask the Class" discussion forum!

Required Readings:

This course depends on student participation, and participation depends on your preparation. The knowledge you gain in this course will largely depend on the effort you put into it. The required readings have been carefully selected based on learning objectives; completing the reading will allow you to fully contribute to class discussions and maximize your score on written assignments.

There are two required texts for this course:

- Weikart, L. A., Chen, G. G., and Sermier, E. (2013). *Budgeting and Financial Management for Nonprofit Organizations.* CQ Press. (currently $84 on Amazon)
- Bell, J., & Schaffer, E. (2005). *Financial Leadership for Nonprofit Executives: Guiding Your Organization to Long-term Success.* Amherst H. Wilder Foundation. (currently $25 on Amazon)

The Weikart and Chen text is the same textbook that was required for Dr. Topinka's course on budgeting. The present course will emphasize the financial management rather than the budgeting aspects of the text. In addition to the traditional text book, weekly course materials (online/open source texts, articles, cases, etc.) will be posted on the course's website.

Assignments/Grading:

The following is a brief outline of all assignments. As this is an online course, most assignments are written. Writing is expected to be presented in a logical format without errors in grammar and spelling. A professional style of writing is appropriate for most assignments. For readability, please turn in work that is typed and double-spaced.

Weekly Responses (13): Each week, there will be discussion questions related to the lectures, readings, and other materials. Students are expected to provide an answer to the posted questions using the discussion board. There will usually be some required and some optional questions. The answers should provide substantive and thoughtful feedback on the question and should demonstrate a synthesis of course material, with appropriate references. Students should also provide at least two follow-up responses to their peers' posts. Follow-up responses should be substantial and add to the conversation. Examples of substantial comments include adding to the answer with additional examples, challenging the underlying assumptions of the answer (in a professional way), or asking questions related to the answer. To give other students something to respond to, your original answer should be posted by the question completion date, which will typically be a Friday. *I will drop your two lowest weekly response grades.*

Assignments (6): There are six graded assignments in this course. Each assignment will be submitted through eCourseware and graded anonymously. Assignments will typically be posted on Wednesday and due the next Wednesday (the day the module closes) at 11:59 PM. Late assignments will receive a grade penalty (see course policies above). Assignments are typically curved to reflect their level of difficulty. *At the end of the semester, students will have the opportunity to revise and resubmit one assignment for regrading.*

"In the News" Example (1): This course should allow you to better understand news stories and discussions of financial management "in the wild." Over the course of the semester, students will find one current (2019) news article or similar story which relates to class concepts. They will post the story to eCoureware and discuss its relationship to class concepts. One article is required, a second article can be posted for extra credit.

Reflection Assignment (1): During finals week, you will complete a short (400 to 600 words) reflection. In the reflection, you will share your perspective on the most important topics, insights, and readings from the course. You will identify areas where you have grown in your understanding of financial management and areas you wish explore more in the future.

Grade Weights:

- Weekly Responses 20%
- Assignments (6 @ 12% each) 72%
- "In the News" Example 4%
- Reflection Assignment 4%

Your final grade will be based on the following grading scale:

A+ 97-100	B 83-86	C- 70-73
A 93-96	B- 80-82	D+ 67-69
A- 90-92	C+ 77-79	D 63-66
B+ 87-89	C 74-76	F 62 and less

***Grades may be curved upwards based on class performance. They will never be curved downward.*

Office Hours:

I want you to succeed in this course! Professor office hours are on an appointment system. You may sign up for an appointment (phone, Skype, or in-person) using the scheduling website, https://vancemcmullen.youcanbook.me. If you have scheduling conflicts which prevent you from meeting during the scheduled office hours, please contact the me.

Occasionally my speaking obligations or other academic conflicts will force me to move office hours from the ones indicated on the first page of the syllabus. When this happens, the new office hours will be announced.

Other Policies:

University policies on cheating, plagiarism, students with disabilities, etc. apply to this course.

Student conduct and discipline

Academic honesty and online integrity

Students with disabilities

A few specifics…

Academic Misconduct and Integrity: The Office of Student Conduct defines the following:

- *Plagiarism* - The adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution.

- *Cheating* - Using or attempting to use unauthorized materials, information, or aids in any academic exercise or test/examination. The term academic exercise includes all forms of work submitted for credit or hours.
- *Fabrication* - Unauthorized falsification or invention of any information or citation in an academic exercise.

As outlined in the *UM Code of Student Rights and Responsibilities*, cheating and plagiarism will result in severe disciplinary action. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly an "F" for the course, depending on the severity of the offense. Please contact the instructor if you have any questions about these topics.

Students with disabilities: The University encourages full participation of students with disabilities. Any student who anticipates physical or academic barriers based on the impact of a disability is encouraged to speak with me privately. Students with disabilities should also contact Disability Resources for Students (DRS) at 110 Wilder Tower, 901-678-2880. DRS coordinates access and accommodations for students with disabilities.

University of Memphis
Division of Public and Nonprofit Administration
ISSUES IN PUBLIC MANAGEMENT & POLICY

Course Number: PADM 7663, Section 001
Semester: Fall 2015- Wednesday 5:30 to 8:30

Instructor: Sharon Wrobel, Ph.D.
Room: McCord Hall 122
Phone: (901) 678-4720

Office Hours: Monday- Wednesday 3:30 -5:00
or by appointment
E-mail: swrobel@memphis.edu

Course Overview:

This course will examine theoretical approaches to the study of public policy at the federal, state, and local level. The material covered will emphasize both the process of policy-making as well as approaches to the analysis of policy impact. We begin with foundational political and institutional principles, cover the major schools of thought in public policy, and look at contemporary policy problems. Students will then apply these principles to a number of substantive policy issues in the local government context.

Catalog Description:

Special issues of current interest that relate to planning, implementation, and evaluation of programs in public and nonprofit agencies; emphasis on policy analysis techniques. PREREQUISITES: PADM 7600, 7601, 7213, or permission of instructor.

Method of Instruction:

The first part of the semester will address the policy process and the major actors associated with it. The second part will examine substantive policy areas and issues in the nation, as well as the state and local contexts. This class will be a "hybrid," incorporating both traditional lecture and online discussions of substantive public policy issues, including: Economic & Budgetary, Health, Social Welfare, Education, Energy, Environmental, and Crime & Security. You will be responsible for participation in all the online discussions. However, you will be expected to take a leading role in the policy area that most closely aligns with you paper topic. The major assignment for the class is a policy process paper for an appropriate piece of Federal Legislation. You are required to write a 6-8 page literature review which demonstrates a working understanding of your policy area and the alternatives proposed to address challenges.

Text
Kraft & Furlong: Public Policy, 5th Edition (ISBN 9781483345789)
Other Readings as Assigned on eCourseware

Learning Objectives

1. **To participate and contribute to the policy process**

   Associated Competencies
   - Demonstrate an understanding of the major concepts and processes of public policy in the federal, state, and local environment
   - Identify and consider the various stakeholder perceptions of the nature and consequences of policy problems

   Assessment Methods: Discussion, Article Analyses, Policy Report

2. **To articulate and apply a public service perspective**

   Associated Competencies
   - Demonstrate an ability to apply public administration theories and practices to specific policy issues and populations
   - Recognize and apply ethical standards for policy research and formulation.

   Assessment Methods: Article Analyses, Policy Report, Discussion

3. **To communicate and interact productively with a diverse and changing workforce and citizenry**

   Associated Competencies
   - Present information that is valuable to both policy experts and diverse community stakeholders
   - Recommend policy alternatives that recognize the needs of under-represented groups
   - Demonstrate sensitivity to differing opinions
   - Utilize written and oral communication skills
   - Demonstrate the proper use APA style and presentation software

   Assessment Methods: Discussions, Policy Report, Report Presentation

Assignments:

Class Discussion (40%) This includes both the frequency and the quality of your participation in class and online discussions. Daily reading assignments are expected to be completed before you post your response. Discussion posts are due by 9:00 a week following the reading assignment. This questions for Wednesday's readings are due by 9PM Tuesday.

Policy Process Assignment (15%) Before undertaking your own policy process paper, you are required to complete a brief process summary. This assignment should be approximately 5 pages. Read the Article "History of Special Education." Using the Public Policy Process as an outline, summarize how this policy has evolved.

Needs Assessment & Policy Report (40%) You are required to select a contemporary Federal Policy that utilizes the topics discussed in class, and write a 13-15 page policy process report. After a brief background of the policy issue or problem, discuss an existing *specific* policy to address the issue/problem. What is the policy supposed to do, and do you think it will be successful? How was the policy placed on the institutional and decision agendas (and who put it there)? Which theory (group, elite, institutional, rational-choice, etc.) best explains the process that was used to create the policy? How was the policy implemented (if at all)? What were barriers to implementation (if any)? Finally – based on an evaluation or your own understanding – is there evidence that the policy will or will not be successful? Detailed instructions will be provided in class.

Class participation (5%)

Assessment:

Student evaluation will be based on the following assignments.

• Online Discussion	40%
• Class Participation	5%
• Policy Process Assignment	15%
• Policy Process Report	40%
TOTAL	**100%**

Grading System

The grades that may be awarded are as follows: A+, A, A-, B+, B, B-, C+, C, C-, D+, D, D- or F." Grades used to postpone or suspend course completion include "I" (incomplete), "IP" (in progress), and "W" (withdrawn).

Plus/Minus Grading Scale (Effective Fall 2000) Grade	**Quality Points**	**Grade**	**Quality Points**
A+ =97-100	4.00	C+ = 77-79	2.33
A = 94-96	4.00	C = 74-76	2.00
A- = 90-93	3.84	C- = 70-73	1.67
B+ = 87-89	3.33	D+ = 67-69*	1.33
B = 84-86	3.00	D = 64-66	1.00
B- = 80-83	2.67	D- = 60-63	.67
F		0.00	

<u>General Policies:</u>

- MPA Student Handbook: You are responsible for following the policies in the MPA Student Handbook. You may find this document at: http://memphis.edu/padm/pdfs/Student_Handbook.2008.pdf

- **Skills:** Students are expected to possess basic computer skills. If you are not comfortable in a technology environment, you must meet with me ASAP.

- **Assignment Submission:** Assignments MUST be submitted on-line, before class, on the assigned due date.

- **Late Work**: I expect assignments to be handed in on time. When this is not possible, you must make arrangements with me **prior to the due date**. Make Up work will only be given in the case of a legitimate, documented emergency.

- **Class Attendance Policy:** "Students are expected to attend all classes. Faculty members will record attendance in each class. Early exits and lateness to class also have negative consequences regarding class participation and learning. Thus, three "tardies" or early exits equal one absence. On the third absence from class, the student's grade will be lowered by one letter grade level, e.g., from an "A" to a "B." According to Division policy, any student missing four or more classes must be given a grade of "F" in the course. Students are encouraged to withdraw from the course if attendance becomes an issue."

- **Plagiarism Policy** Anyone caught plagiarizing will be disciplined according the Student Handbook regulations. More information on Academic dishonesty can be found at: http://saweb.memphis.edu/judicialaffairs/

- **Students with Disabilities:** The University of Memphis is committed to providing equal opportunity and challenge to all academically qualified students with disabilities and is compliant with Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. To register for disability services or to obtain more information, students should contact Student Disability Services, 110 Wilder Tower or call 678-2880 (voice or TDD)

- **Writing Standards:** The Division of Public and Nonprofit Administration has established guidelines for written assignments. (Research papers, issue papers, literature review, and bibliographic citations, etc.) The American Psychological Association (APA) style is the proper format for all DPNA courses.

Class	Introduction to Public Policy	Readings
26-Aug	Handout Syllabus, Course Overview	
2-Sep	Defining Public Policy, Institutions, and Actors	Kraft & Furlong, Chapter 1&2
9-Sep	Policy Models and Processes	Kraft & Furlong, Chapter 3
16-Sep	State and Local Policy Environments	Handout TBA
	Evaluating Policy Alternatives	
23-Sep	Analyzing Policy I	Kraft & Furlong, Chapter 4 &5
30-Sep	ONLINE	Handout TBA
7-Oct	Analyzing Policy II	Kraft & Furlong, Chapter 6
14-Oct	ONLINE	Handout TBA
	Substantive Policy Areas	
2-Oct	Economic and Budgetary Policy	Kraft & Furlong, Chapter 7
31-Oct	Health Care Policy **Online**	Kraft & Furlong, Chapter 8
11-Nov	Education Policy	Kraft & Furlong, Chapter 10
21-Nov	Energy and Environmental Policy **Online**	Kraft & Furlong, Chapter 11
8-Nov	Social Welfare Policy	Kraft & Furlong, Chapter 9
25- Nov	**Thanksgiving**	Handout TBA
2- Dec	**Student Presentations / Final Reports Due**	

THE UNIVERSITY OF MEMPHIS.

PADM 7710: *Creating Your Nonprofit Identity* – COURSE OVERVIEW & SYLLABUS

The University of Memphis (Spring 2019)
Department of Public and Nonprofit Administration
138 McCord Hall
Memphis, TN 38152

Mr. Stephen A. Cox – Adjunct Professor
Office Hours: Monday 3:30 – 5:00 p.m. CST and by appointment.
Office Phone: 901-229-4855
Email: sacox1@memphis.edu

Class Day: Online

Class Communication: eCourseware, Office Hours, E-mail and Phone

Course Description:

This course is designed to introduce a range of strategies, tactics, techniques and approaches to creating and activating a nonprofit organization's public presence and positioning. The course will span across and tie together mission-based organization topics including Marketing & Development, Branding, Storytelling Content Marketing and Communications. Specific subset topics include, Donor Engagement, Market Research, Messaging, Power of Content, Public Relations, Digital Marketing, Board/CEO Engagement and Digital and Crisis Communications. Students will be challenged with weekly course text reading assignments, discussion forum engagement and case study analysis – along with mid-term and final project requirements to create plans to 'Build a Brand' and 'Activate a Brand.'

PADM 7710 completion accrues 3.0 credit hours

Course Learning Objectives:

- To understand the goals and objectives of marketing for mission-driven organizations, from both a practical and theoretical perspective
- To understand the various strategies and techniques of mission-based marketing
- To understand the role of stakeholders (both internal and external) in planning and executing organizational marketing
- To understand the role and use of technology and data in nonprofit marketing

Course Structure:

- Weeks 1, 5 and 12 will all include the following components
    - Reading – from Course Text
    - Presentation – Lecture, Video, Audio, PowerPoint or Interview
    - Case Study Analysis – cases provided for analysis
- Weeks 2, 3, 4, 6, 9, 10, 11, 13 and 14 will all include the following components
    - Reading – from Course Text
    - Presentation – Lecture, Video, Audio, PowerPoint or Interview
    - Discussion – questions posed for answer/discussion via online/chat forum

- Week 7 is 'Mid-Term Project Week' – there will be no requirements/assignments other than completion of the Mid-Term Project, 'Build a Brand'
- Week 8 is 'Spring Break Week' – there will be no requirements/assignments
- Week 15 is 'Final Project Week' – there will be no requirements/assignments other than completion of the Final Project, 'Activate a Brand'

Syllabus and assignments are subject to change. Advance notice will provided for any/all changes.

Texts (Required):

Leroux Miller, K. (2010), *The Nonprofit Marketing Guide: High-Impact, Low-Cost Ways to Build Support for Your Good Cause,* Jossey-Bass. ISBN: 978-0-470-53965-1 (pbk)

Synopsis: This text is a nonprofit's real-world survival guide and nitty-gritty how-to handbook. Its down-to-earth approach shows how to hack through the bewildering jungle of marketing options and miles-long to-do lists to clear a marketing path that's right for your organization, no matter how understaffed or underfunded.

Written by one of the leading sources of how-to info and can-do inspiration for small and medium-sized nonprofit organizations, Kivi Leroux Miller is a communication consultant and trainer, and president of EcoScribe Communications and Nonprofit Marketing Guide.com. You'll see how to shape a marketing program that starts from where you are now and grows with your organization using smart and savvy communications techniques, both offline and online. Combining big-picture management and strategic decision-making with reader-friendly tips for implementing a marketing program day in and day out, this book provides a simple yet powerful framework for building support for your organization's mission and programs including:

- Cost-effective strategies and proven tactics for nonprofits
- Guidance for thriving during challenging times
- Fast, friendly, and realistic advice to help you navigate the day-by-day demands of any nonprofit

Leroux Miller, K. (2013), *Content Marketing for Nonprofits: A Communications Map for Engaging Your Community, Becoming a Favorite Cause, and Raising More Money,* Jossey-Bass. ISBN: 978-1-118-44402-3 (pbk)

Synopsis: Nonprofits are communicating more often and in more ways than ever before. Is anyone paying attention? In her follow-up to *The Nonprofit Marketing Guide: High-Impact, Low-Cost Ways to Build Support for Your Good Cause*, Kivi Leroux Miller offers ways to design and implement a content marketing strategy that will attract people to your cause, rather than begging for their attention or interrupting them with your communications. You'll learn how to plan, create, share, and manage relevant and valuable content that inspires and motivates people to support your nonprofit in many different ways including:

- How nonprofit marketing and fundraising is changing, and the perils of not quickly adapting
- Guidance on communicating in a fast-paced, multichannel world
- How to make big-picture strategic decisions about your content, followed by pragmatic and doable tactics on everything from editorial calendars to repurposing content
- Real-world examples from 100+ nonprofits of all sizes and missions

Additional reading and reference materials and presentations will be posted on the course site for Weeks 9-11 and 14.

Grading Methodology:

- Grading will be based on a cumulative 100-point scale – graded/point activities include:
  - Mid-Term Project – 20 points
  - Final Project – 20 points
  - Case Study Analysis – 5 points per Case Study – 3x Case Studies = 15 points
  - Discussion Forum Participation – 15x Questions = 45 points
- Project grading/points
  - Mid-Term Project – 'Build a Brand' is worth a maximum of 20 points
  - Final Project – 'Activate a Brand' is worth a maximum of 20 points
- Weekly grading/points
  - Case Study Analysis (Weeks 1, 5, and 12)
    - Each Case Study Analysis is worth a maximum of 5 points
    - Total Case Study Analysis assignments are worth a maximum of 15 points
  - Discussion Forum Participation (Weeks 2, 3, 4, 6, 9, 10, 11, 13 and 14)
    - Students are expected to provide a response for each Discussion Forum question posted and react to at least one other student's answer
    - Discussion Forum question responses are worth a maximum of 2 points each and reactions to other students' posts are worth a maximum of 1 point each
    - Weekly Discussion Forum participation is worth a maximum of 3 points per week
    - Total Discussion Forum participation is worth a maximum of 45 points

Please refer to PADM 7710 page on the eCourseware platform further assignment details, including assignment questions and length requirements.

Withdrawal Policy

The instructor will **NOT** administratively drop a student for non-participation. As a student, it is your responsibility to be aware of withdrawal deadlines and drop the course if you are no longer participating. **Failure to drop the course will result in an F being awarded at the end of the semester.**

Policy on Participation

Students are expected to participate weekly in the eCourseware forum class discussions – i.e., students will have read assignments and answer discussion board questions.

Policy on Late Assignments

All activities and assignments must be completed and submitted NO LATER THAN 11:00 p.m. CST on the Sunday of each weekly module.

- Weekly modules span a 7-day period, beginning on Monday and ending on Sunday.
- Weekly module dates are listed on the course schedule (in this syllabus). See eCourseware assignments for additional information.
- An assignment is late if not submitted and date stamped by the date and time of its due date.
  - 10 percentage points will be deducted for each day an assignment is late.

eCourseware Support:

The ITS Service Desk provides 24/7 technical support to the University's community. You can connect at:

- 901.678.8888—Technical Support by phone 24/7
  - In addition, the ITS Service Desk provides chat and walk-in assistance Monday through Friday 8:00 a.m. – 7:00 p.m. CST in Administration Building 100
- Technology Hub located in UC 265 is open for use 24/7
- McWherter Lab located on the first floor of the McWherter Library (open during library hours)
- Lambuth Lab located in Wilder Student Union Room 006

Weekly Course Assignments

Week 1 1/14 – 1/20	Learning Objectives:	**Introduction and Overview**
		• Principles of mission-based marketing
		
		TOPIC 1: Marketing and Development, Part 1
		• The '5 P's' of Marketing
		  o Price
		  o Promotion
		  o Place
		  o Product
		  o Policy
		• How 5 Ps are used to drive donations and engagement

	Learning Activities:	**Presentations and Interviews** • Course Overview **Reading** • *The Nonprofit Marketing Guide* - Chapters 1-3
	Assignment:	**Case Study Analysis** - '*GuideStar: Data as a Tool for Nonprofit Transformation*'

Week 2 1/21 – 1/27	Learning Objectives:	**TOPIC 1: Marketing and Development, Part 2** • Interrelationship between product/services marketing and donor engagement marketing – similarities and differences
	Learning Activities:	**Presentations and Interviews** • Interview on Donor Engagement **Reading** • *The Nonprofit Marketing Guide* - Chapters 11 & 12 • *Content Marketing for Nonprofits* - Chapters 4 & 6
	Assignment:	**Discussion Forum Responses** • Q1 – On factors influencing decision-making • Q2 – On the value of social capital in a marketing context

Week 3 1/28 – 2/3	Learning Objectives:	**TOPIC 1: Marketing and Development, Part 3** • Overview of Nonprofit Programmatic Activities
	Learning Activities:	**Presentations and Interviews** • Interviews on Direct Marketing, Gift Planning, Event Management and Strategic Partnerships **Reading** • *Content Marketing for Nonprofits* – Chapters 12 & 15
	Assignment:	**Discussion Forum Responses** • Q1 – On the 'Six R's' • Q2 – On Deep and Surface Metaphors

Week		
Week 4 2/4 – 2/10	Learning Objectives:	**TOPIC 2: Branding** • Market Research Methodologies • Strategy
	Learning Activities:	**Presentations and Interviews** • Presentation on Marketing Research and Strategy **Reading** • *The Nonprofit Marketing Guide* - Chapters 4-6 • *Content Marketing for Nonprofits* - Chapters 5 & 14
	Assignment:	**Discussion Forum Responses** • Q1 – On organizational messaging platforms • Q2 – On organizational personality and voice

Week		
Week 5 2/11 – 2/17	Learning Objectives:	**TOPIC 3: Storytelling, Part 1** • Overview • Driving Engagement • Call to Action
	Learning Activities:	**Presentations and Interviews** • Presentation on Brand and Storytelling **Reading** • *The Nonprofit Marketing Guide* - Chapter 7 • *Content Marketing for Nonprofits* - Chapters 7-8
	Assignment:	**Case Study Analysis** - '*Branding & Storytelling – Nonprofits With Successful Content Marketing Campaigns*'

Week		
Week 6 2/18 – 2/24	Learning Objectives:	**TOPIC 3: Storytelling, Part 2** • The Power of Content • Story Elements
	Learning Activities:	**Presentations and Interviews** • Interview on The Power of Content • Interview on Story Elements **Reading** • *The Nonprofit Marketing Guide* – Chapter 9 • *Content Marketing for Nonprofits* - Chapters 9-10 & 13
	Assignment:	**Discussion Forum Responses** • Q1 – On 'Great Storytellers'

Wee	Learning	**Mid-Term Project – 'Build a Brand'**

	Objectives:	
	Learning Activities:	**N/A**
	Assignment:	**Mid-Term Project Due**: • Sunday, March 3 – NO LATER THAN 11:00 PM CST

Week 8 3/4 – 3/10	Learning Objectives:	**Spring Break Week**
	Learning Activities:	**N/A**
	Assignment:	**N/A**

Week 9 3/11 – 3/17	Learning Objectives:	**TOPIC 4: Content Marketing – Part 1** • Overview on theory and strategic approach to Content Marketing
	Learning Activities:	**Presentations and Interviews** • Theory of Change presentation, 'The Basics' **Reading** • *Content Marketing for Nonprofits* - Chapters 1-3
	Assignment:	**Discussion Forum Responses** • Q1: On elements of the Causal Pathway. • Q2: On probability of achieving the Ultimate Vision/Desired Outcome

Week 10 3/18 – 3/24	Learning Objectives:	**TOPIC 4: Content Marketing, Part 2** • Lessons Learned on Content Marketing from a cross-section of today's top marketing professionals and subject matter experts
	Learning Activities:	**Presentations and Interviews** TED Talk presentations on Digital Content Marketing and Engagement • Seth Godin: The Tribes We Lead • Derek Sivers: How to Start a Movement • Rory Sutherland: Life Lessons from and Ad Man • Steven Johnson: Where Good Ideas Come From • Renny Gleeson: 404, The Story of a Page Not Found • Manoush Zomorodi: How Can Boredom Lead to Your Most Brilliant Ideas • Dan Pink: The Puzzle of Motivation • Seth Godin: How to Get Your Ideas to Spread • Andrew Stanton: The Clues to a Great Story
	Assignment:	**Discussion Forum Responses** • Analyze and provide 'Lessons Learned' for two (2) TED Talks.
	Learning	**TOPIC 5: Communications, Part 1**

	Objectives:	• Public Relations (overview and philosophy, media relations vs. media publishing, and thought leadership)
	Learning Activities:	**Presentations and Interviews** • Presentations on Public Relations, Media Relations, Thought Leadership **Reading** • *The Nonprofit Marketing Guide* - Chapters 13-15 • *Content Marketing for Nonprofits* – Chapter 11 • *Harvard Business Review – The New CEO Activists*
	Assignment:	**Discussion Forum Responses** Q1 – Based on the *Harvard Business Review* article, on 'The New CEO Activists'

Week 12 4/1 – 4/7	Learning Objectives:	**TOPIC 5: Communications, Part 2** • Roles of the Board of Directors and Chief Executive Officer in organizational communications (Executive Visibility) • Community Relations (local market engagement, philanthropy/corporate social responsibility {CSR} and public/private partnerships {PPPs}) • Communications (broadly) as a tool for participation in the policy process (for mission advocacy) – Public Affairs
	Learning Activities:	**Presentations and Interviews** • Interview on Board of Directors and CEO in organizational communications • Interview on Community Relations • Presentation on Policy and Public Affairs
	Assignment:	**Case Study Analysis** - '*Promoting Public Policy through Community-Based Participatory Research*'

Week 13 4/8 – 4/14	Learning Objectives:	**TOPIC 5: Communications, Part 3** • Digital Public Relations (social media, digital media, key influencers, types/levels of engagement)
	Learning Activities:	**Presentations and Interviews** • Presentation on Digital Public Relations and the PESO Model (Paid, Earned, Shared & Owned media) • 2-part Interview on Digital Engagement (from nonprofit organization perspective) – Part 1 on Philosophy and Approach – Part 2 on Metrics and Analysis **Reading** • *The Nonprofit Marketing* Guide - Chapters 8 & 10 • *Content Marketing for Nonprofits* - Chapters 17 – 18 & 21-27
	Assignment:	**Discussion Forum Responses** • Q1 – On organizational social media policies

Week 14 4/15 – 4/21	Learning Objectives:	**TOPIC 5: Communications, Part 4** • Crisis Communications considerations, risks and approaches

	Learning Activities:	**Presentations and Interviews**
		• 2-part Video Lecture Series – on Crisis Communications
		  o Part 1: Overview, Philosophy and Operating Model
		  o Part 2: Case Study Narrative
		
		Reading
		• *Forbes – Starbucks Gets an 'A' in Crisis Management*

	Assignment:	**Discussion Forum Responses** Based on the *Forbes* article, 'Starbucks Gets an 'A' in Crisis Management,' • Q1 – On your expectations for organizational action in a crisis • Q2 – On organizational trust factors during crisis situations

Week 15 4/22 – 4/28	Learning Objectives:	**Final Project – 'Activate a Brand'**
	Learning Activities:	**N/A**
	Assignment:	**Final Project Due:** Sunday, April 28 – NO LATER THAN 11:00 PM CST

THE UNIVERSITY OF MEMPHIS

PADM 7710: ***Creating Your Nonprofit Identity*** **– Spring 2019**

Syllabus – Working Version

Date	Topics	Assignments
Week 1 **1/14 – 1/20**	**Introduction and Overview** • Principles of mission-based marketing **TOPIC 1: Marketing and Development, Part 1** • The '5 P's' of Marketing o Price o Promotion o Place o Product o Policy • How 5 Ps are used to drive donations and engagement	**Presentations and Interviews** • Course Overview **Reading** • *The Nonprofit Marketing Guide* - Chapters 1-3 **Case Study Analysis** • Use the case study, '*GuideStar: Data as a Tool for Nonprofit Transformation'* • Describe and analyze how the organization applies the 5 P's in its operations. • Describe and analyze how the application of the 5P's has evolved over time as the organization has grown, matured and evolved. • Provide an opinion on the effectiveness of with which the organization is applying the 5P's – i.e., what is working (best), where are gaps in the application of the 5P's, where might opportunities exist for improvement in application of the 5P's.
Week 2 **1/22 – 1/28**	**TOPIC 1: Marketing and Development, Part 2** • Interrelationship between product/services marketing and donor engagement marketing – similarities and differences	**Presentations and Interviews** • Interview on Donor Engagement **Reading** • *The Nonprofit Marketing Guide* - Chapters 11 & 12 • *Content Marketing for Nonprofits* - Chapters 4 & 6 **Discussion Forum Responses** • Q1 – What factors influence your decision to purchase a product/service – are the factors different than those that influence your decision to donate to/engage with a cause/philanthropic activity? • Q2 – Take a position on the value of social capital in a

		product/services marketing context and donor engagement marketing context – i.e., the same/different, more/less valuable in one vs. the other, etc.
Week 3 **1/28 – 2/3**	**TOPIC 1: Marketing and Development, Part 3** • Overview of Nonprofit Programmatic Activities	**Presentations and Interviews** • Interview – on Direct Marketing • Interview – on Gift Planning • Interview – on Event Management • Interview – on Strategic Partnerships **Reading** • *Content Marketing for Nonprofits* – Chapters 12 & 15 **Discussion Forum Responses** • Q1 – Choose one (1) of the following marketing activities (Direct Marketing, Gift Planning, Event Management or Strategic Partnerships) and make the case for what you believe are the two (2) most important of the 'Six R's' that apply to the activity (example: a case for why Real Time + Rewarding are most important for Direct Marketing) • Q2 – Drawing on your experience, (from work, volunteering, clubs, teams, etc.), choose an organization, consider its mission/goal and describe one (1) Deep Metaphor and (1) Surface Metaphor that captures the essence of the organization.
Week 4 **2/4 – 2/10**	**TOPIC 2: Branding** • Market Research Methodologies • Strategy	**Presentations and Interviews** • Presentation on Marketing Research and Strategy **Reading** • *The Nonprofit Marketing Guide* - Chapters 4-6 • *Content Marketing for Nonprofits* - Chapters 5 & 14 **Discussion Forum Responses** • Q1 – What type of messaging platform – fear, hope or love – do you personally most often respond to when deciding to take action (i.e., buy, give, start something, stop something, etc.) • Q2 – Choose a nonprofit organization – identify whether the

		organization positions itself as a 'friend, authority, performer or change-maker' – provide two (2) examples of the organization's messaging that illustrate its content personality and voice.
Week 5 **2/11 – 2/17**	**TOPIC 3: Storytelling, Part 1** • Overview • Driving Engagement • Call to Action	**Presentations and Interviews** • Presentation on Brand and Storytelling **Reading** • *The Nonprofit Marketing Guide* - Chapter 7 • *Content Marketing for Nonprofits* - Chapters 7-8 **Case Study Analysis** • Use the case study, '*Branding & Storytelling – Nonprofits With Successful Content Marketing Campaigns*' • Choose 1 of the 8 content marketing campaign examples from the case study. • Identify and analyze the organization's Key Messages and Creative Execution along the following lines: • 1) Who are intended Audiences? • 2) Why are these Audiences important to the organization? • 3) Does the Message appear to match the Audience (why/not)? • 4) In terms of Creative Execution, what tone, personality, voice and style is the organization using? • 5) Does the Creative Execution support Message delivery and understanding with the Audience (why/not)? • Provide an opinion as to how the organization might better differentiate itself, become more memorable/better understood, evoke more engagement, etc., via adjustments to its Message and Creative Execution.
Week 6 **2/18 – 2/24**	**TOPIC 3: Storytelling, Part 2** • The Power of Content • Story Elements	**Presentations and Interviews** • Interview on The Power of Content • Interview on Story Elements **Reading** • *The Nonprofit Marketing Guide* – Chapter 9

<table>
<tr><td></td><td></td><td>Content Marketing for Nonprofits - Chapters 9-10 & 13
Discussion Forum Responses
Q1 – Choose a person that you see as 'A Great Storyteller' – make the case for your belief by discussing how the person effectively uses:
1) The Power of Content
2) Story Elements
3) Creates Engagement
4) Delivers a Call to Action</td></tr>
<tr><td>Week 7

2/25 – 3/3</td><td>Mid-Term Project Due: Sunday, March 3 – NO LATER THAN 11:00 PM CST</td><td>Mid-Term Project – 'Build a Brand'
Use the case study, 'Branding & Storytelling – Nonprofits With Successful Content Marketing Campaigns'
Choose 2 of the 8 content marketing campaign examples from the case study (same case study used in Week 5)
Note: Students must choose 2 different examples, i.e., cannot use the same example and previous analysis from the Week 5 Case Study assignment).
Compare and contrast the digital presence of 2 organizations (to include all social media platforms, and channels and organizational websites).
Identify and analyze the organizations' Target Audience(s), Key Message(s), Creative Execution, use of Storytelling, and Call(s) to Action.
Include specific analysis on:
What is working (and why you believe it is working)?
What is not working (and why you believe it is not working)?
Provide recommendations for improvement of the digital presence for each of the 2 organizations in terms of Audience Engagement, Key Messages, Creative Execution, use of Storytelling, and Calls to Action.</td></tr>
<tr><td>Week 8</td><td>Spring Break Week</td><td>N/A</td></tr>
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Week 9 **3/11 – 3/17**	**TOPIC 4: Content Marketing – Part 1**	**Presentations and Interviews** • Theory of Change presentation, 'The Basics' **Reading** • *Content Marketing for Nonprofits* - Chapters 1-3 **Discussion Forum Responses** Based on the Theory of Change (ToC) presentation, 'The Basics' and assigned reading from Content Marketing for Nonprofits – find an existing ToC PRODUCT (graphic, flowchart, etc.) – post the product to the Discussion Forum and answer the following questions about the ToC PROCESS: • Q1: Identify the elements of the Causal Pathway. • Q2: Identify the Ultimate Vision/Desired Outcome and offer an opinion on the probability of success for this process. <u>Hint</u>: Start this assignment by doing an Image Search for 'Theory of Change'
Week 10 **3/18 – 3/24**	**TOPIC 4: Content Marketing, Part 2**	**Presentations and Interviews** Presentations on Digital Content Marketing and Engagement – TED Talks • Seth Godin: The Tribes We Lead • Derek Sivers: How to Start a Movement • Rory Sutherland: Life Lessons from and Ad Man • Steven Johnson: Where Good Ideas Come From • Renny Gleeson: 404, The Story of a Page Not Found • Manoush Zomorodi: How Can Boredom Lead to Your Most Brilliant Ideas • Dan Pink: The Puzzle of Motivation • Seth Godin: How to Get Your Ideas to Spread • Andrew Stanton: The Clues to a Great Story **Discussion Forum Responses** Assignment is to analyze and provide 'Lessons Learned' for two (2) TED Talks. Create two (2) posts in the Discussion Forum. For each post, select one (1) of the TED Talks – provide a brief synopsis of the main points of the TED Talk, and answer

		the following questions for each: • Q1: What is your Key Lesson Learned from this TED Talk? • Q2: What is your favorite quote/point from this TED Talk – why?
Week 11 **3/25 – 3/31**	**TOPIC 5: Communications, Part 1** • Public Relations (overview and philosophy, media relations vs. media publishing, and thought leadership)	**Presentations and Interviews** • Presentations on Public Relations, Media Relations, Thought Leadership **Reading** • *The Nonprofit Marketing Guide* - Chapters 13-15 • *Content Marketing for Nonprofits* – Chapter 11 • *Harvard Business Review – The New CEO Activists* **Discussion Forum Responses** Based on the *Harvard Business Review* article, 'The New CEO Activists,' offer your opinion on the following question: • Q1 – Is it appropriate for non-profit leaders (as opposed to for-profits leaders) to engage in 'CEO Activism' – why/why not? Support your position based on the considerations discussed in the Harvard Business Review article.
Week 12 **4/1 – 4/7**	**TOPIC 5: Communications, Part 2** • Roles of the Board of Directors and Chief Executive Officer in organizational communications (Executive Visibility) • Community Relations (local market engagement, philanthropy/corporate social responsibility {CSR} and public/private partnerships {PPPs}) • Communications (broadly) as a tool for participation in the policy process (for mission advocacy) – Public Affairs	**Presentations and Interviews** • Interview on Board of Directors and CEO in organizational communications • Interview on Community Relations • Presentation on Policy and Public Affairs **Case Study Analysis** • Select 1 of the 10 case studies available in the '*Promoting Public Policy through Community-Based Participatory Research*' study. • Provide analysis that addresses how the organization was able to leverage communications (broadly) as a tool for participation in the policy process (for mission advocacy) – i.e., public relations, community relations, use of Board members/key influencers, etc. • As well, address the following issues in your analysis: • What factors served as facilitators for effective capacity building for the organization (how did it

		structure, resource, etc. – with whom did it consult, collaborate, etc.). • Describe the policy change approach used by the organization (i.e., identifying/refining a problem of shared concern, determining how research findings could be used to address the problem on a broader level, working with allies (including policymakers) to move forward, etc.) • Outline and provide analysis of the types of communications engagement and process used by the organization to affect public policy (i.e., use of media advocacy, participation in public hearings, meetings with key decision makers, etc.)
Week 13 **4/8 – 4/14**	**TOPIC 5: Communications, Part 3** • Digital Public Relations (social media, digital media, key influencers, types/levels of engagement)	**Presentations and Interviews** • Presentation on Digital Public Relations and the PESO Model (Paid, Earned, Shared & Owned media) • 2-part Interview on Digital Engagement (from nonprofit organization perspective) – Part 1 on Philosophy and Approach – Part 2 on Metrics and Analysis **Reading** • *The Nonprofit Marketing* Guide - Chapters 8 & 10 • *Content Marketing for Nonprofits* - Chapters 17 – 18 & 21-27 **Discussion Forum** • Q1 – From an organizational policy perspective, take a position on employees engaging in social media/digital activity around the organizational brand via their personal properties (examples, sharing event images on Instagram, posting office/colleague images with comment on Facebook, offering a review on the organization on Glassdoor, leveraging promotional material via LinkedIn networks, tweeting from an industry conference/seminar.

Week 14 **4/15 – 4/21**	**TOPIC 5: Communications, Part 4** Crisis Communications	**Presentations and Interviews** • 2-part Video Lecture Series – on Crisis Communications: Part 1: Overview, Philosophy and Operating Model – Part 2: Case Study Narrative **Reading** • *Forbes – Starbucks Gets an 'A' in Crisis Management* **Discussion Forum Responses** Based on the *Forbes* article, 'Starbucks Gets an 'A' in Crisis Management,' offer your opinion on the following questions: • Q1 – What do you expect to see/hear from an organization that finds itself embroiled in an issue or crisis communications circumstance? • Q2 – What factors contribute to you trusting an organization or not as it works through an issue/crisis?

Week 15
 	
4/22 – 4/28
	Final Project Due: Sunday, April 28, – NO LATER THAN 11:00 PM CST	**Final Project – 'Activate a Brand'**
		• Create a Content Marketing Plan – i.e., think about how you might effectively take your current organization or an organization you are familiar with and either create or enhance an organizational external content marketing strategy.
		• What does creation or enhancement of a content marketing strategy look like in terms of:
		  o Audience definition
		  o Brand identity, positioning, voice and tone
		  o Type of content
		  o Platform and channel delivery and distribution approaches
		• Who is delivering organizational messaging?
		  o How, when, to whom, why?
		• What does the resource allocation look like for executing your content marketing strategy – time, labor (skills, in-house vs. out-source), structure (who 'owns' content marketing within the organization)?

PADM 7721 Performance Measurement (3 credits)
Department of Public and Nonprofit Administration
Monday through Friday*, 5.30 to 8.30 pm, Manning 413
Summer 2017

John P. Topinka, Ph. D.
Office Hours: Monday, Tuesday and Thursday, 2 to 5 pm and by appointment
Office: 132 McCord
jptpinka@memphis.edu
Phone: 901-678-3365

Description
This course introduces students to performance measurement and management. Performance measurement is the tool used to collect evidence that an agency is doing what it is supposed to do—improving an individual, family, neighborhood, community, state or nation. Performance measurement traces its roots in this country back to the early 1900s, primarily in a number of larger cities as they, with outside influences, transformed themselves from political to professional management. Performance measurement became a standard feature at the federal state and local levels during the 1990s. In the non-profit sector, performance measurement became prominent during the 1990s as well, with the United Way leading the charge to focus more closely on outcomes with publication of its guide to performance in 1998.

Performance management, in its current iteration, is a more recent phenomenon, growing quickly after publication of *Reinventing Government* and *Banishing Bureaucracy* in 1992 and codification of strategic planning in federal law: The Government Performance and Results Act (GPRA) of 1993. GPRA required federal agencies to develop strategic plans, goals and performance measurement systems. This established the strategic planning framework for performance measurement, which is neatly summarized as "managing for results."

The strategic planning model encompasses a linear approach to performance management, including development of an agency's broad mission statement; more specific goals leading to achieving that mission; objectives that define quite specifically what is to be accomplished; and the items to be measured to evaluate progress towards achieving those objectives, goals and mission. Not all performance measurement is done within the strategic planning framework, however, but ultimately, performance measures are tied to specific goals and objectives if improved performance is desired.

*The class will meet Monday, Tuesday and Thursday. Wednesday and Friday work will be done via E-courseware (the Web).

Course Strategy
This course is intended for you to build your knowledge and practical experience in developing performance measures and understanding the context in which they are used. Therefore, the primary method for learning will be by doing. We will employ the traditional linear process to build performance measures for our organization or program of interest. After identifying a specific agency or program to use for the class, the process will begin with development of a logic model, a cause-effect framework first articulated by W. E. Demings in the late 1940s while consulting with industrialists in post-war Japan. It will proceed with identification of specific

performance measures and objectives, analysis of performance data, and benchmarking. Results of these exercises will lead to a performance measurement plan for the identified agency or program.

MPA Competencies
Public administration programs primarily prepare students for careers in public service. To this end the masters in public administration program broadly focuses on the following competencies so our students are prepared to:

- Lead and manage in public and nonprofit organizations
- Participate in and contribute to the public policy process
- Analyze, synthesize, think critically, solve problems, and make decisions
- Articulate and apply a public service perspective
- Communicate and interact productively with diverse and changing workforce and citizenship, clients and other stakeholders

Course Specific Objectives
The fundamental objective of this course is for you to create a performance measurement plan for an organization of special interest to you. In order to accomplish this, the following objectives build theoretical and practical knowledge leading to a workable product: the performance plan. When you finish this course, you should:

- Know some of the history of performance measurement
- Be able to use the common language of performance measurement, including understanding various kinds of performance measures
- Sharpen skills to design, implement and evaluate performance measurement systems
- Understand how to link performance measurement to other management systems such as strategic management, budgeting and financial management, and operations management
- Be familiar with using a variety of performance measures for different purposes, including management, benchmarking, process improvement and public communication
- Be able to create and communicate a performance measurement plan

Required Textbook
Hatry, Harry. 1999. *Performance Measurement: Getting Results*. Washington, DC: Urban Institute.

Other Useful Readings
Poister, Theodore. 2014. *Measuring Performance in Public and Nonprofit Organizations*. (2nd ed.). San Francisco: Jossey Bass. Recently updated broad as well as detailed look at measuring performance.

Morino, Mario. 2011. *Leap of Reason: Managing Outcomes in an Era of Scarcity*. Washington, DC: Venture Philanthropy Partners. Excellent for nonprofits.

Urban Institute. (2003). *Key Steps in Outcome Management*. (Series on outcome management for nonprofit organizations.)

Internet sites for Performance Measurement
Check out these sites for more information and data concerning performance measurement in public and nonprofit programs.

- http://icma.org/en/results/center_for_performance_measurement/home; this is the site where city and county governments participating in the International City/County Managers Association national project is located. Member cities and counties have more access to data and reports.
- http://www.mtas.tennessee.edu/public/web.nsf/Web/Benchmark; link to the Tennessee Institute of Public Service local government benchmarking reports.
- http://www.sog.unc.edu/programs/perfmeas; link to one of the best local government performance measurement projects for benchmarking municipal services.

Grades

Grades are based on points earned for each assessment item, as shown below. The total number of possible points is 100. Total points for course work and final letter grades are shown below.

Assessment Item	Points	Total Points and Final Letter Grades			
1. Logic model, mission, goals	30	97-100	A+	80-82	B-
2. Objectives, measures, benchmarking and analysis	30	94-96	A	77-79	C+
3. Implementation plan	30	90-93	A-	73-76	C
4. Presentation	4	87-89	B+	70-72	C-
5. Attendance	6	83-86	B	60-69	D
Total	100	80-82	B-	<60	F

Assessment Items

Your grade in this course depends on the quality and timeliness of work submitted for three items. Each is briefly explained. More details will be provided in class. The fourth assessment item is based on your plan presentation and finally, you will also receive points for attendance.

Logic Model, Mission and Goals. Using the organization, agency or program you selected, identify its key activities, inputs consumed, outputs created, and intermediate and final outcomes. Clearly identify the customers for the activities described. Create a graphic representation of the model using the framework provided in Hatry in Chapter 5 or in the Kellogg Foundation document. Write an explanation of the logic model, explaining it to your client organization. Remember your client has limited time to read, so keep the explanation relatively short. In addition, provide the mission statement for the organization linked to the activity in the logic model and key goals of the activity of the logic model. This sets the stage for identifying objectives and measures.

Objectives, Measures, Benchmarking and Analysis. Here you will determine the key objectives and performance measures for your agency or program including input, output, and interim and final outcomes. What you select depends on the purpose of your plan. If your audience is external stakeholders, your measures will likely be different than measures for monitoring internal operations or process improvement projects. You should use the logic model as your guide, but the final product will be different. It should indicate the source of the data, its form, how it will be collected, who will collect it, and how often it will be collected. These key measures, sometimes referred to as the vital few, should provide you information on your progress to achieving your objectives, goals and mission. In addition, you will need to explain what barriers exist that may prevent you from collecting your data.

Then, put your data into context by converting it to useful information. How will you convert the data? How will it be analyzed? Will you convert data to ratios, proportions, rates, or an index? Will you compare it to past results, creating a trend line? Will you benchmark it with other organizations or against a published standard? Can you use statistical tests such as correlation or regression?

Once you determine the nature of the information you will develop for each measure, you should address the following questions:

- What will the information tell us?
- To whom will it be important?
- When will it be analyzed?
- When will it be made available to key stakeholders for examination?
- How will the information assist them in making decisions?

With the core goals, objectives and measures work completed, you are ready to take your data on the road by comparing it with four to six other relevant organizations or programs. Examine these programs to determine which performance measures they are using to demonstrate program success. Report these measures and highlight differences that exist across the group. Which measures do you have in common? Which are unique? Compare and contrast the benchmark group measures with your key measures. Annual measures are best for comparison purposes. Select key measures that you will use for comparison with your program over time. Make sure all selected benchmark organizations have the same data measures as you have. Create a baseline comparison with most recent year's data. Write a brief report with your findings.

Implementation Plan. This is your report to your "client" on how it should do performance measurement. It is both an explanation of what to do and a method of how to do it. Length is governed by the amount of precise information you need to convey to your client and your understanding of the client's time limitation. Of course, you will incorporate previous work into the final product. So the final implementation plan will include our logic model, mission, goals and objectives and performance measures. It will identify benchmarking options, and it will lay out a plan of listing who will collect the data, how it will be reported and when it will be reported. This is your client's roadmap to successful implementation of a performance management system. You will also present this plan to the class in our final meeting.

Each written assignment is worth 30 points and will be evaluated based on the following rubrics.

Assigned Points, Letter Grades and Rubrics for Each Deliverable		
Points	Grade	Rubrics
28.2-30	A	Exposition is right on target; presentation is easily readable; presentation looks *professional*. This means your work would reflect the skills of a highly competent performance analyst.
24-28.1	B	Exposition is good but just a little off; presentation is a little difficult to understand, and presentation is just presentable. This means your work would reflect the skills of a

		competent performance analyst still learning the job.
21-23.9	**C**	Exposition barely meets the needs of reviewers; presentation is just barely understandable; presentation is barely professional. This means your work reflects the skills of an entry-level performance analyst just starting to work full-time in this arena.
18-20.9	D	Exposition does not meet the needs of reviewers; presentation is not understandable or professional. This means your work would reflect the skills of someone who knows little about this work in the performance measurement area.
>17.9	**F**	Failure to turn in assignment; Exposition is very poor and appearance is not even close to semi-professional. Oops, this means you are in the wrong profession. Practice, practice, practice.

Office Hours

Please feel free to schedule an appointment with me during office hours or on other days, should you have any questions or wish to discuss the course material. Office hours are as noted on the syllabus, and at other times, by appointment. If you ever need to contact me, do not hesitate to call; if I am not there, leave a message and I will get back to you as soon as possible. Emailing me is another way to reach me; this is probably the fastest way to contact me, since I always have my iPhone with me, but I am not always in my office.

Course Policies

Late Policy

All assignments are due the day listed on the syllabus in Drop Box. Unexcused late assignments will be accepted but grades may be affected. Keep in mind that we are pretending to work for a client (a paying client). Would you be late turning in a deliverable to that client? I think not.

MPA Student Handbook

You are responsible for following the policies in the MPA Student Handbook. You may find this document at: http://memphis.edu/padm/pdfs/Student Handbook.2008.pdf

Technological Skills

Students are expected to possess basic computer skills and proficiency using the Internet as well as the University's Learning Management System eCourseware.

Academic Dishonesty

Policies regarding incomplete grades, plagiarism and grievance procedures are available in the current University of Memphis Code of Student Rights and Responsibilities (found at www.people.memphis.edu/~jaffairs/csc/CSRR.pdf). As outlined in the UM Code of Student Rights and Responsibilities, "cheating" and "plagiarism" will result in severe disciplinary action on the part of the instructor. Either offense will be grounds for receiving an "F" on the assignment or examination and possibly and "F" for the course, depending on the severity of the offense.

Students with Disabilities

For an online course, you will want to make sure your browser, computer and peripherals meet Section 508 Standards.

The University encourages the full participation of students with disabilities. Students with disabilities are urged to contact the University Office of Student Disability Services and to meet individually with the instructor to discuss special accommodations that may be needed for successful participation in this course.

Plagiarism Policy Anyone caught plagiarizing will be disciplined according the Student Handbook regulations.

Policy on Sexual Misconduct and Domestic Violence
The University has a policy prohibiting sexual misconduct. The University has made every effort to formulate a comprehensive policy that provides students with information about the applicable definitions and the process. The policy contains definitions of sexual assault, dating violence, domestic violence and stalking as well as information regarding consent and reporting. The full policy can be read here: http://umwa.memphis.edu/umpolicies/UM1786.htm

Reporting Sexual Misconduct
There are several options available to a student who is a victim of sexual misconduct and who decides to report. In addition to bringing charges in criminal or civil court the complainant may also seek recourse through the university disciplinary process if the perpetrator is a student. A complaint can be filed directly with the following University offices:

Title IX Coordinator
Office for Institutional Equity
156 Administration Building
(901) 678-2713
http://www.memphis.edu/oie/

Associate Dean, Office of Student Conduct
Office of Student Conduct
359 University Center
(901) 678-2298 studentconduct@memphis.edu
http://www.memphis.edu/studentconduct/

University of Memphis Police Services
109 Zach Curlin St.
(901) 678-4357 police@memphis.edu
http://www.memphis.edu/police/index.php

Course Schedule
The following is a schedule for the class with readings and assignments. The schedule is subject to change at the discretion of the instructor.

PADM 7721 Performance Measurement for Public Service; **shaded areas are Web days**		
Week/Date	Readings in Hatry, journal articles, and other stuff.	Assignments Due Dates
Monday May 8	1 The Scope of Performance Measurement 2 What Types of Performance Information Should Be Tracked	
Tuesday May 9	3 What are the first steps? Logic Model Development Guide by the Kellogg Foundation (http://www.wkkf.org/resource-directory/resource/2006/02/wk-kellogg-foundation-logic-model-development-guide	
Wednesday May 10	**4 What Are the Program's Mission and Objectives?**	
Thursday May 11	5 What Outcomes Should Be 6 What Outcomes Indicators Should Be Tracked?	

Friday May 12	Development of Logic Model, Mission and Goals	**Logic Model and Mission and Goals Due date Sunday, May 14**
Monday May 15	7 What Methods of Data Gathering Should Be Used? Behn, Robert. 2007. *What All Mayors Would Like to Know about Baltimore's CitiStat Performance Strategy*. IBM Center for the Business of Government.	
Tuesday May 16	8 Making Outcome Information Useful: Providing Indicator Breakouts 9 Making Outcome Information Useful: Benchmarking	
Wednesday May 17	10 Analysis and Reporting of Performance Information	
Thursday May 18	11 Major Uses of Performance Information and Incentives for Using It	
Friday May 19	**de Lance Julnes, Patricia and Holzer, Mark. Promoting the utilization of performance measures in public organizations: An empirical study of factors affecting adoption and implementation. *Public Administration Review 61*(6): 693-708.**	**Objectives. Measures, Benchmarking and Analysis Due Sunday, May 21**
Monday May 22	12 Results-Based Budgeting Ammons, David N. and William C. Rivenbark. 2008. Factors influencing the use of performance data to improve municipal services: Evidence from the North Carolina benchmarking project. *Public Administration Review 68*:304-18.	
Tuesday May 23	13 Quality Control: Assessing the Accuracy and Usefulness of Performance Measures 14 Other Performance Measurement Issues	
Wednesday May 24	**15 A Wrap –up of Key Performance Measurement Elements**	
Thursday May 25	Final Presentations	Oral Reports
Friday May 26	Review of final reports (if needed)	Implementation Plan due Sunday, May 28

9. Capital Budget Requests for FY 2022

For Approval

Presented by Tony Poteet

The University of Memphis Board of Trustees

Recommendation

For Approval

Date: June 3, 2020

Recommendation: Capital Budget Request for Fiscal Year 2022

Presented by: Tony Poteet, Chief University Planning Officer

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.

Recommendation:
Motion to approve the Capital Budget Request for Fiscal Year 2022 as detailed in the meeting materials.

The University of Memphis

Capital Project Request Summary

PROPOSED for FY 2021-2022:

Capital Outlay: (New facilities or Major Renovations)

Current Request (to be funded without resubmittal for state scoring as soon as state capital funds are available):

STEM Research and Classroom Building - Construction of a new 65,000 square feet interdisciplinary STEM building that will include activity-based classrooms, faculty offices, laboratories and sponsored research centers. 17,000 square feet of existing space in the adjacent Engineering Building will be renovated to provide enhanced research and instruction space.

$ 32,911,000 state funds

$ 8,089,000 match funds

FY 2021-2022 Capital Outlay request:

Academic Classroom Replacement – This project will demolish Mitchell and Clement Hall and construct a new 115,000 square feet Academic Classroom facility to provide modern accommodations and teaching functions for core campus classes.

$ 45,900,000 state funds

$ 5,100,000 match funds

Capital Maintenance (Deficiency corrections to Buildings and Site)

Phase 3 Building Interiors - Complete interior repairs to include classrooms, labs, floor finish replacement, door and hardware upgrades, ceiling replacements, etc.   Buildings in this project include older academic facilities, Psychology, Life Sciences, Chemistry, Ball, Field House, FEC.

$ 5,000,000

Building Envelope Repairs: Chemistry exit stair rebuilding and reinforce roof structure as well as other exterior issues. Replace windows in academic facilities including Clement, Robison, Hayden, Johnson and the Field House, International Center.   Other buildings will be included as funding permits.

$3,000,000

HVAC Controls Replacement: Replace control systems in various buildings**.** Upgrade lab fume hood systems with sensors, supervisory controller, HVAC interface, air quality monitoring and reporting. Current systems are obsolete.

$2,000,000

HVAC Repairs and Replacements: Repair hvac systems and replace major components including, cooling towers, air handlers, pump set, chillers, the buildings include multiple academic facilities.

$4,000,000

Roof Replacements: Replace roofs on several buildings including Old Brister, Smith Chemistry, Wilder.

$3,000,000

Wilder Tower Repairs Replace selected windows, exterior plaster soffits, and selected HVAC components including air handlers, pumps, and controls.

$2,500,000

Lambuth Various Maintenance: Correct maintenance items in education and general buildings.

$2,500,000

HVAC System Replacements: Fieldhouse and B and E systems are obsolete, replace HVAC systems.

$5,000,000

Campus Lighting Replacement: Replace interior classroom and exterior park campus lighting with LED.

$2,500,000

Building Code and Safety Repair - Repair and modernization of elevators, fire alarms, generators, and major electrical components on several academic facilities.

$2,000,000

Disclosures

None currently. University has ability to submit quarterly for projects less than $ 500,000 and can submit for late disclosure in February for non-bonded projects if necessary.

Capital Budget Request 2021-2022

Tony Poteet
Chief University Planning Officer

June 3, 2020

UofM Board of Trustees

JUNE 2020

Capital Budget Request 2021-2022

- Capital Outlay
- Capital Maintenance
- Disclosures

Due to THEC August 3, 2020

Funded 2020-2021

Project	Funding
Building Code and Safety	$3,000,000
Central Chillers and CFA	$5,000,000
Multiple Buildings Interiors 2	$2,000,000
Boiler Installations 2	$2,500,000
	$ 12,500,000

Capital Budget Funding

- Outlay projects are scored based on relation to state goals, Drive to 55, campus strategic and master plan, space needs, external funding (10% minimum match).
- Capital Maintenance is distributed by a formula - 12.3% to UofM based on amount and age of space

Capital Outlay Projects
(New Facilities or Major Renovations)

Capital Outlay

STEM Research and Classroom Building

- Current Request (to be funded without resubmittal for state scoring as soon as state capital funds are available)
- Construction of a new 65,000 square feet interdisciplinary STEM building that will include activity-based classrooms, faculty offices, laboratories and sponsored research centers
- 17,000 square feet of existing space in the adjacent Engineering Building will be renovated to provide enhanced research and instruction space

$ 32,911,000 state funds
$ 8,089,000 match funds

Academic Classroom Replacement

This project will demolish Mitchell and Clement Hall and construct a new 115,000 square feet Academic Classroom facility to provide modern accommodations and teaching functions for core campus classes.

$ 45,900,000 state funds
$ 5,100,000 match funds

Mitchell Hall 1963

Clement Hall 1966

Capital Maintenance
(Deficiency Corrections to Buildings and Site)

Capital Maintenance

1. **Phase 3 Building Interiors -** Complete interior repairs to include classrooms, labs, floor finish replacement, door and hardware upgrades, ceiling replacements, etc. Buildings in this project include older academic facilities: Psychology, Life Sciences, Chemistry, Ball, Field House, FEC.
   $ 5,000,000

2. **Building Envelope Repairs**: Chemistry exit stair rebuilding and reinforce roof structure as well as other exterior issues. Replace windows in academic facilities including Robison, Hayden, Johnson and the Field House, International Center. Other buildings will be included as funding permits.
   $3,000,000

3. **HVAC Controls Replacement**: Replace control systems in various buildings**.** Upgrade lab fume hood systems with sensors, supervisory controller, HVAC interface, air quality monitoring and reporting. Current systems are obsolete.
   $2,000,000

4. **HVAC Repairs and Replacements**: Repair HVAC systems and replace major components including, cooling towers, air handlers, pump set, chillers, the buildings include multiple academic facilities.
   $4,000,000

Capital Maintenance

5. **Roof Replacements**: Replace roofs on several buildings including Old Brister, Smith Chemistry, Wilder.
   $3,000,000

6. **Wilder Tower Repair:** Replace selected windows, exterior plaster soffits, and selected HVAC components including air handlers, pumps, and controls.
   $2,500,000

7. **Lambuth Various Maintenance**: Correct maintenance items in education and general buildings.
   $2,500,000

8. **HVAC System Replacements:** Fieldhouse and B and E systems are obsolete, replace HVAC systems.
   $5,000,000

9. **Campus Lighting Replacement:** Replace interior classroom and exterior park campus lighting with LED.
   $2,500,000

10. **Building Code and Safety Repair -** Repair and modernization of elevators, fire alarms, generators, and major electrical components on several academic facilities.
   $2,000,000

Disclosure Projects
(Campus Funded or Bond Funds)

Disclosure Projects

No new projects to disclose currently.

University has ability to submit quarterly for projects less than $500,000 and can submit for late disclosure in February for non-bonded projects if necessary.

2021-2022 Capital Request Summary

Capital Outlay	Total Cost	
• STEM Research and Classroom Building	$32,911,000	$ 8,089,000 match

Capital Maintenance ($20.5 million priority items)

• Phase 3 Building Interiors	$5,000,000
• Building Envelope Repairs	$3,000,000
• HVAC Controls Replacement	$2,000,000
• HVAC Repairs and Replacements	$2,500,000
• Roof Replacements	$3,000,000
• Wilder Towers Repairs	$2,500,000
• Lambuth Various Maintenance	$2,500,000

Questions?

10. Final Operation Budget for Fiscal Year 2020 and Proposed Operating Budget for Fiscal Year 2021

For Approval

Presented by Raajkumar Kurapati

The University of Memphis Board of Trustees

Recommendation

For Approval

Date: June 3, 2020

Recommendation: Final Operating Budget for Fiscal Year 2020 and Proposed Operating Budget for Fiscal Year 2021

Presented by: Raaj Kurapati, Executive Vice President & Chief Financial Officer

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 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 FY2020-21 Proposed budget and FY2019-20 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. The *Proposed Budget* is submitted to the Board for approval prior to the start of the subsequent fiscal year.

The final budget submitted for each fiscal year is the *Estimated Budget.* This budget includes carryforward balances from prior years 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. 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.

As part of the upcoming budget cycle, and through our continued commitment to access and affordability initiatives, we are proposing a restructure of the UofM Global tuition rate. Currently, there is no credit hour cap on tuition assessed to both undergraduate and graduate UofM Global students. To stay competitive with peer institutions and continue to expand our UofM Global program, we are proposing a cap on UofM Global tuition rates for TN residents.

Recommendation:
Motion to approve the FY2019-20 Estimated Budget and the FY2020-21 Proposed Budget and assumptions presented in the meeting materials, recognizing that these will likely be impacted by actions taken by the State in June; and approve the UofM Global undergraduate and graduate tuition credit hour caps for TN residents as presented in the meeting materials.

FY2020-21 Proposed Budget

and

FY2019-20 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 FY21 Proposed Budget was prepared with the following assumptions:

- State Appropriations as recommended in the Governor's Budget in March
- Zero % tuition increase
- Flat enrollment based on FY2020 enrollment levels
- 1.5% salary pool & benefit increases distributed by function and classification in the general orgs for distribution once approved
- Cutoff for any budget changes for this submission was April 10, 2020

The University of Memphis FY2021 proposed budget revenues total $550.7M. This total reflects revenue increases of $20.5M from the FY2020 proposed budget approved June 2019.

FY2021 v FY20 Proposed Budget Total Revenues by Fund Type
($ Millions)

Fund Type	2020	2021	Variance $	Variance %
Educational & General (E&G)	$ 388.3	$ 401.3	$ 12.9	3.3%
Auxiliary Units	26.2	33.1	7.0	26.6%
Total Unrestricted	$ 414.5	$ 434.4	$ 19.9	4.8%
Restricted (Gifts, Grants, and Contracts)	115.7	116.3	0.6	0.5%
Total Unrestricted and Restricted	$ 530.2	$ 550.7	$ 20.5	3.9%

Unrestricted E&G Revenues

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, student fees, state appropriations, and other sources including gifts, grants/contracts, sales and services, and other miscellaneous revenues.

The E&G revenue increases From FY20 Proposed Budget to FY21 Proposed Budget is a result of:

$3.3M FY20 Tuition and Fees restructures
$6.6M Proposed FY21 State appropriation increase
$1.8M Increases Private Gifts & Campus Schools contracts
$ .5M Increase in Investment Income from additional investment strategies
$ .8M Athletic Revenues

Auxiliaries & Restricted

Auxiliaries are self-supporting enterprises, which furnish services to students, faculty, and staff such as housing, bookstore, parking and food services. The increase in the auxiliary revenue budget reflects the new Dining services contract and revised reporting for Meal Plans and Tiger Eats.

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 an increase anticipated in grant & contract activities.

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 FY2020 estimated operating budget reflects changes that have occurred since the revised budget was finalized in the fall. Estimated total revenues are $556.4M, a 1.8% increase over the revised budget.

FY20 Revised v Estimated Budget Total Revenues by Fund Type
($ Millions)

			Variance	
Fund Type	**Revised**	**Estimated**	**$**	**%**
Educational & General (E&G)	$ 395.3	$ 405.6	$ 10.2	2.6%
Auxiliary Units	34.4	34.4	(0.0)	0.0%
Total Unrestricted	$ 429.7	$ 440.0	$ 10.2	2.4%
Restricted (Gifts, Grants, and Contracts)	116.7	116.5	(0.2)	-0.2%
Total Unrestricted and Restricted	$ 546.4	$ 556.4	$ 10.0	1.8%

Educational and General (E&G) revenue increases are primarily a result of Spring enrollment increases, one-time activities in Conference & Institutes, Campus Internship Programs, UofM Foundation support provided to campus departments. There was no change in auxiliary revenues and restricted revenues were adjusted to reflect actuals awards.

Proposed 2020-21 Operating Budget

University of Memphis
FY20 & FY21 Proposed Revenue & Expenditure Budget

	Proposed FY 2020	Proposed FY 2021	Variance	
Revenues				
Educational & General				
Tuition and Fees	$ 203,288,600	$ 206,574,700	$ 3,286,100	1.6%
State Appropriations	123,023,000	129,634,500	6,611,500	5.4%
Unrestricted Grants, Contracts, & Gifts	24,509,600	26,224,000	1,714,400	7.0%
Sales and Services	34,741,200	35,569,500	828,300	2.4%
Other	2,784,000	3,284,000	500,000	18.0%
Total Educational & General	388,346,400	401,286,700	12,940,300	3.3%
Auxiliary	26,169,500	33,138,700	$ 6,969,200	26.6%
Restricted	115,729,400	116,304,400	575,000	0.5%
Total Revenues	$ 530,245,300	$ 550,729,800	$ 20,484,500	3.9%
Expenditures				
Educational & General				
Instruction	$ 166,472,700	$ 170,863,400	$ 4,390,700	2.6%
Research	18,643,800	21,486,800	2,843,000	15.2%
Public Services	5,364,500	5,240,300	(124,200)	-2.3%
Academic Support	34,300,900	36,058,900	1,758,000	5.1%
Student Services	52,747,400	55,176,500	2,429,100	4.6%
Institutional Support	30,913,900	31,170,100	256,200	0.8%
Operation & Maintenance	37,454,100	38,342,300	888,200	2.4%
Scholarships & Fellowships	29,405,800	29,305,400	(100,400)	-0.3%
Transfers	13,043,300	13,643,000	599,700	4.6%
Total Educational & General	388,346,400	401,286,700	12,940,300	3.3%
Auxiliary	26,169,500	33,138,700	$ 6,969,200	26.6%
Restricted	115,729,400	116,304,400	575,000	0.5%
Total Expenditures and Transfers	$ 530,245,300	$ 550,729,800	$ 20,484,500	3.9%

University of Memphis
Variance Recap of FY20 & FY21 Proposed Revenue & Expenditure Budget

Revenue Change from FY20 Proposed to FY21 Proposed Budget

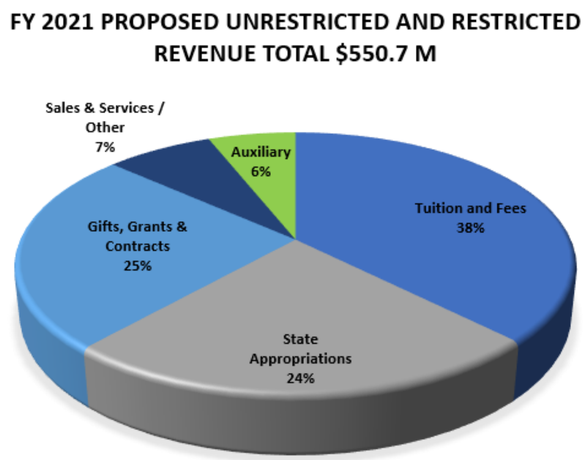
Tuition and Fees	$ 3,286,100	Increase is net of our tuition and fee restructures, Out of State rate reductions & GA OOS tuition revenues
State Appropriations	6,611,500	Increase is primarily related to increase in Formula outcomes funding and increases for Health Insurance, OPEB and retirement rate changes
Unrestricted Gifts & Grants/Contracts	1,714,400	Increases in both UoM Middle School and UoM Elementary School agreements and various unrestricted gifts.
Sales and Services	828,300	Increase is due to Lipman School enrollment increase and Athletic licensing agreements
Other	500,000	Investment income increased from additional investment strategies
Auxiliary	6,969,200	Change in methodology of recording Dining Dollars to Tiger Eats & shifting Meal Plan revenues from Residence life to Dining operations
Restricted Grants and Contracts	575,000	Adjusted revenues to reflect anticipated increases in grants/restricted activity.
Total Revenue Change	**$ 20,484,500**	

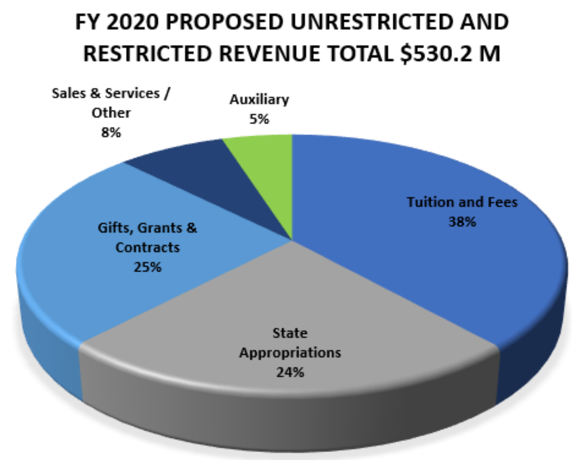
Expenditure Change from FY20 Proposed to FY21 Proposed Budget

Instruction	$ 4,390,700	Net impact of planned 1.5% Salary Pool, new faculty positions, Limited positions converted to base and new GA OOS Scholarships
Research	2,843,000	Distribution of the 1.5% Salary Pool & benefit increases and new GA OOS Scholarships
Public Service	(124,200)	Net of distribution of the 1.5% Salary Pool & benefit increases, new GA OOS Scholarships and reclassification of Faculty positions to Research
Academic Support	1,758,000	Distribution of the 1.5% Salary Pool & benefit increases, new GA OOS Scholarships, expansion of Middle School operations, addition of Kindergarten classes, and additional classes in Lipman School
Student Services	2,429,100	Distribution of the 1.5% Salary Pool & benefit increases, new GA OOS Scholarships, FY20 budget allocations and operational increases in Athletics due to increases in season tickets and licensing revenue
Institutional Support	256,200	Distribution of the 1.5% Salary Pool and benefit increases
Operation & Maintenance	888,200	Distribution of the 1.5% Salary Pool & benefit increases, and budget allocations for utilities and maintenance .
Scholarships and Fellowships	(100,400)	Net of Academic Scholarship increases and reduction of Out of State scholarships due to the OOS rate reductions
Transfers	599,700	Increase in transfers due to additional investment income set up in a reserve account.
Auxiliary	6,969,200	Change in methodology of recording Dining Dollars to Tiger Eats & shifting Meal Plan revenues from Residence life to Dining operations
Restricted Grants and Contracts	575,000	Adjusted FY21 to reflect anticipated increases in grants/restricted activity.
Total Expenditure Change	**$ 20,484,500**	

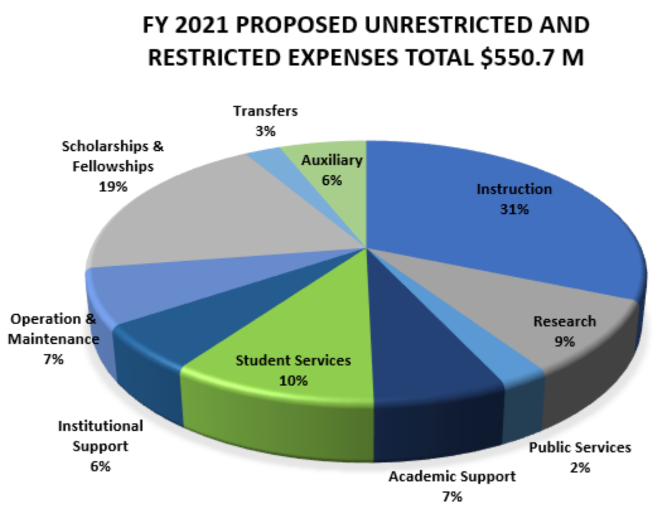
FY21 Proposed budget was based on the March Governor's budget which included 1.5% salary pool and additional operational formula funds and may need to be revised after the State Legislature convenes in June 2020 regarding recent events

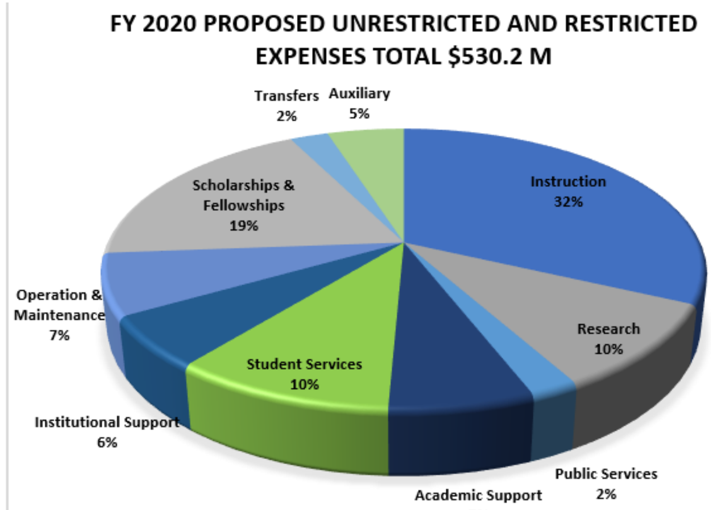
The FY21 Proposed Budget is balanced and within available resources.





Expenditures are budgeted across the eight functional areas shown in the two charts below. Spending by function remains consistent from prior year.





* Athletics is included in Student Services function

Estimated (Final)
2019-20
Operating Budget

University of Memphis
Revised FY20 & Estimated FY20 Revenue & Expenditure Budget

	Revised FY 2020	Estimated FY 2020	Variance	
Revenues				
Educational & General				
Tuition and Fees	$ 206,499,500	$ 208,440,500	$ 1,941,000	0.9%
State Appropriations	123,305,700	123,305,700	-	0.0%
Unrestricted Grants, Contracts, & Gifts	25,927,079	28,481,699	2,554,620	9.9%
Sales and Services	36,826,845	41,642,804	4,815,959	13.1%
Other	2,784,000	3,709,000	925,000	33.2%
Total Educational & General	395,343,124	405,579,703	10,236,579	2.6%
Auxiliary	34,385,800	34,376,600	(9,200)	0.0%
Restricted	116,718,100	116,482,000	(236,100)	-0.2%
Total Revenues	$ 546,447,024	$ 556,438,303	$ 9,991,279	1.8%
Expenditures*				
Educational & General				
Instruction	$ 177,249,600	$ 167,520,100	$ (9,729,500)	-5.5%
Research	45,793,600	51,963,800	6,170,200	13.5%
Public Services	7,506,600	8,020,000	513,400	6.8%
Academic Support	36,791,400	36,931,300	139,900	0.4%
Student Services	62,704,600	68,465,200	5,760,600	9.2%
Institutional Support	32,337,900	32,629,200	291,300	0.9%
Operation & Maintenance	39,618,200	37,683,000	(1,935,200)	-4.9%
Scholarships & Fellowships	30,800,200	33,032,900	2,232,700	7.2%
Transfers	(14,116,600)	(11,257,300)	2,859,300	-20.3%
Total Educational & General	418,685,500	424,988,200	6,302,700	1.5%
Auxiliary	35,285,800	39,676,600	$ 4,390,800	12.4%
Restricted	116,718,100	116,482,000	(236,100)	-0.2%
Total Expenditures and Transfers	$ 570,689,400	$ 581,146,800	$ 10,457,400	1.8%

*The Revised Expenditure Budget includes all unrestrcited resources available including current year revenues as well as one-time activities and resources available from prior year operations.

University of Memphis

Variance Recap of **FY20 Revised** & **FY20 Estimated** Revenue & Expenditure Budget

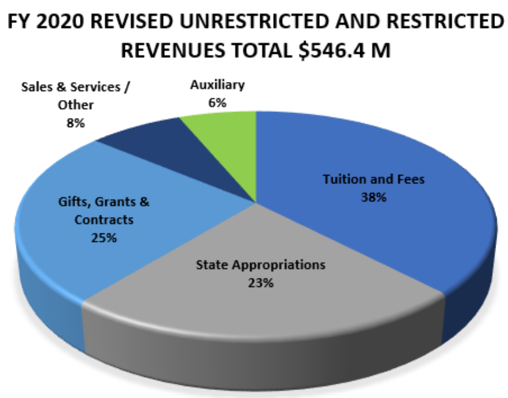
Revenue Change from FY20 Revised to FY20 Estimated Budget (see Revenue recap for detail)

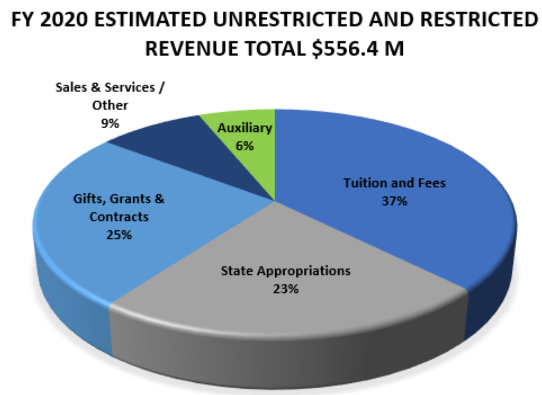
Tuition and Fees	$ 1,941,000	Increase due to Spring OOS enrollment increases and USF fee restructure
State Appropriations	-	No Change
Unrestricted Gifts & Grants/Contracts	2,554,620	UM Foundation support to campus departments operations and employee awards, Residual Balances on Fixed Fee Awards, and CSD Partnership with Le Bonheur.
Sales and Services	4,815,959	Increase is primarily due to Athletics Football Cotton Bowl and AAC conference championship game revenues as well as increases to Conference and Institute activities
Other	925,000	Increase to our Investment Income revenue
Auxiliary	(9,200)	Slight adjustment to Auxiliary revenues
Restricted Grants and Contracts	(236,100)	Adjusted revenues based on year to date actuals
Total Revenue Change	**$ 9,991,279**	

Expenditure Change from FY20 Revised to FY20 Estimated Budget

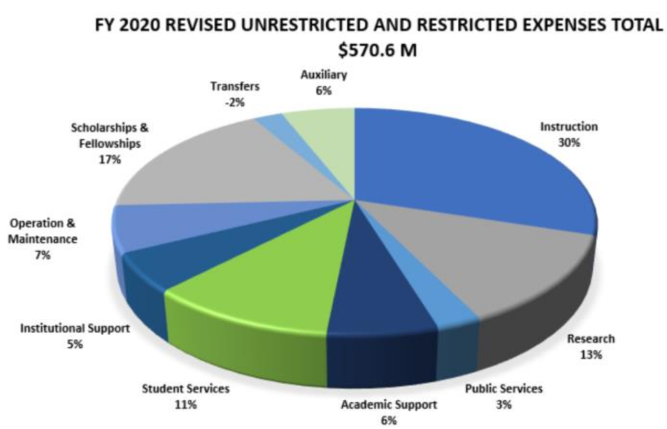
Instruction	$ (9,729,500)	Net of Budget allocations distributed after October Budget; Salary lapse, Faculty salary splits to grants & research, UM Foundation support for departmental operations & benefit reallocations based on staffing levels
Research	6,170,200	Faculty salary splits from instruction, one-time cost shares / startup funds, allocated funds for Carnegie R1 initiatives, UM Foundation support for departmental operations and benefit reallocations based on staffing levels
Public Service	513,400	Net of budget allocations processed after October budget, salary lapse, Conference & Institute activities and benefit reallocations based on staffing levels
Academic Support	139,900	Net of budget allocations processed after October budget, salary lapse, UM Foundation support for departmental operations and benefit reallocations based on staffing levels
Student Services	5,760,600	Increased operational costs for Cotton Bowl, AAC Championship game, budget allocations processed after the October budget, UM Foundation support for departmental operations and benefit reallocations based on staffing levels
Institutional Support	291,300	Net of budget allocations processed after October budget, salary lapse and benefit reallocations based on staffing levels
Operation & Maintenance	(1,935,200)	Transfer Utility Savings to Plant funds for Performance Contract Debt and Utility Fluctuation / Energy Conservation, & various plant fund projects.
Scholarships and Fellowships	2,232,700	Adjusted to projected award levels.
Transfers	2,859,300	Additional transfer to a reserve account for future initiatives from increases in investment income and various plant fund projects.
Auxiliary	4,390,800	Utilized prior year Aux fund balances for various campus projects
Restricted Grants and Contracts	(236,100)	Adjusted expenses based on year to date actuals
Total Expenditure Change	**$ 10,457,400**	

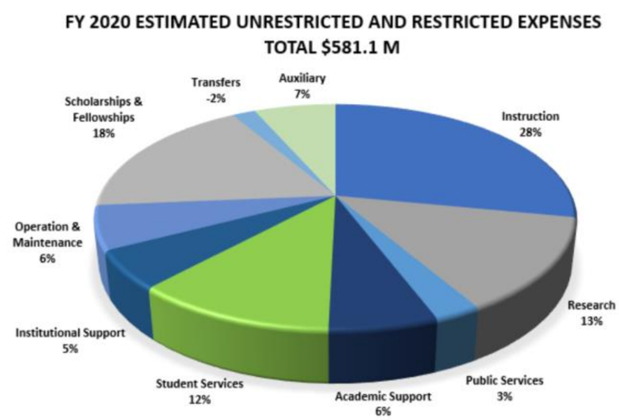
The FY20 Estimated budgets are within available resources and comply with all applicable policies and guidelines. This budget includes all funds available including current year revenues as well as one-time activities and resources available from prior year operations. Although these funds are available, we do not anticipate that all resources will be spent in the current fiscal year.





In the Estimated budget, spending by function remains consistent with the main differences being an increase in Scholarships and a reclassification of Graduate Assistant expenses from Instruction to Research.





* Athletics is included in Student Services function

Final Operating Budget for Fiscal Year 2020 and Proposed Operating Budget for Fiscal Year 2021

Raaj Kurapati
Executive Vice President & Chief Financial Officer

June 3, 2020
University Center

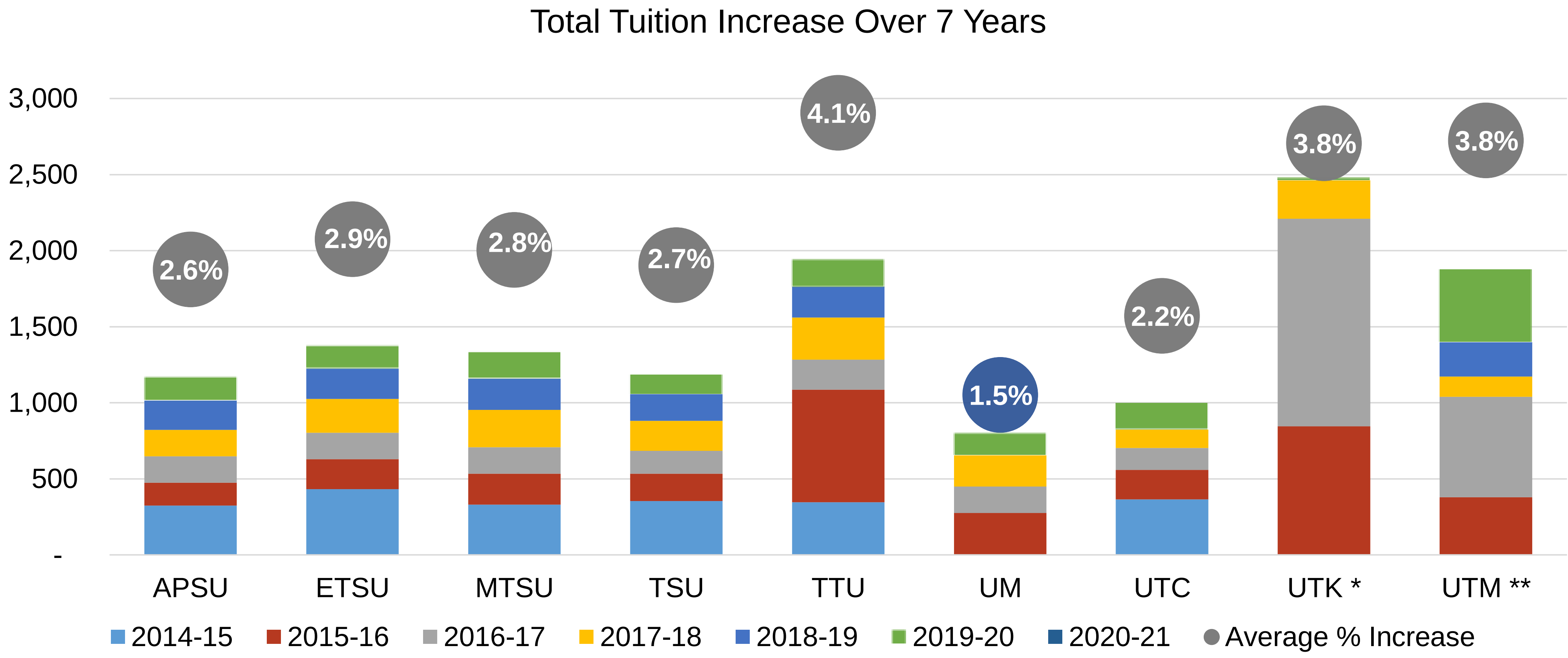
Board of Trustees

JUNE 2020

UofM's Commitment to Affordability and Accessibility

THE UNIVERSITY OF MEMPHIS | Board of Trustees

Lowest Statewide average tuition increase of 1.5% over the last 7 years



UofM's Commitment to Affordability and Accessibility

THE UNIVERSITY OF MEMPHIS | Board of Trustees

Steps UofM has taken to keep tuition and fees as low as possible for students:

- Implementation of a guaranteed tuition plan.
- Setting a tuition cap for Tennessee residents. For undergraduates who take more than 12 hours, additional credits are free. For graduate students who take more than 10 hours, additional credits are free.
- Establishment of uniform tuition rates for online and on-campus courses.
- Simplification of the student fee structure to reduce and then eliminate the online course fee over the next couple of years, and move to a standard per credit hour structure applicable to all courses. (3 year phase-in)
- Adjusting rates for non-resident and international students to enhance enrollment.

Proposed Tuition Cap - UofM Global TN Resident students

THE UNIVERSITY OF MEMPHIS | Board of Trustees

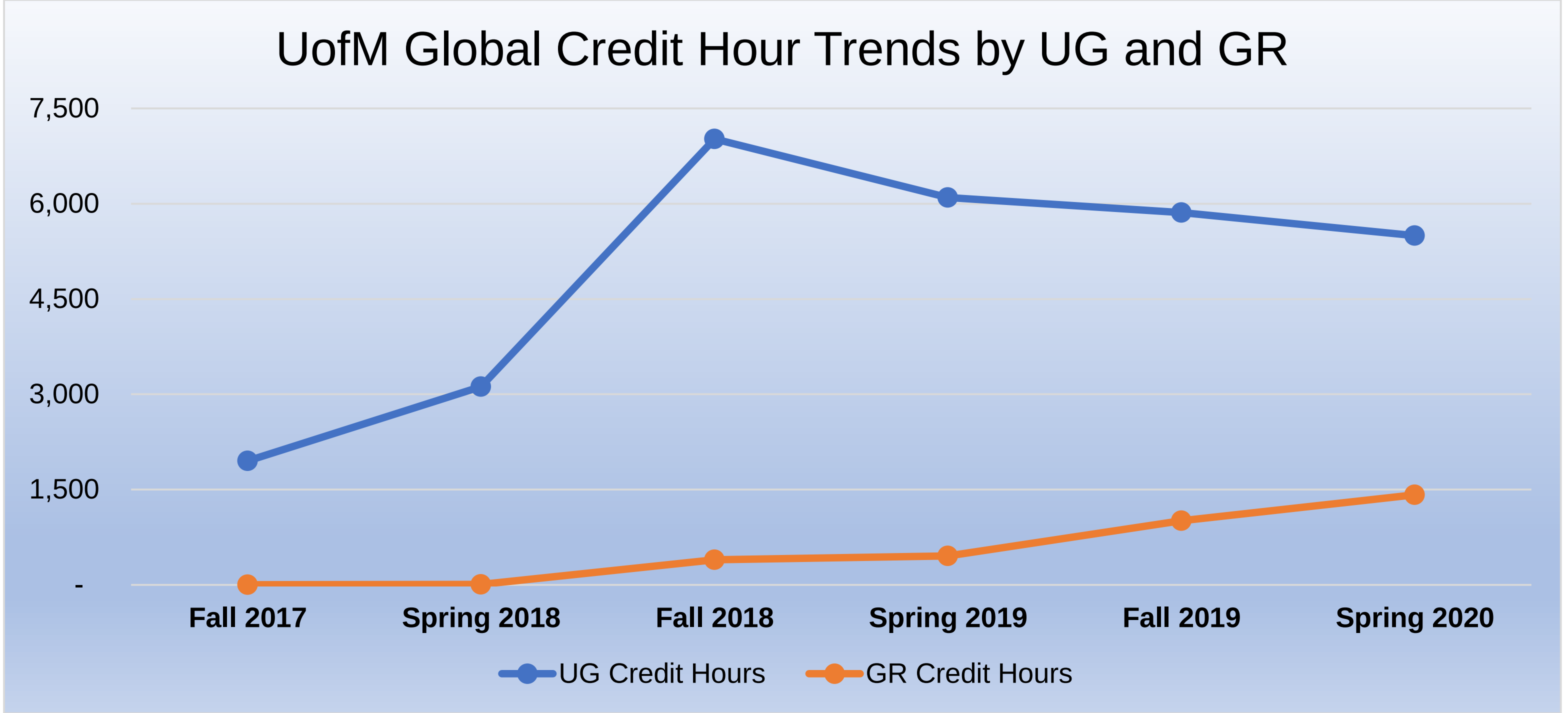
- Cap tuition rates for resident UofM Global students to expand our online programs to students who wish to pursue higher education online

- Align UofM Global tuition equal to on-campus tuition and mandatory fees for Tennessee resident students which currently cap at 12hrs for UG and 10hrs for GR

- Stay competitive with peers' in-state tuition rates

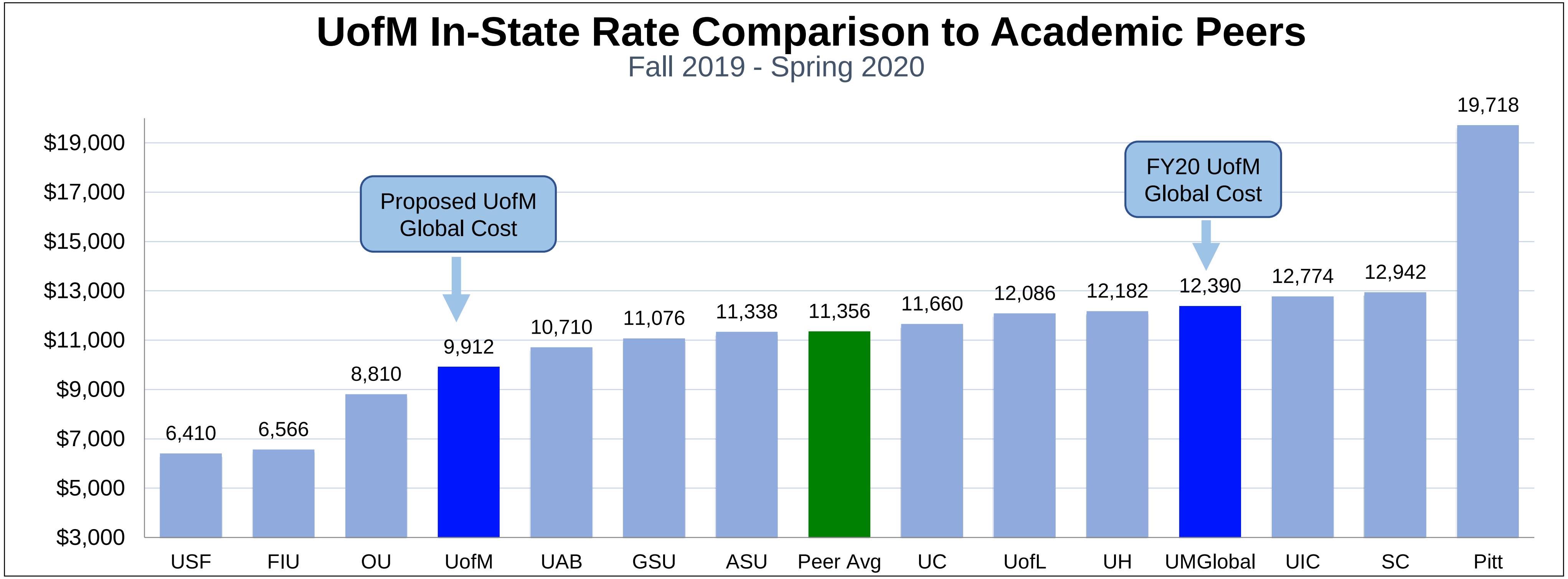
- Course delivery is being reshaped by Covid-19 pandemic; demand for online course delivery is expected to grow

UofM Global Enrollment



	Fall 2017	Spring 2018	Fall 2018	Spring 2019	Fall 2019	Spring 2020
UG Credit Hours	1,950	3,121	7,019	6,097	5,863	5,500
GR Credit Hours	-	6	392	455	1,010	1,415
Total Hours	1,950	3,127	7,411	6,552	6,873	6,915

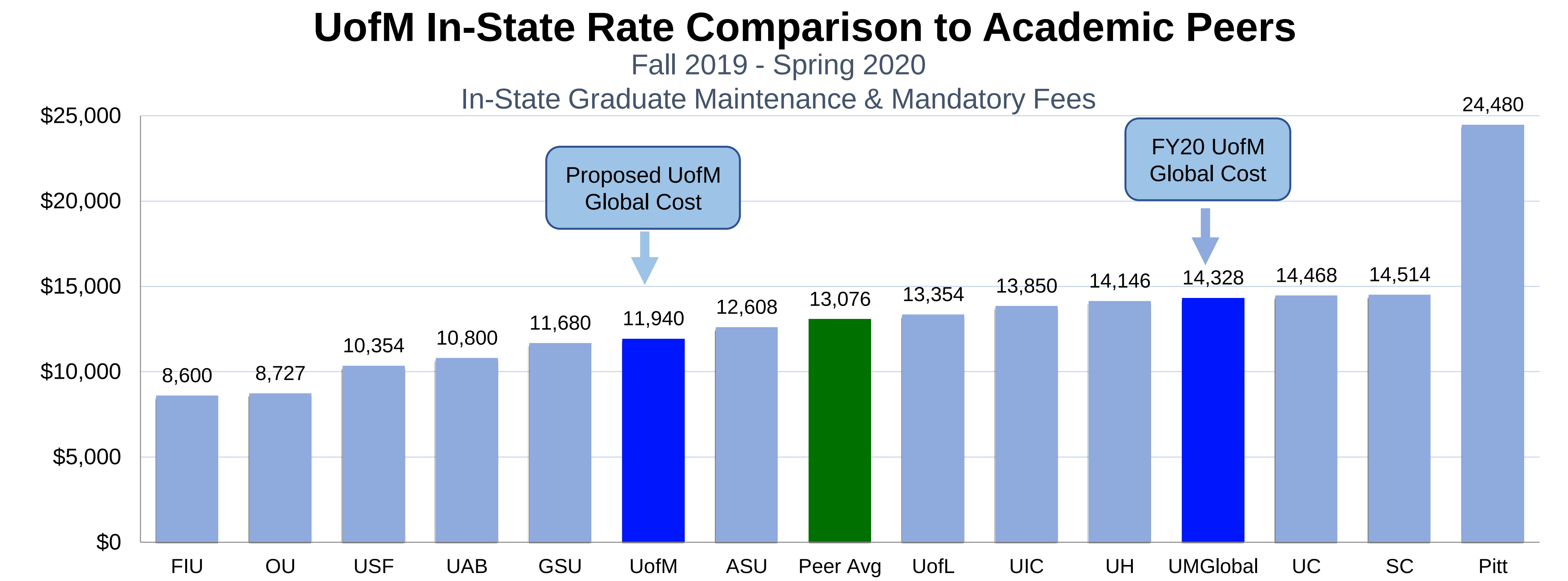
Peer Comparisons - Undergraduate



USF - University of South Florida
FIU - Florida International University
OU - University of Oklahoma Norman Campus
UofM - University of Memphis
UAB - University of Alabama at Birmingham
GSU - Georgia State University
ASU - Arizona State University
Peer Avg - Peer Average
UC - University of Cincinnati
UofL - University of Louisville
UH - University of Houston - University Park
UMGlobal - University of Memphis Global
UIC - University of Illinois at Chicago
SC - University of South Carolina - Columbia
Pitt - University of Pittsburgh

* Based on 30 credit hours annually

Peer Comparisons - Graduate



USF - University of South Florida	GSU - Georgia State University	UH - University of Houston - University Park
FIU - Florida International University	ASU - Arizona State University	UMGlobal - University of Memphis Global
OU - University of Oklahoma Norman Campus	Peer Avg - Peer Average	UIC - University of Illinois at Chicago
UofM - University of Memphis	UC - University of Cincinnati	SC - University of South Carolina - Columbia
UAB - University of Alabama at Birmingham	UofL - University of Louisville	Pitt - University of Pittsburgh

* Based on 24 credit hours annually

Tuition Cap - UofM Global TN Resident students

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Financial Impact:

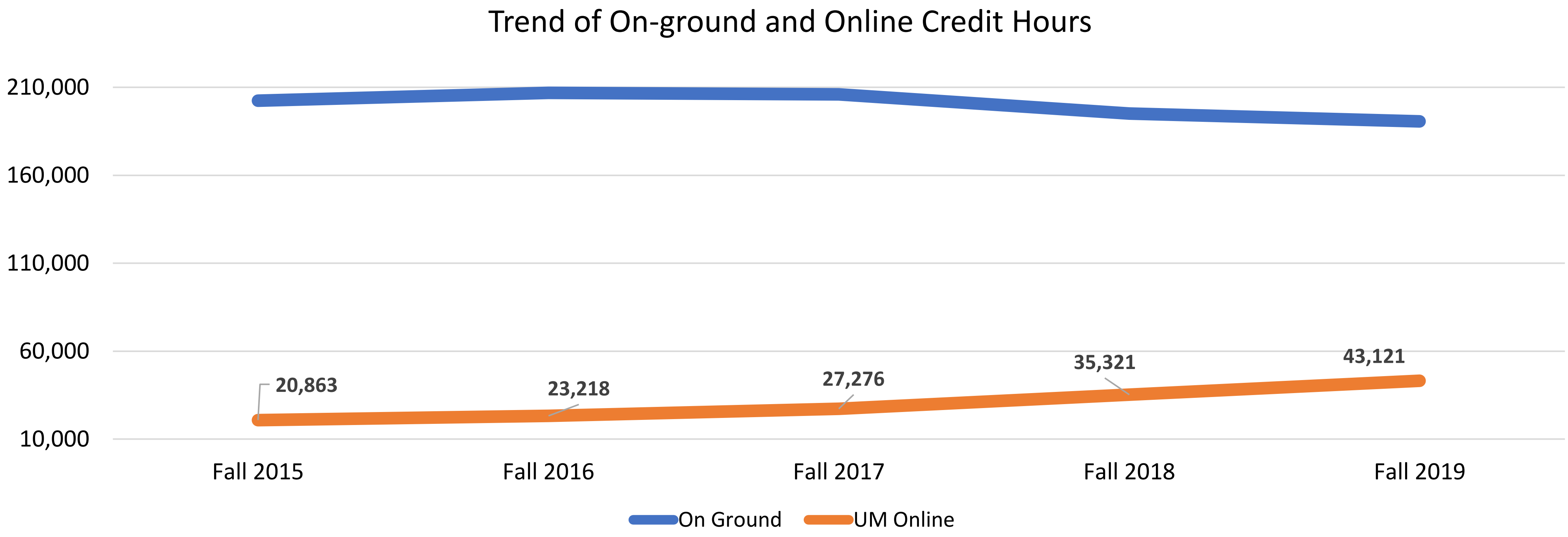
- Reduced revenues of $290,000
- Recoup this revenue with an estimated 6.6% increase in undergraduate credit hours

Recommendation:

- Set tuition cap on Undergraduate credit hours at 12 credit hours per semester to be in-line with the on-campus tuition structure
- Set tuition cap on Graduate credit hours at 10 credit hours per semester to be in-line with the on-campus tuition structure

Online Credit Hour Trends

- Historic trend of increasing online credit hours and decreasing on-ground credit hours reinforces need to continue reducing and eliminating the Online Course Fee to Zero
- Further normalizing the fee structure for all modalities simplifies the structure and eliminates duplicate fees
- Demand for online course delivery has grown 86% over the last 3 years



USF and Online Fee (3 year phase-in)

During the June 2019 Board of Trustees meeting, approval was given to restructure the Program Service Fee and Online Course Fee to create a University Services Fee.

- **Phase 1 of USF and Online Fee restructure: implemented in fiscal year 2020**
    - Was a three year phase-in to reduce online fees and utilize tuition/fee increases to offset revenue losses
    - FY20 Fee Increase of 1.79%
    - Set USF rates:
        - UG per credit hour - $71
        - GR per credit hour - $85
        - LAW per credit hour - $68
    - Reduced Online Fee rate from $100 per credit hour to $50 per credit hour
- **Phase 2 of USF for FY2021 considering two options (to be driven by Fall return to traditional instruction):**
    - Option 1 of USF and Online Fee restructure
        - No increase to USF at any student grade level
        - Set Online Fee rate to $25 per credit hour for all student grade levels
    - Option 2 of USF and Online Fee restructure
        - No increase to USF at any student grade level
        - Set Online Fee rate to $0.00 per credit hour for all student grade levels

Annual Budget Approval Cycle

1) **Proposed Budget – May/June**

2) Revised Budget – Nov/Dec

3) **Final Estimated Budget – May/June**

FY21 Proposed Budget

FY21 Proposed Budget

THE UNIVERSITY OF MEMPHIS | Board of Trustees

The FY21 Proposed budget was developed with the following assumptions:

- State Appropriations as recommended in the Governor's Budget
- 0% tuition increase
- Flat enrollment based on FY20 enrollment levels
- 1.5% salary pool & associated benefit increases

FY21 Proposed budget is a best case scenario and was based on the March Governor's budget which included 1.5% salary pool and additional operational formula funds and may need to be revised after the State Legislature convenes in June 2020 regarding recent events

Proposed (Recurring) Budget Comparison

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	Proposed FY 2020	Proposed FY 2021	Variance	
Revenues				
Educational & General				
Tuition and Fees	$ 203,288,600	$ 206,574,700	$ 3,286,100	1.6%
State Appropriations	123,023,000	129,634,500	6,611,500	5.4%
Unrestricted Grants, Contracts, & Gifts	24,509,600	26,224,000	1,714,400	7.0%
Sales and Services	34,741,200	35,569,500	828,300	2.4%
Other	2,784,000	3,284,000	500,000	18.0%
Total Educational & General	388,346,400	401,286,700	12,940,300	3.3%
Auxiliary	26,169,500	33,138,700	$ 6,969,200	26.6%
Restricted	115,729,400	116,304,400	575,000	0.5%
Total Revenues	$ 530,245,300	$ 550,729,800	$ 20,484,500	3.9%

Proposed (Recurring) Budget Comparison

Expenditures	Proposed FY 2020	Proposed FY 2021	Variance	
Educational & General				
Instruction	$ 166,472,700	$ 170,863,400	$ 4,390,700	2.6%
Research	18,643,800	21,486,800	2,843,000	15.2%
Public Services	5,364,500	5,240,300	(124,200)	-2.3%
Academic Support	34,300,900	36,058,900	1,758,000	5.1%
Student Services	52,747,400	55,176,500	2,429,100	4.6%
Institutional Support	30,913,900	31,170,100	256,200	0.8%
Operation & Maintenance	37,454,100	38,342,300	888,200	2.4%
Scholarships & Fellowships	29,405,800	29,305,400	(100,400)	-0.3%
Transfers	13,043,300	13,643,000	599,700	4.6%
Total Educational & General	388,346,400	401,286,700	12,940,300	3.3%
Auxiliary	26,169,500	33,138,700	$ 6,969,200	26.6%
Restricted	115,729,400	116,304,400	575,000	0.5%
Total Expenditures and Transfers	$ 530,245,300	$ 550,729,800	$ 20,484,500	3.9%

Revenue Comparison
FY21 Proposed to FY20 Proposed Budget

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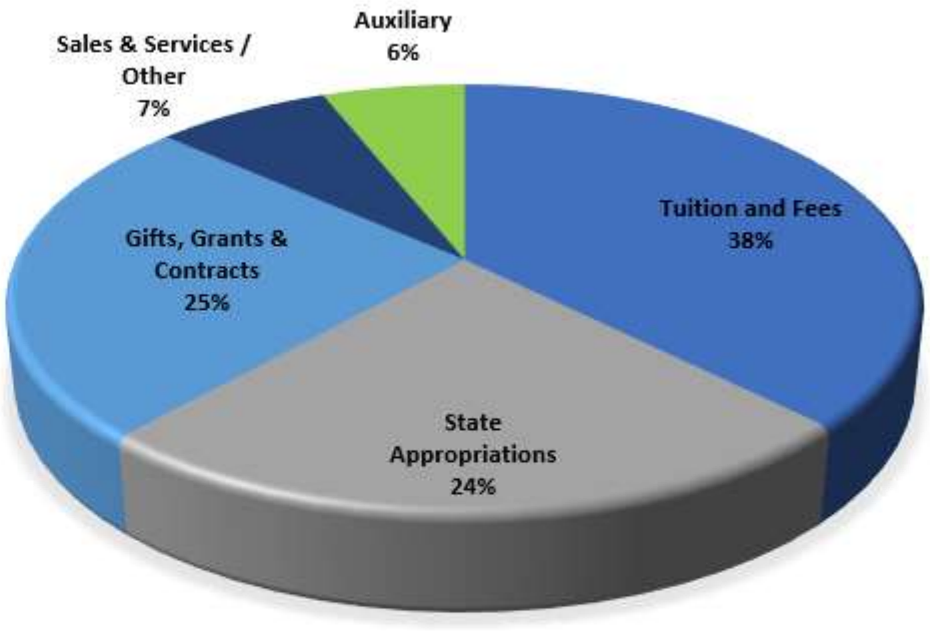
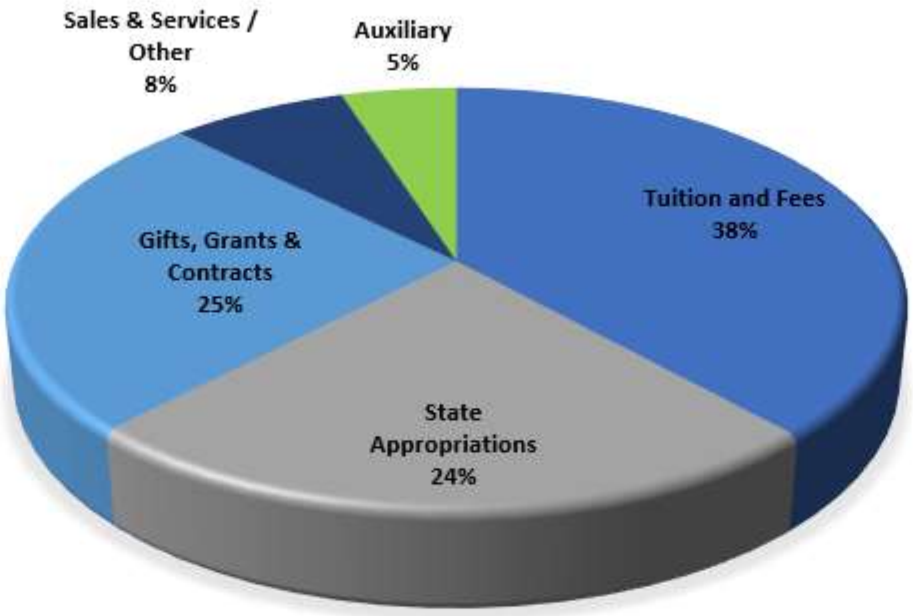
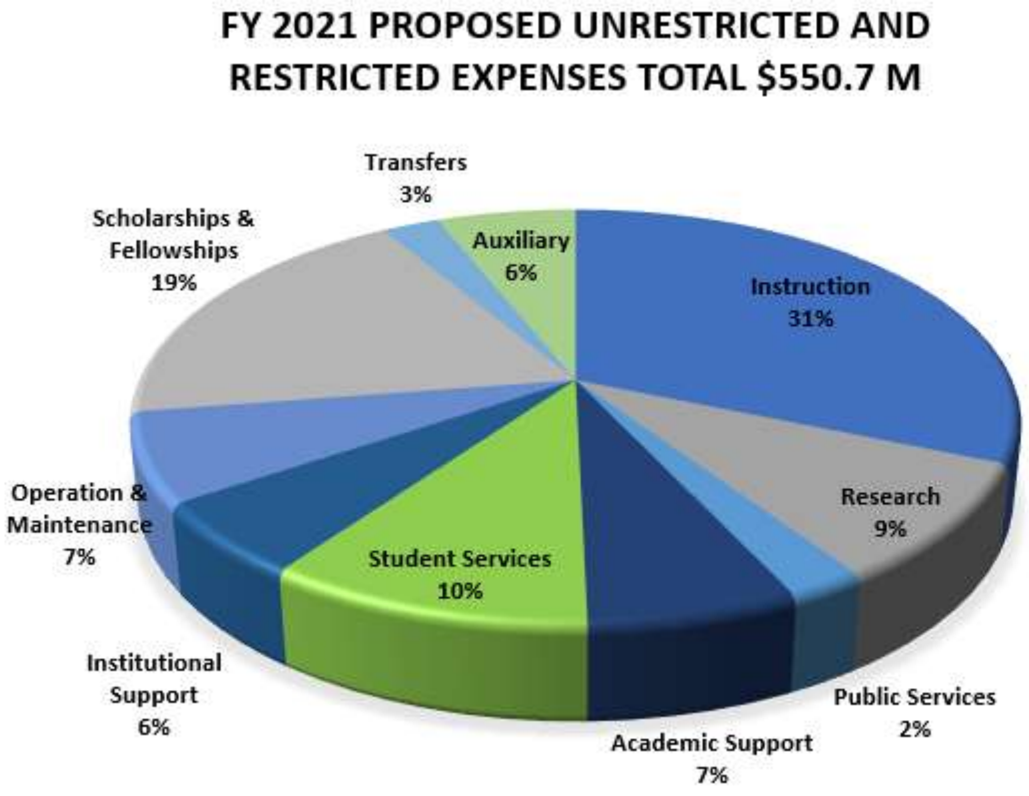
FY 2021 PROPOSED UNRESTRICTED AND RESTRICTED REVENUE TOTAL $550.7 M

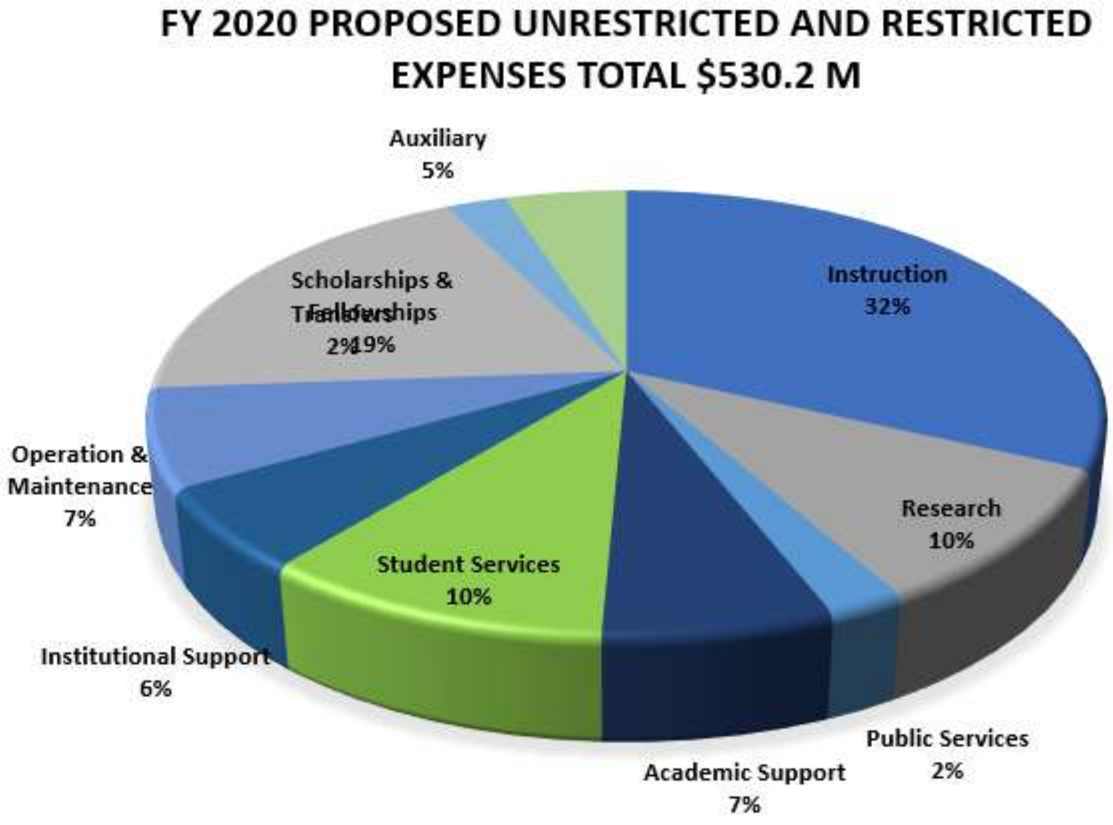


FY 2020 PROPOSED UNRESTRICTED AND RESTRICTED REVENUE TOTAL $530.2 M



Expenditure Comparison
FY21 Proposed to FY20 Proposed Budget





FY20 Estimated Budget

Revised to Estimated Budget Comparison

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Revised FY20 & Estimated FY20 Revenue Budget

	Revised FY 2020	Estimated FY 2020	Variance	
Revenues				
Educational & General				
Tuition and Fees	$ 206,499,500	$ 208,440,500	$ 1,941,000	0.9%
State Appropriations	123,305,700	123,305,700	-	0.0%
Unrestricted Grants, Contracts, & Gifts	25,927,079	28,481,699	2,554,620	9.9%
Sales and Services	36,826,845	41,642,804	4,815,959	13.1%
Other	2,784,000	3,709,000	925,000	33.2%
Total Educational & General	395,343,124	405,579,703	10,236,579	2.6%
Auxiliary	34,385,800	34,376,600	(9,200)	0.0%
Restricted	116,718,100	116,482,000	(236,100)	-0.2%
Total Revenues	$ 546,447,024	$ 556,438,303	$ 9,991,279	1.8%

Revised to Estimated Budget Comparison

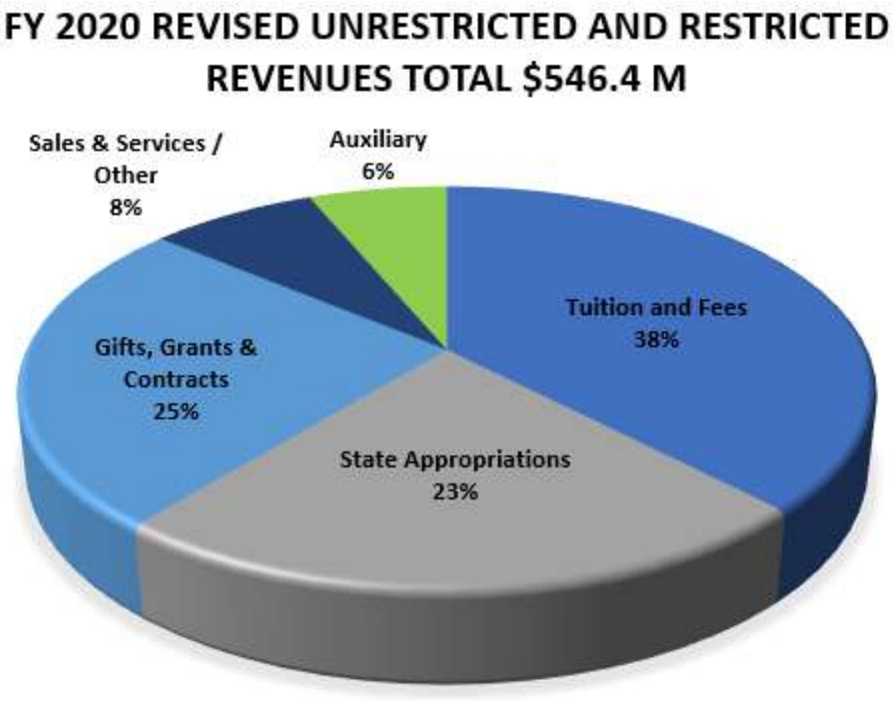
THE UNIVERSITY OF MEMPHIS | Board of Trustees

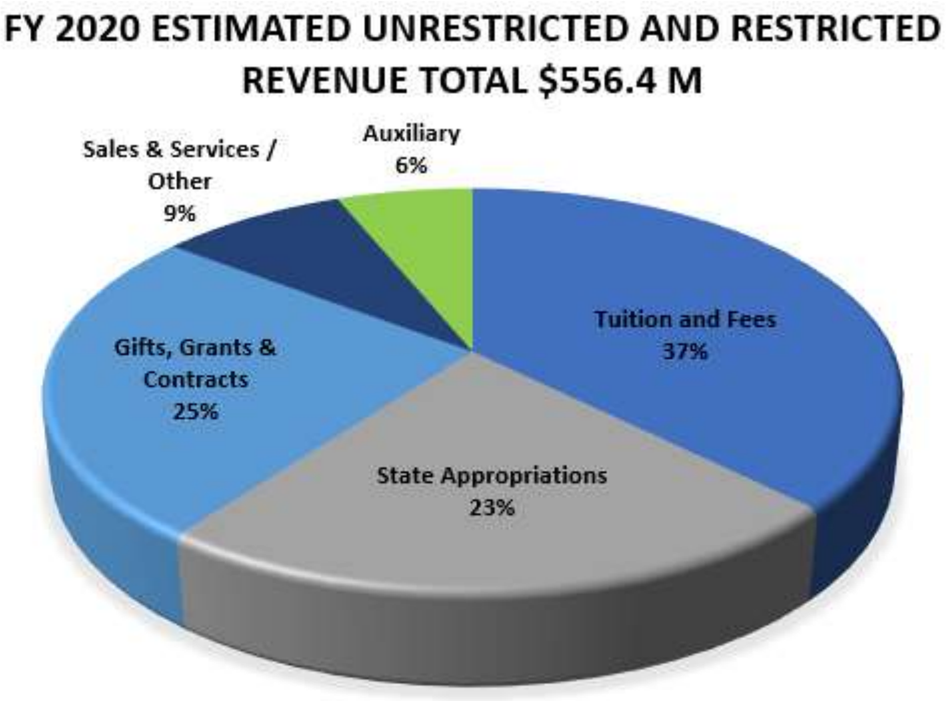
Revised FY20 & Estimated FY20 Expenditures Budget

	Revised FY 2020	Estimated FY 2020	Variance	
Expenditures*				
Educational & General				
Instruction	$ 177,249,600	$ 167,520,100	$ (9,729,500)	-5.5%
Research	45,793,600	51,963,800	6,170,200	13.5%
Public Services	7,506,600	8,020,000	513,400	6.8%
Academic Support	36,791,400	36,931,300	139,900	0.4%
Student Services	62,704,600	68,465,200	5,760,600	9.2%
Institutional Support	32,337,900	32,629,200	291,300	0.9%
Operation & Maintenance	39,618,200	37,683,000	(1,935,200)	-4.9%
Scholarships & Fellowships	30,800,200	33,032,900	2,232,700	7.2%
Transfers	(14,116,600)	(11,257,300)	2,859,300	-20.3%
Total Educational & General	418,685,500	424,988,200	6,302,700	1.5%
Auxiliary	35,285,800	39,676,600	$ 4,390,800	12.4%
Restricted	116,718,100	116,482,000	(236,100)	-0.2%
Total Expenditures and Transfers	$ 570,689,400	$ 581,146,800	$ 10,457,400	1.8%

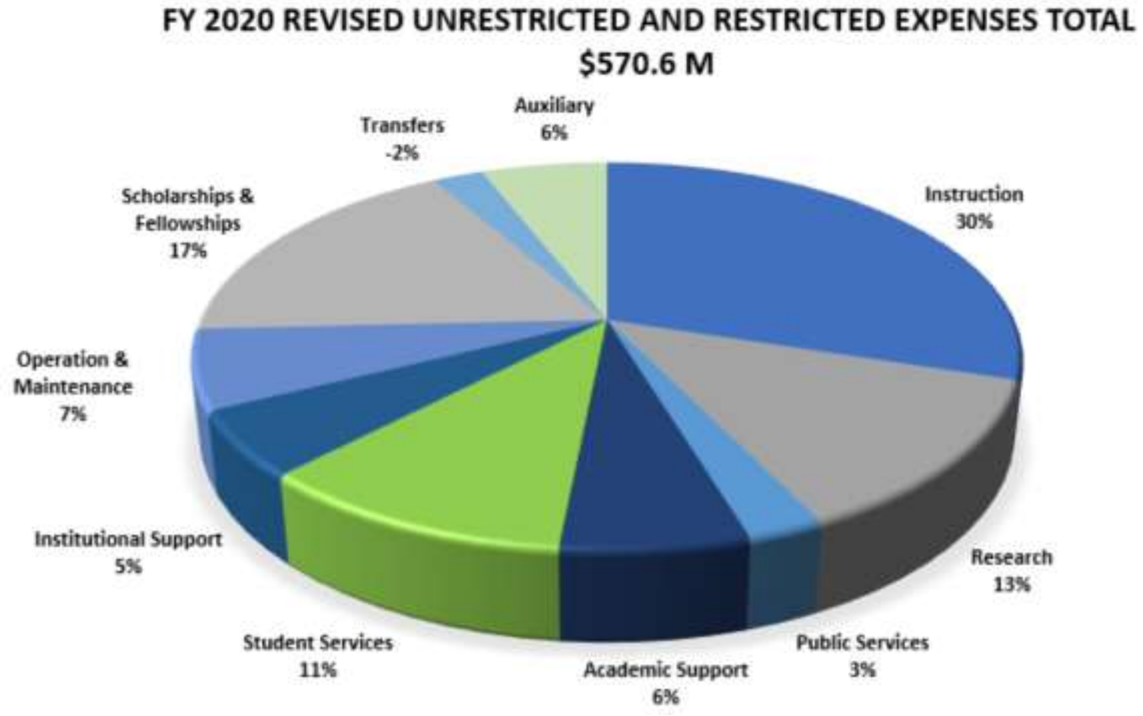
*The Revised Expenditure Budget includes all unrestrcited resources available including current year revenues as [illegible]me activities and resour[illegible]

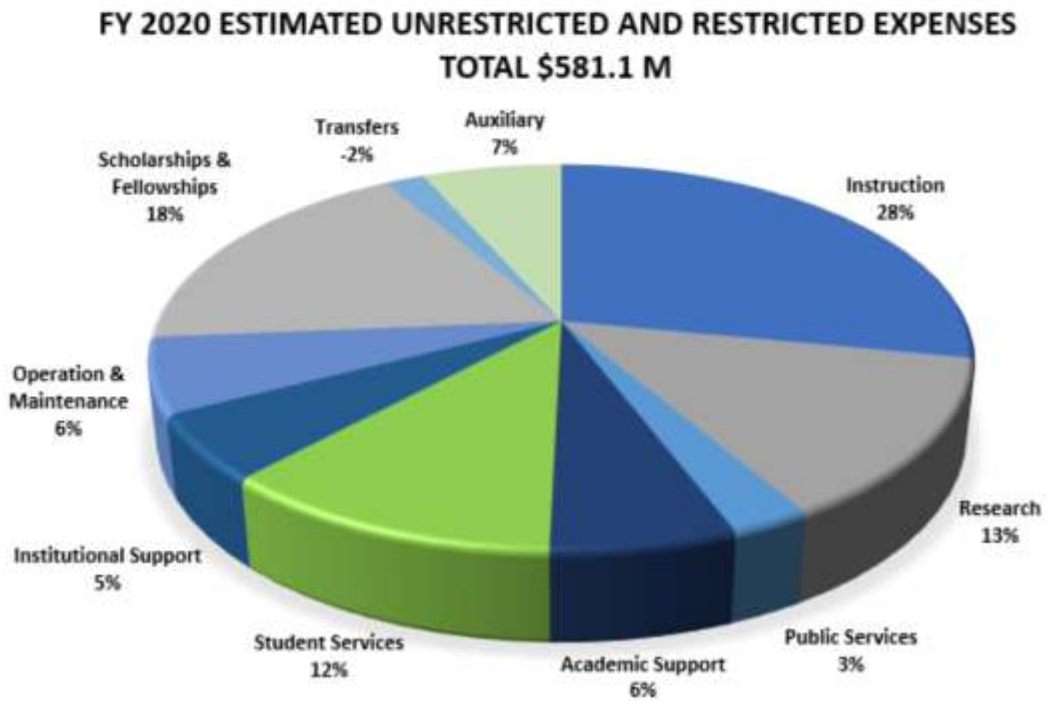
Revenue Comparison
FY20 Revised Budget to FY20 Estimated





Expenditure Comparison
FY20 Revised Budget to FY20 Estimated





Questions?

11. Housing Development on Deloach Street

For Approval

Presented by Raajkumar Kurapati

The University of Memphis Board of Trustees

Recommendation

For Approval

Date: June 3, 2020

Recommendation: Housing Development on Deloach Street

Presented by: Raaj Kurapati, Executive Vice President & Chief Financial Officer

Background:

The proposed transaction is comprised of three distinct actions, two (2) of which are interrelated transactions that shall occur simultaneously. These transactions are:

1. Concurrent with Memphis Tiger House, LLC ("Stella") acquisition of the Stella Property, Stella and the U of M shall execute a Land Transfer Agreement, by which Stella shall convey title of the Stella Property to the UofM.
2. Concurrent with the execution of the Land Transfer Agreement, Stella and U of M shall execute a forty (40) year Long-Term Master Lease Agreement of the University Property for the design, construction, financing, operating and maintenance of a housing complex consisting of two (2), four (4) and five (5) bedroom units and containing approximately five hundred twenty-three (523) beds, onsite parking, security fencing and other amenities.
3. Further, the University would enter into an Affiliation Agreement with Stella to provide certain services to Stella on a cost reimbursement basis to include security and residential programming for The Central at Memphis. The University will further agree to marketing of the properties as its housing stock including committing to a priority fill of such in accordance with the structure agreed to in the Affiliation Agreement. This partnership will enable us to quickly expand our housing capacity without taking on additional debt or negatively impacting our CFI ratios.

Recommendation:
Motion to approve the University to enter into the aforementioned transactions for the new housing facility on Deloach Street (The Central at Memphis) and as part of the execution of the Affiliation Agreement with Memphis Tiger House to provide certain services on a cost reimbursement basis, further participate in related revenue share on The Central at Memphis, and designate a priority fill of the housing stock in The Central at Memphis in accordance with the priority fill ladder.

Housing Development on Deloach Street

Raaj Kurapati
Executive Vice President & Chief Financial Officer

June 3, 2020

U of M | Board of Trustees

JUNE 2020

Goals & Overview

- The project will offer modern, suite-style apartments in a village setting to provide private and safe live/study space for our students.

- Our current housing stock is limited in apartment-style options which are more attractive to upperclassmen and graduate students.

- With the Gather no longer being actively pursued for acquisition, the need for new apartment-style housing to meet current and future needs is ever more critical.

- Graduate student enrollment, as well as out-of-state and international enrollment, has increased demand and optimum housing will promote recruitment and retention of students.

- There continues to be a need for older housing to be taken off-line in order to address deferred maintenance issues.

Site Plan & Elevations

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Property Details

- Located on the corner of Deloach Street and Central Avenue
- Six four-story buildings, offering a total of 133 units and 523 beds
- One 2,400 square foot commercial space for food service option
- 262 gated parking spaces
- Includes two (2), four (4) & five (5) bedroom units with private baths
- Fully furnished units with full kitchen, stainless appliances, living & dining rooms and washer/dryer
- Clubhouse with administrative offices, fitness center, computer room/study center, social gathering areas, restrooms and package pick-up area
- Amenities include a swimming pool and deck, BBQ areas, gazebo, green garden courtyard areas and a beach volleyball court

Examples of Facilities








Progress & Next Steps

- On September 4, 2019 the UofM Board of Trustees approved a Land Transfer Agreement and Long-Term Ground Lease with Stella.
- On March 12, 2020 the Tennessee State Building Commission approved for execution the Land Transfer Agreement and the Ground Lease Agreement between the UofM and Stella.
- The approved Ground Lease Agreement will now be amended to convert it into a Master Lease providing for the design, construction and transfer of the improvements to the UofM and lease back of the transferred improvements.

Project Milestones & Approval Schedule

THE UNIVERSITY OF MEMPHIS | Board of Trustees

April 16, 2020

THE CENTRAL
at University of Memphis
Service Concession Agreement Schedule

MARCH	APRIL	MAY	JUNE / JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER
Finalize Financing Plan & Schedule	Select & Engage Financing Team	Drafting SCA Documents (Business & Financial Docs)	UofM Board of Trustees State Architects & AG's Office Review/Approval	Rating Agency Review Process	TSSBA & SBC SCA Documents Final Approvals	Marketing of Bonds	Financial Closing
	Update State Architect & AG's Office (Constitutional Members)	*Preliminary documents to UofM/ State Architects/ AG's for review*	*Complete UofM/ SBC/TSSBA/AG's Negotiation of financing & business documents*	*Rate Proposed Transaction*			

SCA")
Tennessee State Building Commission ("SBC")
Tennessee Attorney Generals Office ("AG's")
Tennessee State School Bond Authority ("TSSBA")

STELLA GROUP

Proposed Transaction

- Stella conveys title of the Stella Property to UofM.
- Stella and UofM shall execute a forty (40) year Long-Term Master Lease of the University Property for the design, construction, financing, operation and maintenance of the housing facility.
- UofM will enter into an Affiliation Agreement with Stella to provide services which include security, residential programming services, marketing and student placement services, incorporating the housing facility ("The Central at Memphis") into its housing stock and placing students at the Facility on a priority fill basis.
- Stella will finance the Facility with bonds and complete its construction over a period of approximately eighteen (18) months. Delivery of the finished product in time for 2022 UofM fall semester.
- Upon the completion of construction of the Facility, Stella will deed the completed improvements to UofM at no cost and commence the forty-year Master Lease and Affiliation Agreement.
- This working relationship and structure creates a federal, local and property tax efficient operation that enables us to quickly expand our housing capacity with new, fully modern units, at an attractive price point, without negatively impacting UofM balance sheet or other debt ratios.

Financing Structure and Key Parties

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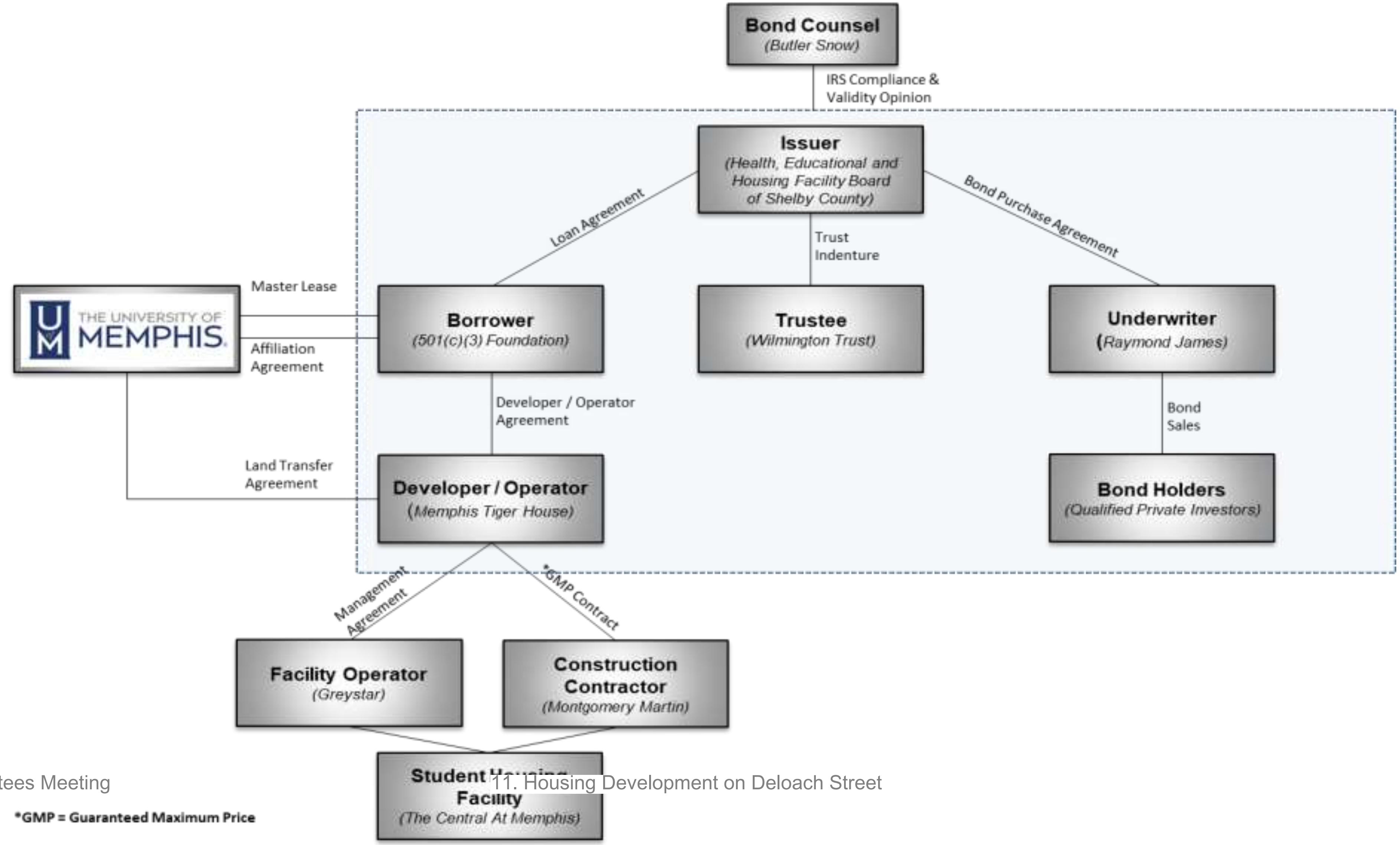
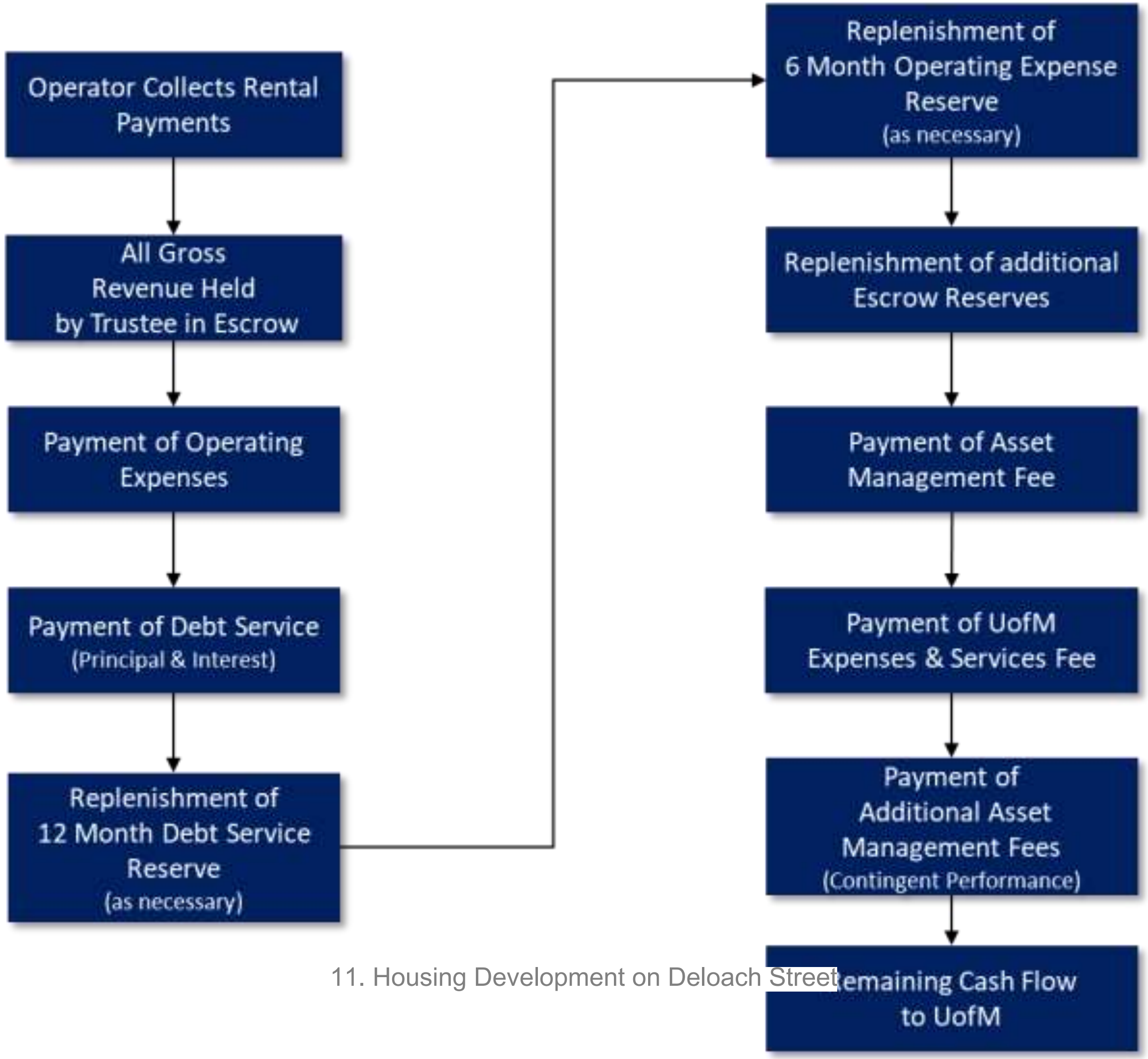


*GMP = Guaranteed Maximum Price

Cash Flow Waterfall



Financial Statement Projections

THE UNIVERSITY OF MEMPHIS | Board of Trustees

	Y1	Y2	Y3	Y4	Y5	Y6	Y7	Y8	Y9	Y10	Y11	Y12	Y13	Y14	Y15	Y16	Y17	Y18	Y19	Y20
Revenue	Growth	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%	2.50%
Gross Potential Income*	$4,999,692	$5,125,000	$5,253,000	$5,384,000	$5,519,000	$5,657,000	$5,798,000	$5,943,000	$6,092,000	$6,244,000	$6,400,000	$6,560,000	$6,724,000	$6,892,000	$7,064,000	$7,241,000	$7,422,000	$7,608,000	$7,798,000	$7,993,000
Vacancy / Loss	($252,000)	($259,000)	($265,000)	($272,000)	($279,000)	($286,000)	($293,000)	($300,000)	($308,000)	($315,000)	($323,000)	($331,000)	($340,000)	($348,000)	($357,000)	($366,000)	($375,000)	($384,000)	($394,000)	($404,000)
RA Beds	$67,825	$69,521	$71,259	$73,040	$74,866	$76,738	$78,656	$80,623	$82,638	$84,704	$86,822	$88,992	$91,217	$93,498	$95,835	$98,231	$100,687	$103,204	$105,784	$108,428
Other Income	$144,000	$148,000	$152,000	$156,000	$160,000	$164,000	$168,000	$172,000	$176,000	$180,000	$185,000	$190,000	$195,000	$200,000	$205,000	$210,000	$215,000	$220,000	$226,000	$232,000
Gross Revenue	$4,959,517	$5,083,521	$5,211,259	$5,341,040	$5,474,866	$5,611,738	$5,751,656	$5,895,623	$6,042,638	$6,193,704	$6,348,822	$6,507,992	$6,670,217	$6,837,498	$7,007,835	$7,183,231	$7,362,687	$7,547,204	$7,735,784	$7,929,428
Operation Expenses																				
Project Operation Expenses**	$1,376,000	$1,410,000	$1,445,000	$1,481,000	$1,518,000	$1,556,000	$1,595,000	$1,635,000	$1,676,000	$1,718,000	$1,761,000	$1,805,000	$1,850,000	$1,896,000	$1,943,000	$1,992,000	$2,042,000	$2,093,000	$2,145,000	$2,199,000
Property Management Fee	$148,786	$153,000	$156,000	$160,000	$164,000	$168,000	$173,000	$177,000	$181,000	$186,000	$190,000	$195,000	$200,000	$205,000	$210,000	$215,000	$221,000	$226,000	$232,000	$238,000
Repair and Replacement Reserve Funding	$248,000	$254,000	$261,000	$267,000	$274,000	$281,000	$288,000	$295,000	$302,000	$310,000	$317,000	$325,000	$334,000	$342,000	$350,000	$359,000	$368,000	$377,000	$387,000	$396,000
Total Operating Expenses	$1,772,786	$1,817,000	$1,862,000	$1,908,000	$1,956,000	$2,005,000	$2,056,000	$2,107,000	$2,159,000	$2,214,000	$2,268,000	$2,325,000	$2,384,000	$2,443,000	$2,503,000	$2,566,000	$2,631,000	$2,696,000	$2,764,000	$2,833,000
Net Operating Income	$3,186,731	$3,266,521	$3,349,259	$3,433,040	$3,518,866	$3,606,738	$3,695,656	$3,788,623	$3,883,638	$3,979,704	$4,080,822	$4,182,992	$4,286,217	$4,394,498	$4,504,835	$4,617,231	$4,731,687	$4,851,204	$4,971,784	$5,096,428
Debt Service Payment	$2,656,000	$2,722,101	$2,791,049	$2,860,867	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000	$2,934,000
Debt Service Coverage	1.2x	1.2x	1.2x	1.2x	1.2x	1.23x	1.26x	1.29x	1.32x	1.36x	1.39x	1.43x	1.46x	1.5x	1.54x	1.57x	1.61x	1.65x	1.69x	1.74x
Net Operating Cashflow (after Debt Service)	$530,731	$544,420	$558,210	$572,173	$584,866	$672,738	$761,656	$854,623	$949,638	$1,045,704	$1,146,822	$1,248,992	$1,352,217	$1,460,498	$1,570,835	$1,683,231	$1,797,687	$1,917,204	$2,037,784	$2,162,428
Subordinated Operating Expenses																				
Replenishment of Reserve Funds	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Asset Management Fee (Stella Group)	$245,000	$251,125	$257,403	$263,838	$270,434	$277,195	$284,125	$291,228	$298,509	$305,971	$313,621	$321,461	$329,498	$337,735	$346,179	$354,833	$363,704	$372,796	$382,116	$391,669
University Expenses and Fee	$245,000	$251,125	$257,403	$263,838	$270,434	$277,195	$284,125	$291,228	$298,509	$305,971	$313,621	$321,461	$329,498	$337,735	$346,179	$354,833	$363,704	$372,796	$382,116	$391,669
Incentive Fee (Stella Group)	$0	$0	$25,000	$25,000	$25,000	$75,000	$100,000	$125,000	$150,000	$200,000	$200,000	$300,000	$300,000	$300,000	$300,000	$300,000	$300,000	$300,000	$300,000	$300,000
Franchise Tax (N/A Tax Except)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Subordinated Operating expenses	$490,000	$502,250	$539,806	$552,676	$565,868	$629,390	$668,250	$707,456	$747,017	$811,943	$827,241	$942,922	$958,996	$975,470	$992,357	$1,009,666	$1,027,408	$1,045,593	$1,064,233	$1,083,339
Remaining Cash Flow (UofM)	$40,731	$42,170	$18,404	$19,497	$18,998	$43,348	$93,406	$147,167	$202,621	$233,761	$319,580	$306,070	$393,222	$485,027	$578,478	$673,565	$770,279	$871,611	$973,551	$1,079,090

Notes:
*Includes Summer Rentals at 25% Occupancy
**Operation expenses includes trash collection, landscaping, internet and other items to be reimburse to UofM

UofM Benefits

- Significant influence over the design and operation of the facility
- Full control over the Facility's occupants
- Housing asset critical to advancing and achieving strategic growth, development and transformation objectives
- Receipt of asset, lien free, in 40 years, that will continue to have residual and strategic value
- Receipt of debt free land well-suited for the construction of a much-needed research facility, that will advance UofM's core objective of achieving and maintaining R1 Research University status
- No additional debt on UofM financial statements for new, modern housing stock
- Satisfies housing demand as our student body grows
- Supports transition from a commuter campus to a destination campus

Other Considerations

- The Affiliation Agreement will provide UofM the right to force the replacement of the Manager, should they not perform.
- The bond financing structure will ensure that there are substantial reserves in place and that there is no recourse to UofM.
- There are multiple sophisticated parties involved that are focused explicitly on ensuring that the Facility is well managed and performs as planned.
- In addition to the substantial Facility reserves obligations, disbursements of the residual cash flow is conditioned on the achievement of a series of debt service coverage requirements that work to align all parties toward the successful operation of the Facility.
- As a result of the proposed transaction, the UofM can expect at the execution of the Master Lease-Land Transfer Agreement an increase in its asset value of over $2,250,000. This will be recorded as Prepaid Rent in the financial statements.
- Upon completion of construction of the Facility and transfer of the improvements to the UofM, the University of Memphis will increase its balance sheet by approximately $40,000,000.

Potential Risks

- **Construction Completion Risk**
  - This is mitigated through a Guaranteed Maximum Price Contract that includes Payment and Performance Bond coverage of 100% of contract amount.
- **Property Delivery Delay Risk**
  - Will be mitigated with a Liquidated Damages Guarantee from General Contractor.
- **Operation and Maintenance Performance & Financial Risk**
  - Will be mitigated by:
    - Selection of an experienced Student Housing Facility Operator
    - 6-months Operating Reserve Fund
    - Capital Replacement Reserve Fund (Recurring 5% of Revenues)
    - 12-mounth Debt Service Reserve Fund
- **Enrollment Decline Risk**
  - Will be mitigated by:
    - UofM has experienced consistent enrollment growth
    - Tuition and Fee strategies have increased enrollment locally, as well as students from out-of-state and internationally
- **Nonperformance of Property Manager**
  - Will be mitigated by:
    - UofM has the ability to require Memphis Tiger House to replace Property Manager

Questions?

12. Internal Audit Charter

For Approval

Presented by Vicki Deaton

Presentation to the Board of Trustees

The University of Memphis Board of Trustees
Report
For Approval

Date: June 3, 2020

Report Title: Review and Approval of Office of Internal Audit and Consulting Charter

Presented by: Vicki D. Deaton, Chief Audit Executive

Synopsis:

The purpose, authority, and responsibility of the internal audit activity must be formally defined in an internal audit charter, consistent with the IIA's Definition of Internal Auditing, the Code of Ethics, and the *Standards*. The internal audit charter establishes the internal audit activity's position within the organization, including the nature of the chief audit executive's functional reporting relationship with the board; authorizes access to records, personnel, and physical properties relevant to the performance of engagements; and defines the scope of internal audit activities.

To comply with the requirements of State of Tennessee statutes and the Audit Committee Charter, which was based on State of Tennessee Comptroller of the Treasury guidelines and approved by the University of Memphis Board of Trustees and the Tennessee Comptroller of the Treasury, the attached University of Memphis Office of Internal Audit and Consulting Charter is presented to the Audit Committee. According to the Audit Committee Charter, the Audit Committee must "review, approve, and update the Internal Audit charter annually or more frequent if necessary."

The University of Memphis Office of Internal Audit and Consulting Charter was last reviewed and approved at the June 5, 2019 Audit Committee meeting. There are no changes to the charter at this time.

University of Memphis
Office of Internal Audit & Consulting Charter
June 6, 2018

Introduction

The University of Memphis is within the state university system in Tennessee. The University is governed by an independent board, the Board of Trustees (Board), established by state statutes. The University of Memphis Audit Committee is a standing committee of the Board. In accordance with state statues, the Office of Internal Audit and Consulting (Internal Audit) reports directly to the Audit Committee. All Internal Audit activities are conducted in accordance with all state statues relative to Internal Audit and Audit Committees. In addition, the state statues require that Internal Audit activities are governed by adherence to The Institute of Internal Auditor's (IIA) mandatory guidance, which includes the Definition of Internal Auditing, the Code of Ethics, and the *International Standards for the Professional Practice of Internal Auditing (Standards).* This mandatory guidance constitutes the fundamental requirements for the professional practice of internal auditing and the principles against which to evaluate the effectiveness of Internal Audit's performance.

Purpose

Internal Audit is an independent, objective assurance and consulting office designed to add value and improve the University of Memphis' operations. Internal Audit helps the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

University of Memphis management has responsibility for risk management, control and governance. Therefore, University management has the primary responsibility for risk assessment, compliance oversight, and establishing and maintaining a sufficient system of internal controls. Internal Audit serves in an advisory role and assists University management in the effective discharge of their duties and responsibilities by evaluating activities, recommending improvements and providing other information designed to promote effective controls.

Internal Audit Plan

Annually, the Chief Audit Executive (CAE) develops an internal audit plan based on the University's risk assessment, state statute requirements, and input from University management. The plan is submitted to the Audit Committee for review and approval. The CAE reviews and adjusts the plan as necessary in response to changes in Internal Audit's resource levels or changes to the University's risks, operations, programs, systems, and controls. Any significant deviation from the approved internal audit plan will be communicated to and approved by the Audit Committee.

Services

Internal Audit performs assurance services by assessing evidence to provide an independent opinion or conclusion regarding a University entity, operation, function, process, system, or other subject matter. The nature and scope of assurance engagements are determined by the approved internal audit plan and staff of Internal Audit. There are generally three parties involved in assurance services: (1) the person or group directly involved with the entity, operation, function, process, system, or other subject matter — the process owner, (2) the person or group making the assessment — Internal Audit, and (3) the person or group using the assessment — the user.

Consulting services are advisory in nature and are generally performed at the specific request of an engagement client. The nature and scope of the consulting engagement are subject to agreement with the engagement client. Consulting services generally involve two parties: (1) the person or group offering the advice — Internal Audit, and (2) the person or group seeking and receiving the advice — the engagement client. When performing consulting services, Internal Audit should maintain objectivity and not assume management responsibility.

Authority, Responsibility, and Scope

Internal Audit's performance of assurance and consulting services may include the examination and evaluation of the effectiveness of all aspects of University operations. Internal Audit has full and direct access to all University records, which includes electronic and manual records, personnel relative to their performance of duties and responsibilities, and access to all University physical properties. All documents and information obtained by Internal Audit will be treated in a confidential manner to comply with all policies, laws, and regulations regarding protection of University information.

Internal Audit does not have direct responsibility for, or authority over, any of the activities, functions, or tasks it reviews. Internal Audit's review does not relieve others of their responsibilities. The Internal Audit staff must maintain a high degree of independence. They must not be assigned duties or be involved in activities that are the responsibility of University management. Internal Audit should only engage in activities that they would normally be expected to review or evaluate as part of the normal Internal Audit function.

Internal Audit is not independent for the purpose of issuing an opinion on the University's annual financial statements per the requirements for an external auditor under Tennessee Board of Accountancy regulations. The Tennessee Comptroller of the Treasury's Division of State Audit serves as the external auditors for the University based upon state statutes.

Organizational Structure

The Office Internal Audit and Consulting reports directly to the Audit Committee but reports administratively to the University President for internal accounting purposes. However, to provide independence and to comply with state statutes and Tennessee Comptroller of the Treasury's requirements, Internal Audit has direct reporting responsibility to the Board of Trustee's Audit Committee. Internal Audit staff have organizational independence and strive to carry out their responsibilities with professional objectivity.

Reporting and Monitoring

All audit work is summarized in written reports distributed to University management to ensure that significant issues noted in audits are properly addressed by University management. In addition, summaries of all Internal Audit activities are distributed to the Audit Committee and all significant issues are emphasized to the Audit Committee. Internal Audit will answer questions and provide additional details for any Internal Audit activity when requested by the Audit

Committee. Internal Audit is responsible for following up on issues noted in audits or other projects conducted by Internal Audit to ensure issues are addressed by University management. Any issues not properly addressed by University management will be reported to the Audit Committee.

All Internal Audit reports are provided to the Tennessee Comptroller of the Treasury's Division of State Audit in their role as external auditors for the University. All investigation reports are provided to the Tennessee Comptroller of the Treasury's Division of State Audit and the Division of Investigations.

Periodic Review of Office of Internal Audit & Consulting Charter

This charter will be periodically assessed by the Chief Audit Executive to determine whether the purpose, authority, and responsibilities defined in this charter are adequate to enable the Office of Internal Audit and Consulting to accomplish objectives under the IIA Standards and state statutes. The results of the periodic assessment of this charter will be communicated to University management and the Audit Committee.

Internal Audit Charter Review & Approval

Board of Trustees Meeting

Vicki D. Deaton
Chief Audit Executive

June 3, 2020
University Center

U of M | Board of Trustees

JUNE 2020

Report: UofM Office of Internal Audit & Consulting Charter for Approval

According to the Audit Committee Charter, the Audit Committee must "review, approve, and update the Internal Audit charter annually or more frequent if necessary." The University of Memphis Office of Internal Audit and Consulting Charter was last reviewed and approved at the June 5, 2019 Audit Committee meeting. There are no changes to the charter at this time.

The Charter establishes the following:

- The purpose, authority, and responsibility of the internal audit activity;
- The internal audit activity's position within the University;
- The scope of internal audit activities; and
- That access to records, personnel, and properties to complete engagements must be provided.

13. FY 2021 Audit Plan

For Approval

Presented by Vicki Deaton

Presentation to the Board of Trustees

The University of Memphis Board of Trustees
Report
For Approval

Date: June 3, 2020

Report Title: Proposed FY2021 Internal Audit Plan

Presented by: Vicki D. Deaton, Chief Audit Executive

Synopsis:

To comply with the requirements of state statutes relative to internal audit activities and the UofM Audit Committee Charter, the Proposed FY2021 Internal Audit Plan for the University is presented for review and approval.

University of Memphis
Audit Plan & Allocation of Audit Resources- FY 2021

CONFIDENTIAL

PROPOSED FOR APPROVAL

55%	**Audits**
	Risk Based Audits
	Business Continuity Plan Post Covid-19 Reassessment
	Internal Controls - Risk Assessment for Research
	Internal Controls - Risk Assessment for Revenue Generating Activities
	Space Planning & Utilization Strategies & Controls Audit (with focus on Research space)
	Pandemic Period Expenditure Review
	Instruction & Curriculum Leadership Financial and Compliance Audit
	UofM Global Program Review
	Risk Based Information Technology Projects
	PCI Compliance Review
	GLBA & Red Flag Rules Compliance Review
	Audits Required by Statutes
	Annual audit of President's expenses TCA 49-7-3001 TCA 49-14-106
	Audits Requested by Management
	NACHA - Per First TN Bank Contract (ACH electronic transactions)
	State Audit FY2020 Year End Work (cash and inventory work for State Auditors at year end for external audit per Management request)
5%	**Follow-up of Past Audit Issues**
	Internal Audit issues identified in past audits and as required by state statute
25%	**Investigations/Manage Hotline System**
10%	**Consulting and Advisory Role**
	Special Audit Requests, Consulting Projects, Assistance to Legal Counsel, Attorney Client Projects (as requested by Management)
	Advisory Role (advisory role on various committees and miscellaneous inquiries for assistance during the year)
5%	**Audit Committee Projects & Administration**
100%	

Background Information – Proposed FY2021 Audit Plan

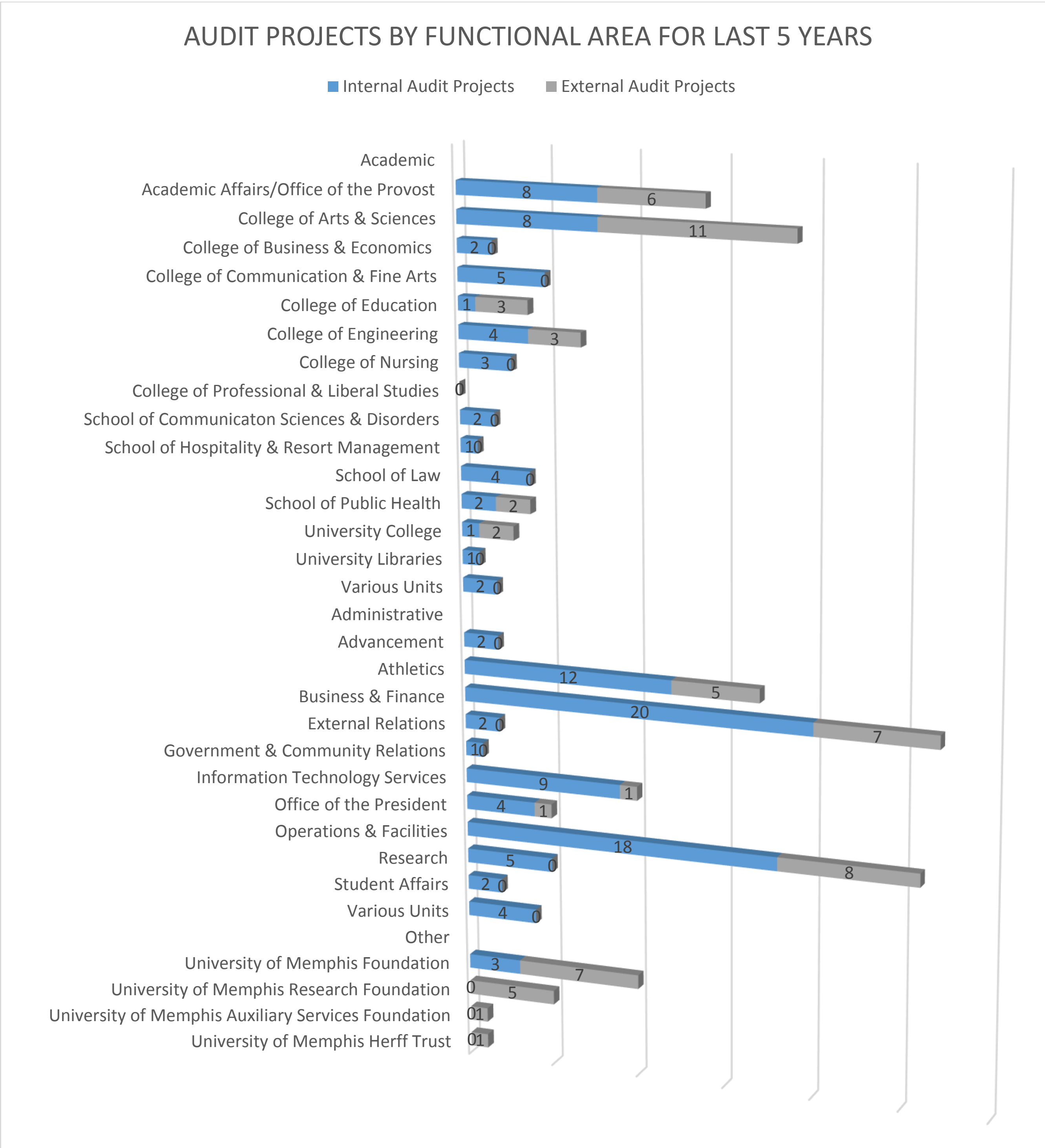
In higher education, the audit universe is normally categorized by the following functional areas:

- Academic
- Administrative
- Other

At the University of Memphis, the 3 functional areas include the following 28 audit entities:

Academic	Administrative	Other
• Academic Affairs/Office of the Provost • College of Arts & Sciences • College of Business & Economics • College of Communication & Fine Arts • College of Education • College of Engineering • College of Nursing • College of Professional & Liberal Studies • School of Communication Sciences and Disorders • School of Health Studies • School of Hospitality & Resort Management • School of Law • School of Public Health • Honors College • University Libraries	• Athletics • Business & Finance • Advancement • External Relations • Government & Community Relations • Information Technology Services • Office of the President • Operations & Facilities • Research	• University of Memphis Foundation • University of Memphis Research Foundation (including the wholly-owned subsidiary, UMRF Ventures Inc.) • University of Memphis Auxiliary Services Foundation • University of Memphis Herff Trust

In the last 5 years, some type of audit project has been performed by Internal Audit or an outside entity in all but 1 of the 28 UofM audit entities.



Besides the University of Memphis Office of Internal Audit and Consulting, the following entities perform audits, investigations, reviews, agreed-upon procedures, or assessments at the UofM.

TN Comptroller of the Treasury Division of State Audit
TN Comptroller of the Treasury Division of Investigations
TN Comptroller of the Treasury Information Systems Audits
Various State of TN Departments and Agencies
Various State of TN Departments for Sponsored Program Review
Various Federal Agencies for Sponsored Program Review
Internal Revenue Service
External Legal Experts
External Certified Public Accounting Firms
External Environmental Auditors
External Subject Matter Experts

In Tennessee governmental entities, internal audit plans are comprised of risk based audits, required audits, special requests, and investigations. The risk based portion, (about 75%) of the FY2021 Proposed Audit Plan, is in part derived from the University's risk assessment process that Management prepares to comply with the Tennessee Financial Integrity Act, and consideration of the University's goals, vision, and mission. The plan also includes required projects and activities, projects carried over or deferred from the prior year, and time for investigations, consulting, and follow up of past audit issues. University management were given the opportunity to provide additional input into the plan, and details of the Proposed FY2021 Audit Plan were shared with executive management.

Below is the budgeted resource allocation by type of activity for the last 3 years.

Budgeted Allocation of Internal Audit Resources			
	FY2019	FY2020	FY2021
Audits	55%	55%	55%
Follow Up of Audit Issues	15%	7%	5%
Investigations	20%	14%	25%
Consulting/Advisory Role	6%	17%	10%
Audit Committee Projects & Administration	4%	7%	5%
Total	100%	100%	100%

The plan may be impacted and revised during the year due to changing risk factors and special requests from management. Any significant changes to the plan will be reviewed and approved by the Audit Committee.

FY2021 Internal Audit Plan Approval

Board of Trustees Meeting

Vicki D. Deaton
Chief Audit Executive

June 3, 2020
University Center

Board of Trustees
JUNE 2020

In higher education, the audit universe is normally categorized by the following functional areas:

- Academic
- Administrative
- Other

At the University of Memphis, the 3 functional areas include the following 28 audit entities:

Academic

- Academic Affairs/Office of the Provost
- College of Arts & Sciences
- College of Business & Economics
- College of Communication & Fine Arts
- College of Education
- College of Engineering
- College of Nursing
- College of Professional & Liberal Studies
- School of Communication Sciences and Disorders
- School of Health Studies
- School of Hospitality & Resort Management
- School of Law
- School of Public Health
- Honors College
- University Libraries

Administrative

- Athletics
- Business & Finance
- Advancement
- External Relations
- Government & Community Relations
- Information Technology Services
- Office of the President
- Operations & Facilities
- Research

Other

- University of Memphis Foundation
- University of Memphis Research Foundation (including the wholly-owned subsidiary, UMRF Ventures Inc.)
- University of Memphis Auxiliary Services Foundation
- University of Memphis Herff Trust

Besides the University of Memphis Office of Internal Audit and Consulting, the following entities perform audits, investigations, reviews, agreed-upon procedures, or assessments at the UofM.

TN Comptroller of the Treasury Division of State Audit
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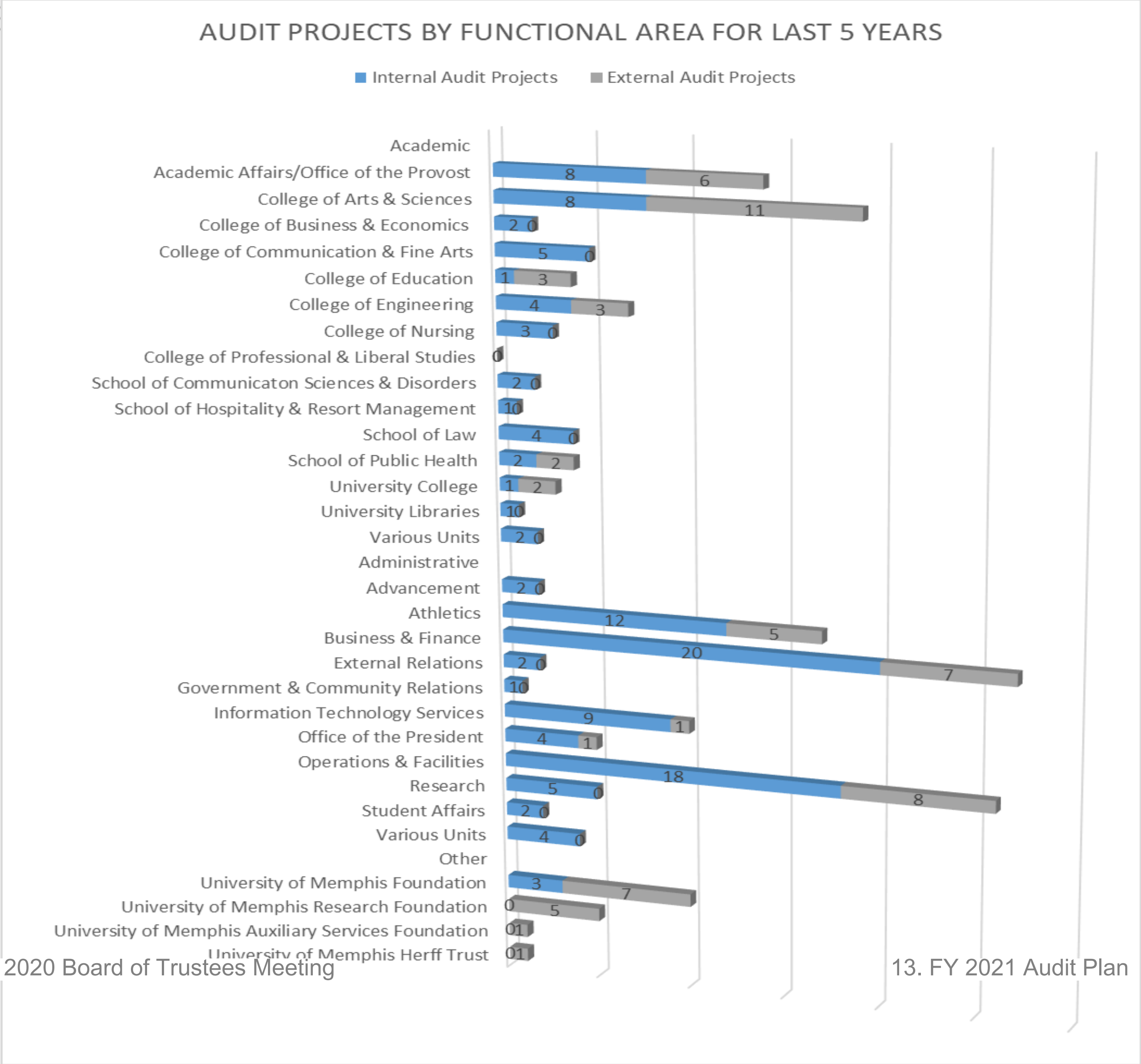
TN Comptroller of the Treasury Information Systems Audit Group
Various State of TN Departments and Agencies
Various State of TN Departments for Sponsored Program Review
Various Federal Agencies for Sponsored Program Review
Internal Revenue Service
External Legal Experts
External Certified Public Accounting Firms
External Environmental Auditors
External Subject Matter Experts

THE UNIVERSITY OF MEMPHIS | Board of Trustees



In the last 5 years, some type of audit project has been performed by Internal Audit or an outside entity in all but 1 of the 28 UofM audit entities.

In Tennessee governmental entities, internal audit plans are comprised of risk based audits, required audits, special requests, and investigations. The risk based portion of the FY2021 Proposed Audit Plan (about 75%) is in part derived from the University's risk assessment process that management prepares and consideration of the University's goals, vision, and mission.

- Risk based audits
- Required audits and projects
- Audit issue follow up
- Investigations
- Consulting/Advisory Services
- Administration

Budgeted Allocation of Internal Audit Resources	FY2019	FY2020	FY2021
Audits	55%	55%	55%
Follow Up of Audit Issues	15%	7%	5%
Investigations	20%	14%	25%
Consulting/Advisory Role	6%	17%	10%
Audit Committee Projects & Administration	4%	7%	5%
Total	100%	100%	100%

University of Memphis Proposed Audit Plan & Allocation of Audit Resources – FY2021

55%	**Audits**
	Risk Based Audits
	Business Continuity Plan Post Covid-19 Reassessment
	Internal Controls - Risk Assessment for Research
	Internal Controls - Risk Assessment for Revenue Generating Activities
	Space Planning & Utilization Strategies & Controls Audit (with focus on Research space)
	Pandemic Period Expenditure Review
	Instruction & Curriculum Leadership Financial and Compliance Audit
	UofM Global Program Review
	Risk Based Information Technology Projects
	PCI Compliance Review
	GLBA & Red Flag Rules Compliance Review
	Audits Required by Statutes
	Annual audit of President's expenses TCA 49-7-3001 TCA 49-14-106
	Audits Requested by Management
	NACHA - Per First TN Bank Contract (ACH electronic transactions)
	State Audit FY2020 Year End Work (cash and inventory work for State Auditors at year end for external audit per Management request)
5%	**Follow-up of Past Audit Issues**
	Internal Audit issues identified in past audits and as required by state statute
25%	**Investigations/Manage Hotline System**
10%	**Consulting and Advisory Role**
	Special Audit Requests, Consulting Projects, Assistance to Legal Counsel, Attorney Client Projects (as requested by Management)
	Advisory Role (advisory role on various committees and miscellaneous inquiries for assistance during the year)
5%	**ition**
100%	

14. Summary of Audit Reports Issued

For Review

Presented by Vicki Deaton

The University of Memphis Board of Trustees

Presentation

For Information

Date: June 3, 2020

Presentation Title: Summary of Audit Reports Issued

Presented by: Vicki D. Deaton, Chief Audit Executive

Synopsis:

One audit report was issued since the last meeting – the Vendor Electronic Payment Information Controls Audit report.

See the attached table for more information about the audit report.

Audit Reports Issued (6/3/2020 Audit Committee Materials)

Name of Audit	Date of Audit Report	Audit Engagement Report Opinion	Minor Issues - Addressed Verbally	Observation	Minor Issues	Moderate Issues	Major Issues	Issues Outstanding from Prior Audit
Vendor Electronic Payment Information Controls	5/14/2020	Effective with the Opportunity for Improvement	1	1	2	0	0	**NA**

15. Grievance Activity Report

For Review

Presented by Vicki Deaton

Report to the Audit Committee of the Board of Trustees

The University of Memphis
Presentation
For Information

Date: June 3, 2020

Report Title: Annual Report of Grievance Activities – Support Staff Only

Presented by: Vicki D. Deaton, Chief Audit Executive

Report Synopsis:
According to Policy HR5052 Grievance Process and Conflict Resolution, the University is committed to providing a process for non-exempt support staff to seek prompt resolution to grievances without fear, restraint, interference, discrimination or reprisal.

As required by Tennessee Code Annotated (TCA) 49-8-117, the University of Memphis "*shall provide an annual report to the education committee of the senate and the education committee of the house of representatives summarizing grievance activities of the previous year.*"

The grievance activity reports provided for your review cover FY2019 as well as FY2020 to date (the period from July 1, 2019 to April 30, 2020) and includes the grievances statuses and resolutions.

The University of Memphis
Annual Report Summarizing Grievance Activities - Support Staff Only **
July 1, 2018 - June 30, 2019

Grievances filed

Termination for cause………………………………..	5
Suspension without pay…………………………..	0
Demotion…………………………………………….	0
Work assignments…………………………………	0
Work conditions…………………………………..	0
Uncategorized……………………………………..	0
Total…………………………………………………	5

Grievances resolved before reaching the hearing step

Appeal of Termination…………………….........	4
Workplace Conditions…………………………..	0
Total………………………………………………	4

Grievances for which a hearing was conducted

Appeal of Terminations ………………………..	0
Suspension…………… ………………………	0
Total……………………………………………	0

Grievances with pending status

Terminations…………………………………	1
Sexual Harassment…………………………...	0
Work Conditions…………………………….	0
Total……………………………………………	1

Grievances Closed

Appeal of Termination………………………	4
Suspension……………………………………	0
Work Conditions ……………….……………	0
Dismissed …………………………………….	0
Total…………………………………………....	4

*** Support Staff: employees who are not faculty, executive, administrative or professional staff. Student workers and graduate assistants are not included in the definition of employee.*

Grievance: a complaint regarding one (1) or more of the following matters:

- *Demotion, suspension without pay or termination for cause; or*
- *Work assignments or conditions of work which violate statute or policy*

The University of Memphis
Annual Report Summarizing Grievance Activities-Support Staff Only
July 1, 2019 – April 30, 2020

Grievances filed

Termination for cause…………………………………..	0
Suspension without pay……………………………..	0
Demotion……………………………………………….	0
Work assignments…………………………………	1
Work conditions…………………………………..	0
Uncategorized……………………………………..	0
Total…………………………………………………	1

Grievances resolved before reaching the hearing step

Appeal of Termination……………………….........	0
Workplace Conditions……………………………..	0
Total…………………………………………………	0

Grievances for which a hearing was conducted

Appeal of Terminations ………………………..	0
Suspension…………… …………………………	0
Total………………………………………………	0

Grievances with pending status

Terminations………………………………….	0
Sexual Harassment……………………………...	0
Work Conditions…………………………….	1
Total………………………………………………	1

Grievances Closed

Appeal of Termination…………………………	1
Suspension……………………………………	0
Work Conditions ……………….……………	0
Dismissed …………………………………….	0
Total……………………………………………...	1

16. Feasibility Study

For Review

Presented by Joanna Curtis

The University of Memphis Board of Trustees

Recommendation

Presentation

Date: June 3, 2020

Presentation: Feasibility Study

Presented by: Joanna Curtis, Chief Advancement Officer

Background: An executive summary of the capital campaign feasibility study conducted by BWF.

BWF

Campaign Planning Study Report

Executive Summary — May 2020

- Major recommendation is a **total campaign working goal of $600M**
  - $300M from traditional philanthropic sources
  - $300M secured sponsored research

- This campaign would have a seven-year timeline with campaign counting starting in 2019 and running through 2026.

- Over the next 18-24 months, University should:
  - Build internal capacity
  - Deepen relationships with existing and new prospects, including campaign volunteers
  - Hone campaign messaging, include refining the case for support

- Key findings of the report:
  - High level of confidence in the University's ability to execute its mission.
  - External feedback for the case for support was extremely positive, especially as it relates to student support, workforce development, and impact delivery. Support for athletics was remarkably high.
  - Confidence in the leadership of the University was extremely high and almost universal.
  - There is significant potential and capacity among supporters and potential supporters.

"Every great city needs a great university. UofM is ours."

"This city depends upon the University, for more than just basketball!"

It won't be long before the best and brightest high school students in Memphis stay home to further their education."

17. New Title IX Regulations Overview

For Review

Presented by Tiffany Cox

The University of Memphis Board of Trustees

Recommendation

Presentation

Date: June 3, 2020

Presentation: New Title IX Regulations Overview

Presented by: Tiffany Cox, Director of Institutional Equity & Chief Compliance Officer

Background: This is provides an update on the new Title IX Regulations and its potential impact on the university.

Office of Institutional Equity

TO: University of Memphis Board of Trustees

FROM: Office of Institutional Equity

DATE: May 21, 2020

SUBJECT: Department of Education Final Rule Title IX Regulations

On May 6, 2020 the Department of Education Office for Civil Rights (OCR) released its final Title IX regulations giving institutions an effective date of August 14, 2020 to both understand and implement the new changes. These new regulations will bring significant changes to the way in which the University investigates and adjudicates claims of sexual harassment.

The major changes made by the regulations include:

- What constitutes notice to the University: (actual knowledge of sexual harassment versus constructive knowledge);
- Narrowing of the definition of sexual harassment for Title IX purposes;
- Narrowing jurisdiction for Title IX purposes (occurring in a school's "education program or activity" and "in the United States");
- Accessible reporting to the Title IX coordinator;
- A potential narrowing of University's mandatory reporter obligations;
- A potential change in the standard of evidence;
- A requirement to hold live hearings, also applicable to faculty and staff respondents;
- The requirement of written determinations following live hearings;
- Changes to what constitutes retaliation.

The OIE staff have attended multiple webinars on the new regulations including webinars facilitated by Title IX industry leader ATIXA (Association of Title IX Administrators) and NACUA (National Association of College and University Attorneys) as they provide guidance and best practices for implementation, resources, and assistance with concerns and issues brought forth by these new provisions. Additionally, OIE is in the process of conducting a thorough review of current policies and practices to prepare for the University's policy revisions.

Lastly, a working group has been formed to assist OIE in this implementation process. The working group is composed of representatives from legal counsel, student accountability, Faculty and Staff Senate, the Student Counseling Center, Victim's Services and Human Resources. We will keep the Board abreast of these changes as we move through this implementation process.

18. Update of the Information Security Program

For Review

Presented by Robert Jackson

The University of Memphis Board of Trustees

Recommendation

Presentation

Date: June 3, 2020

Presentation: Information Security Update

Presented by: Robert Jackson, Chief Information Officer

Background: This is an update of the Information Security Program for the University of Memphis.

Information Security Program Update

Dr. Robert Jackson
Chief Information Officer

June 3, 2020
University Center

Board of Trustees

JUNE 2020

IT Security Narrative

THE UNIVERSITY OF MEMPHIS | Board of Trustees

- Suspicious account behavior increased in January and February as students and employees returned from winter break (most likely individuals succumbed to phishing attacks)
- Number of accounts disabled due to suspicious behavior decreased in March (possibly a result of enabling URL filtering / re-writing to reduce phishing attacks)
- Phishing attacks related to COVID19 (e.g., “apply for your COVID19 check”, etc.) increased during April
- Increase in number of phishing attacks requesting users to “text your information to (xxx) xxx-xxxx” (these attacks require manual responses as the attackers adjust email contents to avoid automated detection; labor intense)

FY2020 Q3 IT Security Engagements

The following table shows the number of issues by category reported to IT Security, and the escalation level and outcomes summary:

	FY2020 Q3 IT Security Engagements						
	Escalation Level						
	1- Very Minor	2- Minor	3 - Low	4 - Moderate	5 - High	6 - Very High	Total
Category							
Denial of Service							0
Malicious Code	1						1
Unauthorized Access	1						1
Inappropriate Usage	4	1					5
Personally Identifiable Information							0
Other							0
Total	6	1	0	0	0	0	7
Outcomes included:							
• No Action Required (4)							
• Issue Remediated (3)							

Note: 139 accounts were proactively disabled due to suspicious behavior during Jan – Mar 2020.

Status Updates

- Malicious website protections
  - March 9, 2020 – Enabled URL filtering / URL re-writing
- Email single sign-on (SSO)
  - May 18, 2020 – Complete O365 security configuration changes
  - May 25, 2020 – Enable SSO for O365 (enables multi-factor authentication protection for employee email)
- FY2020 Network Core / Firewall upgrade
  - All equipment received; work in progress
  - Target completion date June 30, 2020
- Multi-factor authentication for students
  - Opt-in enabled

Thank you

19. Additional Business

Presented by David North

20. Adjournment

Presented by David North