














# March 2018 UofM Board of Trustees Meeting

<b>Schedule</b>	Wednesday, March 07, 2018, 01:30 PM — 02:30 PM CST
<b>Venue</b>	University Center Ballroom - UC 320
<b>Organizer</b>	Jean Rakow

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# 1. Call to Order and Opening Remarks

Presented by Alan Graf



## 2. Roll Call and Declaration of Quorum

Presented by Melanie Murry



### 3. Approval of Minutes - December 7, 2017

## BOARD OF TRUSTEES

### MINUTES OF BOARD MEETING

DECEMBER 7, 2017

Jackson, Tennessee

The University of Memphis Board Of Trustees was called to order at 2:00 p.m. CST, on Thursday, December 7, 2017, on the Lambuth campus of the University of Memphis in Jackson, Tennessee.

#### **I. CALL TO ORDER AND OPENING REMARKS**

Chairman Alan B. Graf, Jr called the meeting to order and stated that the board members were delighted to meet on the Lambuth campus and remarked on the beauty of the campus. He provided a brief summary of the agenda for the meeting. Chairman Graf introduced the individuals sitting on the dais. Chairman Graf called for a roll call vote to establish a quorum.

#### **II. ROLL CALL AND DECLARATION OF QUORUM**

University Counsel and Acting Board Secretary Melanie Murry called the roll, and the following members were present: Douglas Edwards, Alan Graf, Cato Johnson, Brad Martin, David North, Carol Roberts, Katharine Schaffzin and Susan Springfield. Trustee Roberts and Trustee Mayberry participated via telephone. Trustee Marvin Ellison was absent. Secretary Murry announced that a quorum was present.

Members of the administrative staff, faculty, students and media representatives were also present.

#### **III. APPROVAL OF MINUTES – OCTOBER 4, 2017**

Chairman Graf requested a motion for the approval of the minutes for the October 4, 2017 Board of Trustees meeting. Trustee Johnson made the motion to approve the minutes of the prior meeting. The motion was properly seconded. A roll call vote was taken. The motion to approve the minutes, as detailed in the meeting materials, was unanimously approved by the voting members participating in the meeting.

#### **IV. APPOINTMENT OF THE BOARD SECRETARY**

Chairman Graf requested a motion for the appointment of Melanie Murry to the status of permanent Board Secretary. The motion was made by Trustee Edwards and properly seconded. A roll call vote was taken. The motion to approve the nomination was unanimously approved by the members participating in the meeting.

#### **V. PRESENTATION BY PRESIDENT RUDD**

Chairman Graf turned the meeting over to President Rudd for comments.



President Rudd stated his pleasure that the Board was able to meet on the Lambuth campus and introduced Dr. Niles Reddick to the attendees. Dr. Reddick was called to the podium where he was asked to introduce folks from the Lambuth campus who were present in the room. Dr. Reddick asked all individuals who work on the Lambuth campus to stand to be recognized by attendees.

Issues addressed during the morning session of the committee meetings included:

- University research fund investment that has been made over the last few years and the future investments in terms of research growth;
- Student Success Initiatives including UofM Global, Finish Line, and the River City Partnership where the UofM is embracing challenges in K-12 education in Memphis and is moving towards becoming a part of the solution to the problems in the schools through education of our students;
- The University is in the midst of strategic planning. President Rudd will provide an update to the Board in the spring. Recent meetings reveal that the process is going well and will share some of these details at a future meeting.
- President Rudd discussed programs ranked programs at the UofM. There are 18 ranked graduate programs, the most in the UofM's history. Universities are often organized around conferences and we have more graduate programs ranked than half of the Big 12 and half of the SEC. We expect the number of ranked programs to grow as we get more visibility. Additionally, we have multiple online programs ranked and have the most number of online programs ranked across schools within the State of Tennessee.

Chairman Graf indicated that President Rudd's leadership was critical to the improvements at the UofM and thanked the President and Athletic Director Tom Bowen for the work they did in keeping Coach Norvell at the University of Memphis.

## **VI. PRESENTATION BY PROVOST WEDDLE-WEST**

Chairman Graf turned the meeting over to Dr. Karen Weddle-West.

Provost Weddle-West thanked the faculty and administrators present at the meeting for their attendance. Dr. Weddle-West thanked the Board for their input and support for academics at the UofM. Dr. Weddle-West reported:

- Dr. Andy Meyers discussed some of the initiatives anticipating the (Research Investment to Stimulate the Economy) RISE dollars from the State of Tennessee. Research investment contributes significantly to our economic quality and our creative class here and throughout the state and across the globe.
  - Dr. Meyers discussed \$1 million investment to seed interdisciplinary research. All national agencies, professional organizations and educational programs in higher education stress the importance of triaging and prioritizing collaborations. It is from interdisciplinary research that our graduate programs are nationally ranked and receiving international attention.
  - Presentations during the committee meeting also discussed the UofM's climb to Carnegie I Research status seeded and prompted by research initiatives.

- Dr. Darrell Ray discussed student success initiatives associated with career preparation, tying the academic enterprise to developing our economy and preparing our students for the workplace by ensuring that we are meeting the market demands of the employers. The UofM has redesigned the Career Services Center. We have embedded our career specialists into each of the colleges and schools so that students can begin to prepare for their careers early in their academic career. Provost Weddle-West also discussed the Memphis Career Preparation Academy grant from THEC. Designed to help first-generation students, and others, to help understand the social capital that might not have been a part of their elementary and secondary learning experience.
- Dr. Weddle-West then discussed additional student success initiatives including the award winning Finish Line Program (established in 2011) that targets students who have at least 90 hours towards the completion of their degree. To date, the program has assisted 347 in the completion of their degree. Staff at the UofM do a thorough examination of student's experiences in the workplace to award credit hours for their real life experiences.
- The Provost then discussed the UofM Global online program, the UofM's fastest growing program which has the most potential for enrollment growth and our River City Partnership, a partnership between the College of Education and Shelby County Schools focusing on reengaging with the local system and becoming the model program across the state to educate low income urban students.
- The Provost also reported that she presented the 2020 vision of the academic innovations moving forward, our middle school recruitment initiatives that have reached about 100,000 students during the Academic, Research and Student Success Committee meeting.

## **VII. REPORT AND RECOMMENDATIONS OF THE AUDIT COMMITTEE**

Chairman Graf recognized Trustee Springfield who summarized the Audit Committee meeting as follows:

- Approved the minutes of the October 4, 2017 meeting;
- Heard from Vicki Deaton of Internal Audit who provided a summary of investigations, fraud waste and abuse benchmarking with other State of Tennessee higher education institutions, and follow up on open audit investigations.
- CIO Robert Jackson provided information on the University's IT security efforts.

Trustee Springfield indicated that there was one action required of the Board of Trustees. The Audit Committee recommends the approval of the appointment of Ms. Vicki Deaton as the Chief Internal Auditor for the University of Memphis. The motion was properly seconded. A roll call vote was taken. The motion to approve Ms. Vicki Deaton as the Chief Internal Auditor was approved by a unanimous vote of the Board members present for the meeting.

## **VIII. REPORT AND RECOMMENDATIONS OF THE ACADEMIC, RESEARCH AND STUDENT SUCCESS COMMITTEE**

Page 3  
Board of Trustees Meeting  
Thursday, December 7, 2017

Chairman Graf recognized chair of the Academic, Research and Student Success Committee Trustee Katharine Schaffzin. The Academic, Research and Student Success Committee meeting was summarized as follows:

- The committee approved the minutes of the October 4, 2017 meeting of the committee.
- Heard the presentation by Dr. Andy Meyers on the strategic research investments in anticipation of the RISE. The University of Memphis is committed to investing \$1-2 million in FY 2019-2023 targeting Carnegie I metrics.
- Heard Dr. Ray present on the Career Services redesign which resulted in four new positions, Memphis Career Preparation Academy grant, and the Greek life community action plan.
- Heard from Dr. Dick Irwin on the success of the Finish Line Program and of UofM Global online trends. Regarding the Finish Line Program, it was revealed that, since October 2013, we have graduated 347 students which equates to 621 students under the state's funding formula and that has cost the UofM \$1,800 per student. On average students have needed to take only 11 credits to graduate.
- Heard a presentation by Dr. Kandi Hill-Clarke on the River City Partnership.

#### **IX. REPORT AND RECOMMENDATIONS OF THE GOVERNANCE AND FINANCE COMMITTEE**

Chairman Graf turned the floor over to Trustee Johnson to provide an overview of the ad hoc Public Policy Committee. Trustee Johnson provided a brief summary of the priorities of the ad hoc committee.

- How and when does the Board of Trustees weigh in on legislative issues that affect the University of Memphis?
- How do we build a public policy brand?
- How do we walk that thin line when there is competition for limited public dollars in an area where we also need public collaboration?
- Talked about the fact that the State of Tennessee is the major appropriator for public dollars. How do we educate legislators throughout the state on the needs of the University of Memphis and the interests of the University of Memphis?
- How do we segment our message to ensure that there is an understanding of what we are doing, who we are serving, what is our role and how do we make sure that we ensure that we are doing everything we can to affect those decision?
- How do we make sure that we are engaging public officials to ensure that we receive extra dollars to support our programs?
- Chairman Graf reported that the next item addressed during the meeting was the UofM's fundraising priorities. Fundraising in higher education is vital to improving the quality of education, recruit great faculty and hold down tuition. Chairman Graf requested that Bobby Prince, Chief Development Office stand to be recognized. Mr. Prince described the formal and informal processes that he sets, the priorities established in conjunction with academic affairs and the President and the core

recurring programs for scholarships and endowments, faculty chairs, and the many special projects of the UofM. One example is that we have a \$10 million goal to raise money for Lambuth for scholarships and capital improvements. To date, we have raised \$63 million.

- Secretary Murry suggested that Mr. Prince might have a special announcement to make that impacts the Lambuth campus. Bobby Prince recognized two donors that have made donations to Lambuth:
  - Dr. Jean Varnell continues her strong commitment to the Lambuth's future through a \$500,000 gift to establish the *Dr. Jean Varnell Emergent Opportunities Fund*. With this fund she challenges the Vice Provost for the Lambuth campus, Niles Reddick and his successors, to utilize these funds for strategic initiatives that will bring distinction to the UofM Lambuth campus well into the future. Dr. Varnell could not make the meeting but has asked Mr. Prince to let others know that she is hoping this gift will inspire others to do likewise.
  - Dr. Paul Green, a graduate of Lambuth College, recently made a \$150,000 gift to the Psychology Department at the University of Memphis and has committed to donating an additional \$200,000 to the exclusive benefit of the Lambuth campus. Mr. Prince recognized Dr. Green.
- The requested budget is revised each year once the final enrollment numbers are known. The revenue increased from the original budget and we are now over a half a billion dollars in revenues. The committee reviewed the revenue and expenditures and determined that the UofM is in good condition as it relates to cash flow. Chairman Graf called for a motion of approve the revised budget for fiscal year 2017-18. The motion was made by Trustee Johnson and seconded by Trustee Edwards. A roll call vote was taken. The motion to approve the Revised Budget for Fiscal Year 2017-18 was approved by a unanimous vote of the Board members present for the meeting.
- Chairman Graf discussed Tennessee Board of Regents Severance of Procurement, Capital Projects and Management. This allows the UofM to take a leadership role and approach state agencies directly to receive appropriation dollars. This action will enable the University of Memphis to have greater flexibility in these business matters. It will take approximately six months to put the organization together and we anticipate having the process in control of the University of Memphis sometime in the summer. A motion to approve of the severance of procurement and capital project planning and management from the Tennessee Board of Regents on July 1, 2018 was made by Trustee Schaffzin. The motion was properly seconded. A roll call vote was taken. The motion was approved by a unanimous vote of the Board members present for the meeting.
- Chairman Graf explained that the University of Memphis, under Dr. Jasbir Dhaliwal's leadership, intends to recruit international students to the University of Memphis campuses. The three to five year goal is to have more international students attending the UofM than any other university in the State of Tennessee.
- Chairman Graf explained under the Focus Act, the Board of Trustees is authorized to seek Directors and Officers Insurance. The committee discussed during its meeting earlier in the day. The cost will approximate \$100,000 annually and the committee believes it is the appropriate and prudent thing to do. Chairman Graf called for a motion. The motion was made by Trustee Johnson and was properly seconded. A roll call vote was taken. The motion to secure Directors' and Officers' Insurance, as contained in the meeting materials, was approved by a unanimous vote of the Board members present for the meeting.

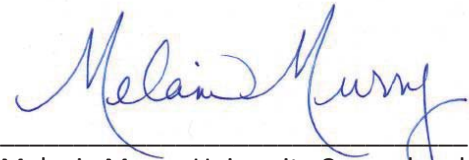
- The next item of business is the naming of the new music facility. The committee recommends that the facility be named *The Scheidt Family Music Center*. Chairman Graf called for a motion. The motion to name the facility *The Scheidt Family Music Center* was made by Trustee Johnson and was properly seconded. A roll call vote was taken. The motion was approved by a unanimous vote of the Board members present for the meeting.
- The next item on the agenda is a delegation of authority for President Rudd to acquire properties previously identified in the land acquisition master plan for the Memphis and Lambuth campuses. Chairman Graf called for a motion. The motion to delegate land acquisition for property identified in the master plan was made by Trustee Schaffzin and was properly seconded. A roll call vote was taken. The motion was approved by a unanimous vote of the Board members present for the meeting.
- An additional item of business was to give authority to President Rudd to develop a financial model for a unified online e-rate, set the e-rate based on the financial model and implement the e-rate. It is believe that this action will help the UofM Global online programs. Chairman Graf called for a motion. The motion was made by Trustee Johnson and was properly seconded. A roll call vote was taken. The motion was approved by a unanimous vote of the Board members present for the meeting.

**X. ADDITIONAL BUSINESS**

There was no additional business to come before the Board.

**XI. ADJOURNMENT**

The meeting was adjourned at 2:42 pm.



Melanie Murry, University Counsel and  
Acting Board Secretary

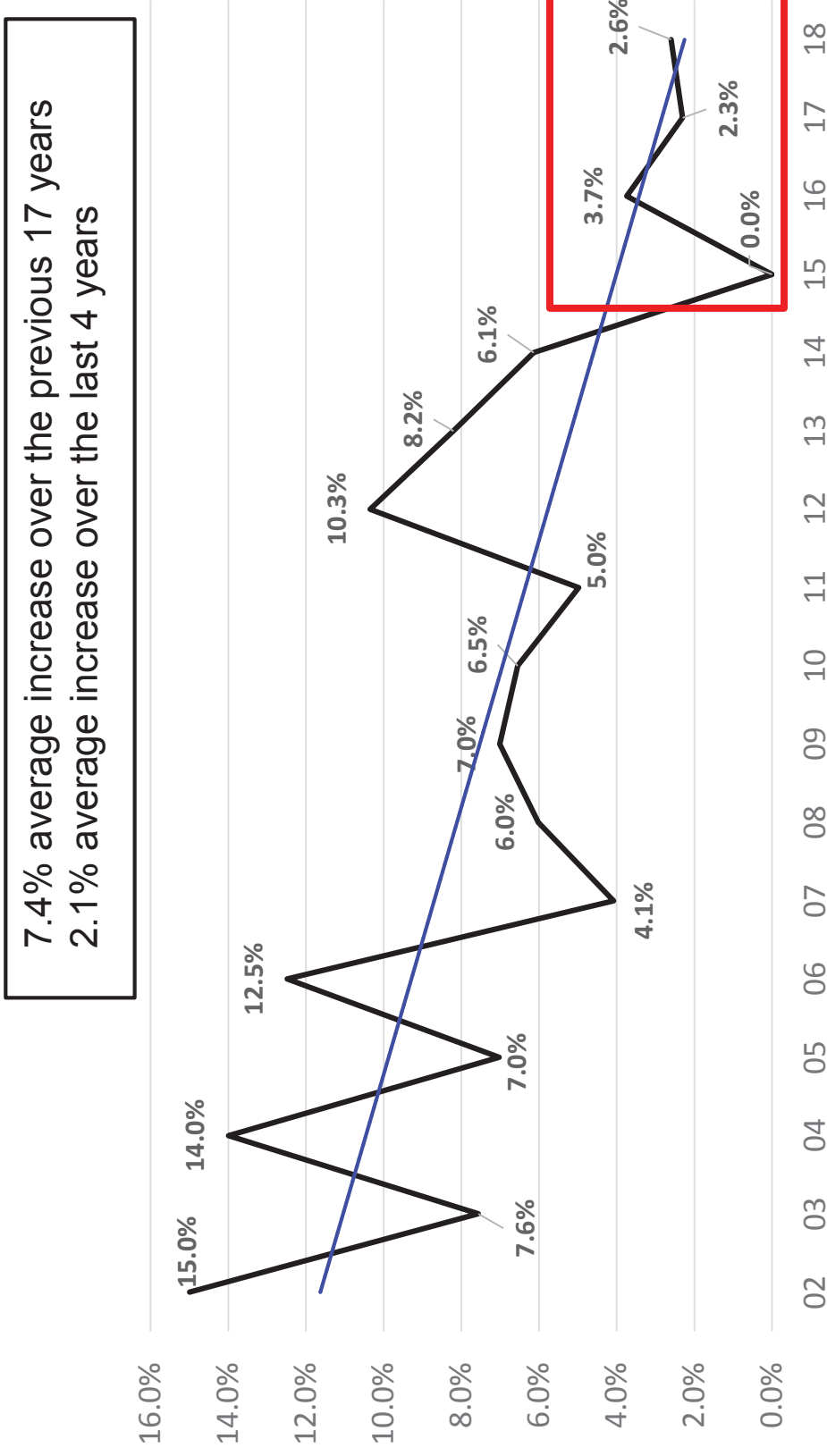


## 4. Presentation by President Rudd

Presentation

Presented by M. David Rudd

# 17 year Historical Tuition % Change

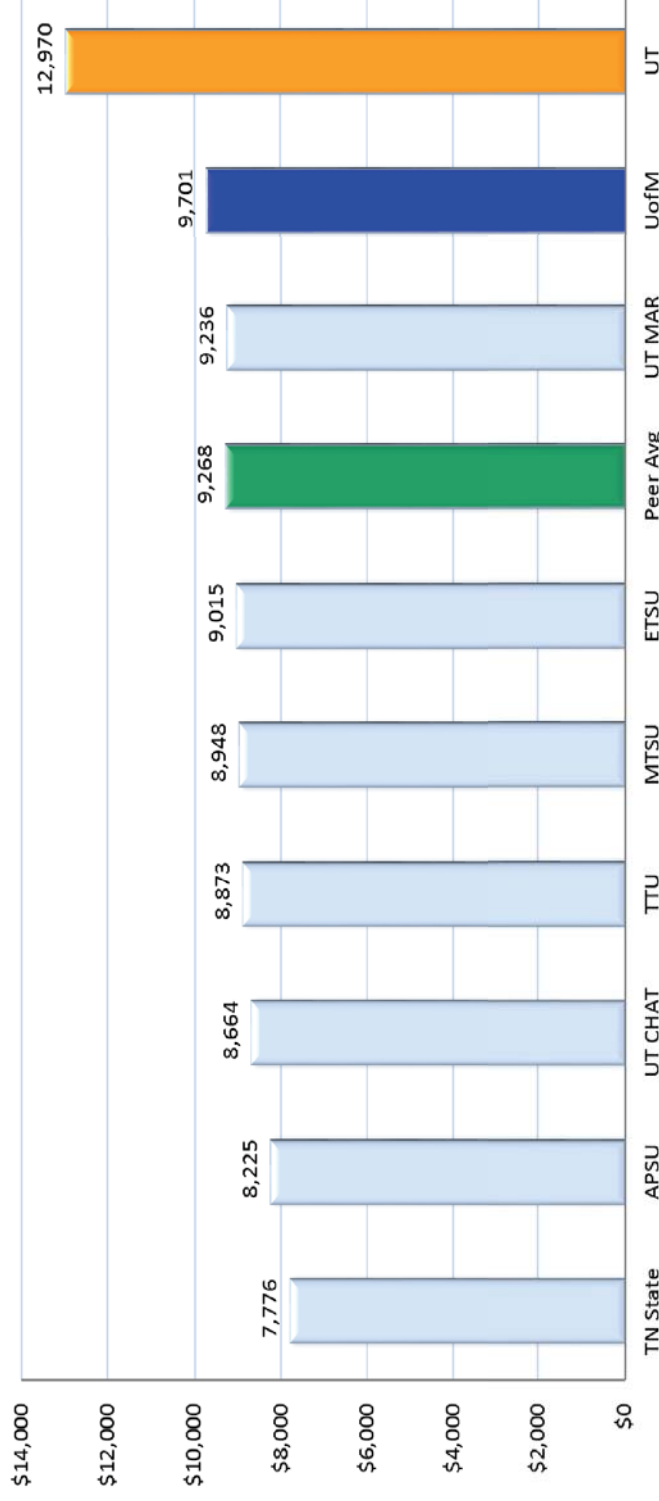




## UofM In State Rate Comparison to Tennessee Peers

Fall 2017 - Spring 2018

Undergraduate Maintenance & Mandatory Fees



APSU- Austin Peay University	ETSU - East Tennessee State University	MTSU - Middle Tennessee State University
Peer Avg - Peer Average	TN State - Tennessee State University	TTU - Tennessee Tech University
UofM - The University of Memphis	UT CHAT - University of Tennessee - Chattanooga	
UT - University of Tennessee - Knoxville	UT MAR - University of Tennessee - Martin	

# Affordability

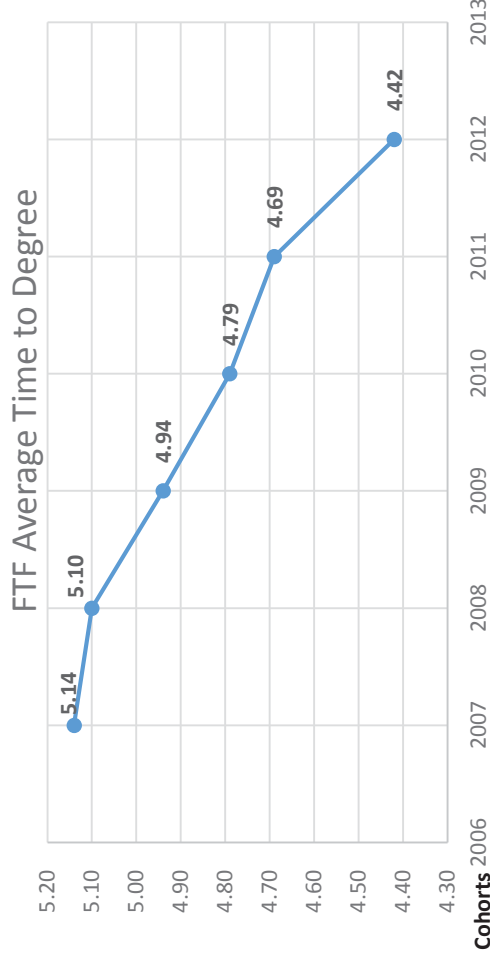
## Average Time to Degree for FTF

Highlighting student success initiatives that the University invests funds in leading to shorter time to degree

Does not directly speak to affordability, but it does speak to results-driven University spending that has shown a realized outcome

Average Time to Degree & Cost of Degree FTF		
Cohort	Average Time to Degree	Average Cost of Degree
2007	5.14	34,293
2008	5.10	36,439
2009	4.94	37,590
2010	4.79	38,675
2011	4.69	39,965
2012	4.42	39,131

Only First Time, Full Time Freshman considered



## 5. Presentation by Provost Weddle-West

Presentation

Presented by Karen Weddle-West



## 6. National Survey of Student Engagement (NSSE) Report

Report

Presented by Colton Cockrum

## Presentation to the Board of Trustees

The University of Memphis Board of Trustees  
Presentation  
For Information

**Date:** March 7, 2018

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

**Presentation Title:** National Survey of Student Engagement (NSSE) Report

**Presented by:** Colton Cockrum, Assistant Vice Provost Institutional Effectiveness, Accreditation, and Academic Assessment

### **Background:**

Over 800 higher education institutions regularly participate in the National Survey of Student Engagement (NSSE) and the UofM administers this survey twice during the five-year Quality Assurance Funding cycle. The NSSE measures student engagement by focusing on the amount of time and effort students place on their academic pursuits and how higher education institutions utilize resources to promote learning activities. The UofM uses the results of the NSSE as a way to promote institutional effectiveness and for compliance with Quality Assurance Funding through the Tennessee Higher Education Commission.

University of Memphis  
NSSE Highlights December 2017

Over 800 higher education institutions regularly participate in the National Survey of Student Engagement (NSSE) and the UofM administers this survey twice in the five-year Quality Assurance Funding cycle. NSSE measures student engagement by focusing on the amount of time and effort students place on their academic pursuits and how higher education institutions utilize resources to promote learning activities.

The UofM uses the results of the NSSE as a way to promote institutional effectiveness and for compliance with Quality Assurance Funding through the Tennessee Higher Education Commission.

**Overview:**

Sets of NSSE questions comprise 10 Engagement Indicators. These indicators are organized into four themes: Academic Challenge, Learning with Peers, Experiences with Faculty, and Campus Environment (see the table below).

**Meaningful Academic Engagement Themes**



**Engagement Indicators**



**Comparison Groups:**

- THEC: Six peer institutions were selected from the list provided by the Tennessee Higher Education Commission (THEC). These institutions include: Mississippi State University, Texas A&M University – Commerce, University of Louisiana at Lafayette, University of North Carolina at Greensboro, University of South Alabama, University of Texas at San Antonio
- Carnegie Class: All 70 other current and prior-year NSSE institutions sharing the Carnegie Classification Doctoral Universities, Higher Research Activity.

- NSSE: All 865 other current and prior-year NSSE institutions (2015 and 2016)

## **Summary of Results:**

### Overall Satisfaction

- The vast majority of UofM NSSE participants are happy with their experiences at the UofM. Specifically, 87% of Seniors and 86% of First-year students rated their experience at the UofM as ‘Good’ or ‘Excellent’.

### Theme: Learning With Peers

#### Engagement Indicator: Discussions with Diverse Others

- Within the theme of Learning with Peers, the University of Memphis Seniors scored higher than the Top 50% of NSSE Institutions and similarly to the Top 10% of NSSE Institutions in the Discussions with Diverse Others indicator. The First-year students also responded similarly to the Top 50% of NSSE Institutions on Discussions with Diverse Others.
- When looking at the individual ‘Discussions with Diverse Others’ questions: ‘Had discussions with people from an economic background other than your own’ and ‘Had discussions with people of a race or ethnicity other than your own’, both Seniors and First-year students responded as having significantly more discussions than the average NSSE, THEC, and other institutions in similar Carnegie Classification peer groups. Both Seniors and First-year students scored significantly higher than the average Carnegie Peer group on ‘Had discussions with people with religious beliefs other than your own’.

### Theme: Campus Environment

#### Engagement Indicator: Quality Interactions

- When looking at the individual questions: ‘Quality of interactions with other administrative staff and offices’ and ‘Quality of interactions with academic advisors’ both Seniors and First-year students scored significantly higher indicating a better interaction than the average NSSE, THEC, and other institutions in similar Carnegie Classification peer groups.

#### Engagement Indicator: Supportive Environment

- The UofM Seniors scored similarly to the Top 50% of NSSE Institutions in the Supportive Environment engagement indicator.
- UofM First-year and Seniors, responded that the institution emphasized ‘Attending campus activities and events (performing arts, athletic events, etc.) at a greater level than NSSE participants. The response options ranged from Very little to Very Much.

### Theme: Experiences with Faculty

#### Engagement Indicator: Student Faculty Interaction

- Both Seniors and First-year students ‘Talked about career plans with a faculty member’ more often than other THEC students.



### Theme: Academic Challenge

#### Engagement Indicator: Learning Strategies

- Seniors were similar to the Top 50% of NSSE Institutions for Learning Strategies. This indicator includes the items 'Identified key information from reading assignments', 'Reviewed your notes after class', and 'Summarized what you learned in class or from course materials'

#### Engagement Indicator: Reflective Integrative Learning

- Both Seniors and First-year Students indicated they 'Included diverse perspectives (political, religious, racial/ethnic, gender, etc.) in course discussions or assignments' more often than THEC and Carnegie and 'Examined the strengths and weaknesses of your own views on a topic or issue' more often than NSSE.

### Theme: High Impact Practice

- Both Seniors and First-year Students indicated they have done an internship, co-op, field experience, student teaching, or clinical placement at a higher rate than the THEC cohort.
- All students also indicated that they participated in a learning community (e.g., formal program where groups of students take two or more classes together) than all three comparison groups.

### Theme: Other Engagement

- Both Seniors and First-year Students indicated they 'Asked questions or contributed to course discussions in other ways' more often than THEC and Carnegie.
- The Seniors spent more hours per week commuting to campus (driving, walking, etc.) than THEC and Carnegie. All UofM students spent more hours per week doing community service or volunteer work than all categories. All UofM students spent more total hours working for pay than NSSE and Carnegie. More specifically, they spent more hours per week working for pay off campus than all comparison groups.

Academic Advising: This was an optional NSSE module. Carnegie was the only comparison group available.

- When asked to what extent have your academic advisors done the following, Seniors indicated that their advisors had 'Been available when needed', 'Listened closely to your concerns and questions', 'Helped you understand academic rules and policies', 'Informed you of academic support options (tutoring, study groups, help with writing, etc.)' and 'Helped you when you had academic difficulties', and 'Helped you get information on special opportunities (study abroad, internship, research projects, etc.) more than Carnegie. The response options ranged from Very little to Very much.
- All UofM participants indicated their advisors 'Informed you of important deadlines, 'Provided useful information about courses', and 'Discussed your career interests and post-graduation plans' to a greater extent when compared to Carnegie.

### Multi-Year Comparisons

- The overall participation rate of First-year students in at least one High Impact Practice increased from 41% in 2014 to 43% in 2016.



# *Academic, Research and Student Success Committee National Survey of Student Engagement*

Dr. Colton Cockrum

March 7, 2018



# National Survey of Student Engagement (NSSE)

Survey of seniors and first-year students



## NSSE

- Administered as a part of Quality Assurance Funding (THEC)
- 865 institutions participated
- Comparison groups
  - THEC cohort (Mississippi State Univ., Texas A&M – Commerce, Univ. of Louisiana at Lafayette, Univ. of North Carolina Greensboro, Univ. of South Alabama, and Univ. of Texas at San Antonio)
  - Carnegie Class
  - NSSE



## Meaningful Academic Engagement Themes

Academic Challenge

Learning with Peers

Experiences with Faculty

Campus Environment

## Engagement Indicators

Higher-Order Learning

Reflective & Integrative Learning

Learning Strategies

Quantitative Reasoning

Collaborative Learning

Discussions with Diverse Others

Student-Faculty Interaction

Effective Teaching Practices

Quality of Interactions

Supportive Environment



## Overall Satisfaction

- 87% of Seniors and 86% of first-year students rated their experience at the UofM as “Good” or “Excellent”

# Theme: Learning with Peers

## Discussions with Diverse Others

- UofM scored in the top 10% of NSSE institutions in “Discussions with Diverse Others”
  - Seniors & first-year students had significantly more discussions with those of a different economic and race/ethnicity background than all comparison groups.
  - Scored significantly higher than the average Carnegie peer group for “discussions with people with religious beliefs other than your own.”
- Implications
  - Alumni
  - Career/internships
  - What does a UofM graduate bring with them upon graduation



# Theme: Campus Environment

## Quality Interactions

- UofM seniors and first-year students scored significantly higher than all comparison groups in “Quality of interactions with academic advisors” and “Quality of interactions with other administrative staff and offices.”
- High quality academic advising
- Our academic advising will continue to improve
- We are providing a better customer service experience





## High Impact Practices

- Internship, field experience, student teaching, clinical placement (THEC cohort)
- Learning communities (all three cohorts)
- Improvement on HIP participation from 41% to 43%
- Next steps: NSSE administration 2019, Quality Assurance Funding.



# 7. Business and Finance Leadership

For Approval

Presented by M. David Rudd

The University of Memphis Board of Trustees  
Agenda Item

Date: March 7, 2018

Committee: Board of Trustees

Item: Chief Financial Officer

Recommendation: Approval

Presented by: M. David Rudd, President

**Background:**

The University retained Parker Executive Search to facilitate the search process for the Chief Financial Officer. A search committee made up of various University employees was also convened to assist in evaluating candidates to determine who should be brought to campus to interview. Three candidates were presented and the successful candidate is Raajkumar S. Kurapati. As evidenced from his resume Mr. Kurapati will be a great addition to the University.

**Committee Recommendation:**

President Rudd recommends approval of the appointment of Raajkumar S. Kurapati to serve as the Chief Financial Officer of the University of Memphis effective May, 2018.

## **RAAJKUMAR “RAAJ” S. KURAPATI, AIF, AIFA**

703 Arroyo Drive, Kingsville, Texas 78363

Work: (361) 593-2419 \*Mobile: (907) 687-5972 \* e-mail: raajkurapati@gmail.com

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### **PROFILE**

- Outstanding analytical, cost analysis, negotiating and strategic thinking skills
- Rare blend of audit, finance, business, technology and project management skills
- Capable of simultaneously overseeing and managing numerous projects and people
- Unique perspective drawn from work experience in various industries in both private and public sectors
- Extensive experience in the application of GAAP, FASB Standards, GASB Standards, GAS and federal program oversight and compliance issues

### **PROFESSIONAL EXPERIENCE**

#### **Vice President for Finance and Chief Financial Officer, Texas A&M University-Kingsville**

Kingsville, Texas, USA 07/2016-Present

- Overall responsibility for all fiscal, business and human resources operations for the University
- Direct reports include the Office of Financial Reporting, Strategic Sourcing, Human Resources, Office of the Bursar, Office of Budget, Payroll, and Office of Accounting
- Responsible for the development of annual operating and capital budgets for the institution and defense of such with the Board of Regents and the Texas Office of the Governor, Lt. Governor, and Legislature
- Member of the President's Cabinet and in the role responsible for managing all issues related to the institution's finances, facilities, and personnel
- Oversight of issuance, service, and management of all institutional debt including management of capital leases
- Responsible for oversight of all internal and external audits and management of outstanding audit findings and recommendations
- Chair of the University Budget Council and in the role responsible for review all institutional budget requests, alignment of such with the University Strategic Plan and resource allocation recommendations to the President
- Member of the University Incident Management Team (Finance Section Chief)
- Responsible for the oversight of the finances of the Texas A&M University – Kingsville Foundation, a legally separate 501(c)(3) and serves as the University Liaison to the Foundation Board of Directors

#### **Associate Vice Chancellor for Financial Services and Business Operations, University of Alaska Fairbanks (A Land, Space and Sea Grant Institution)**

Fairbanks, Alaska, USA 06/2011-7/2016

- Overall responsibility for all fiscal and business operations of the University of Alaska Fairbanks
- Direct reports include the Office of Grants and Contracts Administration, the Office of Finance and Accounting, the Office of the Bursar, Auxiliary Operations Business Office (Dining, Housing, Bookstore, etc.), and University Leasing.
- Responsible for the development and management of an annual University budget of \$480M, including \$120M in competitive sponsored activity (federal, state, local, NGO and corporate)
- Member of the Chancellor's Cabinet and Core Cabinet, the highest advisory and decision making bodies at the institution which set institutional strategic priorities and overarching policy, with responsibility for development, presentation, implementation and oversight of all fiscal policies
- Responsible for direct oversight and responses to all audit and compliance matters (internal and external) as the University Audit Liaison Officer
- Oversight of issuance, service and management of all institutional debt including management of capital leases related to public private partnerships (P3)
- Responsible for all short-term and long-term operational and capital planning
- Member of the Strategic Planning Team and UAF Accreditation Team
- Member of the University of Alaska Incident Management Team (Finance Section Chief) and UAF Chief Records Officer



**Executive Officer, School of Natural Resources & Agricultural Sciences-Agricultural and Forestry Experiment Station / Cooperative Extension Service, University of Alaska Fairbanks**  
Fairbanks, Alaska, USA 06/2008-06/2011

- Oversight and management responsibility for all financial and administrative functions of SNRAS-AFES and the CES including, finance, accounting, budget, procurement, property management, and human resources
- Work closely with the Dean-Director of the School-Station and the Vice-Provost for Outreach and Cooperative Extension Service in ensuring that the School-Station and the Cooperative Extension Service are in compliance with University policies and procedures on finances, operations and human resources
- Managed all short and long-term financial and capital planning of the School-Station and the Cooperative Extension Service
- Work closely with federal agencies, including the U.S. Department of Agriculture (NIFA), to obtain and retain federal funding and to ensure compliance with policies/regulations associated with such
- Responsible for periodic internal and external audits/reviews of the School-Station and the Extension Service and responsible for responding to and addressing findings and recommendations identified in such reviews
- Overall responsibility for coordinating, facilitating and developing the budgets for both the School-Station and the Cooperative Extension Service and monitoring such to ensure that the units operate within established budget ceilings and further ensure that budgets are integrated with unit strategic plans and priorities
- Served on various regional and national committees responsible for development of financial/management policies on federal financial assistance provided to Land Grant Universities

**Chief Financial and Administrative Officer / Director of Finance and Procurement / Acting Director of Admissions, Records and Financial Aid / Adjunct Business Instructor, Northern Marianas College (US Accredited – WASC – An 1862 Land Grant and Space Grant Institution)**  
Saipan, CNMI, USA 10/2003-06/2008

- Oversight and management responsibility for all financial and administrative functions of the College including, finance, accounting, budget, procurement, property management, financial aid, auxiliary services, operations and maintenance
- Worked closely with the Western Association of Schools and Colleges (accrediting body) to ensure that the College was in compliance with related standards and practices
- Prepared periodic accreditation reports to the Western Association of Schools and Colleges to demonstrate the College's compliance with WASC standards and practices which helped facilitate the continued accreditation of the institution and its programs
- Managed all short and long-term financial and capital planning of the institution
- Worked closely with federal agencies, including the U.S. Departments of Education and Agriculture, to obtain and retain federal funding and to ensure compliance associated with such
- Oversaw the Admissions, Records and Financial Aid for a year and, in this capacity, returned the College to good standing with the U.S. Department of Education's federal financial aid programs
- Responsible for the annual external audit of the College and, in this capacity, assisted the institution in addressing various audit issues including resolving over \$1.8 million in questioned costs and findings
- Within three financial years eliminated all accumulated deficits and ensured that the College's financial statements reflected positive fund balances in spite of drastic reductions in the revenues and appropriations
- Successfully prepared the indirect cost rate proposal for the College and had such approved to ensure full reimbursement for indirect costs associated with managing various federal grants at the institution
- Facilitated a commercial borrowing for the College on its own financial merit, a first in its history
- Responsible for the oversight and management of the College's Endowment Fund
- Served as adjunct instructor for various accounting course offered by the institution

**Experienced Senior Auditor, Deloitte & Touche, LLP**  
Saipan, CNMI, USA 09/2002-10/2003

- Auditor-in-Charge and Audit Team Supervisor of the Commonwealth Utilities Corporation audits for financial years 2000, 2001 and 2002
- Auditor-in-Charge of the Comprehensive Audit of the Commonwealth Utilities Corporation's fixed assets
- Auditor-in-Charge and Audit Team Supervisor for all services provided to the Republic of the Marshall Islands National Government (RepMar) and audits of various component units of RepMar in accordance with OMB



Circular A-133, GAAP, Government Auditing Standards (GAS)

- Served as the Engagement-in-Charge and Supervising Auditor for various private and Quasi-Governmental entities operating in the CNMI and the Republic of the Marshall Islands in various industries including government, colleges and universities, banking, utilities, hospitality, construction, retail, etc.
- Effectively managed firm personnel assigned to clients to ensure timely delivery of required reports for audit and financial consulting engagements in CNMI and the Marshall Islands in the industries noted above

**Vice-President & Chief Financial/Compliance Officer / Vice-President & Chief Internal Auditor  
Bank of the FSM (FDIC)**

Pohnpei, Micronesia 07/2000-07/2002

- Managed the financial (accounting) and information technology departments of this \$50 million (assets) institution with five branches/offices
- Developed and implemented financial strategies relative to budgeting, expansion and asset diversification
- Developed, supervised and implemented strategies relative to aggressive growth targets in both operations and technology
- Served on the Senior Management Loan Committee (SMLC), which reviewed and approved credit requests exceeding \$500,000
- Oversaw and coordinated all internal, regulatory and external reporting and compliance requirements of the institutions network of branches/offices
- Supervised the internal audit function and coordinated the outsourcing of such to a Big Four accounting/auditing firm on assumption of the duties of the Chief Financial / Compliance Officer
- Conceived and designed audit procedures to address specific risk areas identified in conjunction with the Bank's Audit Committee/Board of Directors, Management and Regulatory agencies

**Experienced Senior Auditor, Deloitte & Touche, LLP**

Guam/Micronesia 09/1991-06/2000

- Co-managed the firm's local office which serves clients in three pacific island nations in the Micronesia region, including the CNMI and Guam
- Served as Supervising Experienced Senior Auditor in-charge of audits and consulting services to various institutions of higher education (US Land Grant Institutions) including, Northern Marianas College, College of Micronesia and the University of Guam
- Served as the Senior Auditor on and coordinated the timely completion of annual OMB A-128 and OMB A-133 Single Audits of State and Local Governments and their component units in the Micronesian region
- Served as the Auditor-in-Charge/Senior Auditor on clients in banking, telecommunications, utilities, fisheries and retail sectors and not-for-profit organizations
- Coordinated the development and implementation of various accounting, budget and inventory management systems for clients

**Business Consultant**

Micronesia/Saipan/Guam/American Samoa/Alaska  
2001-Present

- Served on several consulting engagements in the region assisting various entities with financial and audit issues and in successfully developing related compliance and resolutions plans for presentation to applicable federal agencies and external parties
- Assisted Northern Marianas College in developing and implementing a formal budget process in compliance with accreditation standards
- Assisted clients in developing, presenting to applicable federal agencies, and successfully negotiating indirect cost proposals and related recovery rates
- Assisted American Samoa Community College (ASCC) in successfully addressing deficiencies in its financial aid office which led to ASCC's removal from the "reimbursement status" and other restrictions placed on its financial aid programs by the US Department of Education
- Assisted Illasagvik College, Barrow, Alaska in development and implementing business processes and internal controls to meet USDA requirements to receive federal funding on their designation as a 1994 Land Grant Institution (Illasagvik is the first Tribal College to receive Land Grant status in Alaska)

**Owner/Manager, Small Businesses** Pohnpei/Chuuk, Micronesia & Northern Marianas  
1996-2006

- Owned and operated small businesses including a tropical marine life export business, a retail store, a bar and grill, an entertainment agency, and a magazine as hobbies and for experience

#### **EDUCATION**

**Bachelor of Business Administration (BBA)**

July 1991

East Texas Baptist University, Marshall, Texas, USA

Concentration: Management and Accounting

Graduate Studies – University of Hawaii, Neighboring Islands MBA Program

**Accredited Investment Fiduciary (AIF) – Designee No. 9069AIF**

**Accredited Investment Fiduciary Analyst (AIFA)**

#### **MEMBERSHIPS & CERTIFICATIONS**

Accredited Investment Fiduciary (AIF) - #9069

Accredited Investment Financial Analyst (AIFA)

Faculty – FI360 Pacific Fiduciary Training Programs

Texas Higher Education Coordinating Board – General Academic Institutions Formula Advisory Committee

WACUBO Business Management Institute Graduate (Tracks 3&4)

FEMA NIMS ICS All-Hazards Finance & Administration Section Chief Certification

Board Member, Asia Pacific Association for Fiduciary Studies (Chair, Investment Committee 2007-Present,

Vice-Chair - Education Committee (Chair 2015-Present) – (Vice-Chair 2011-2014)

Worldwide Who's Who in Business Executives (Lifetime Member)

Rotary Club of Kingsville

Phi Kappa Phi National Honor – Inducted 2017

President, Delta Chi, Kingsville Chapter

Chair, Texas A&M University – Kingsville University Budget Council

Institute of Internal Auditors, Association of Government Accountants, Phi Beta Lambda Professional Society,

FSM Sports Association, Lions Club, FSM Chamber of Commerce, Member, National Extension and Research

Administrative Officers Conference Planning Committee (Host 2011 Conference held in Anchorage, Alaska)

Member UAF Accreditation Team and Strategic Planning Team and various other Committees

#### **REFERENCES**

Mr. Daniel S. Fitzgerald, Chairman, Deloitte & Touche, LLP, Guam/Micronesia

Dr. Steve Tallant, President, Texas A&M University-Kingsville

Dr. Allen Rasmussen, Interim Provost & VP for Research, Texas A&M University - Kingsville

Mr. Brian Rogers, UAF Chancellor Emeritus (Retired August 2015)

Mr. Mike Powers, Interim UAF Chancellor, Former Member University of Alaska Board of Regents

Dr. Mike Sfraga, Vice Chancellor for University and Student Advancement, University of Alaska Fairbanks

Ms. Pat Pitney, Director, Office of Management and Budget, State of Alaska

Mr. Danny Wyatt, Former President & Dean of Academic Programs and Services, Northern Marianas College (1998-2007), Faculty Member University of Hawaii, Manoa

Mr. Jack E. Yakana, Lt. Governor, State of Pohnpei – (Audit & Finance Committee Chair – Bank of the FSM Board of Directors)

Additional references and contact information provided upon request.



## 8. Report and Recommendations of the Audit Committee

Presented by Susan Springfield



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

Presented by Kate Schaffzin



## 9.1. University Mission

For Approval

Presented by Kate Schaffzin

## UNIVERSITY OF MEMPHIS - INSTITUTIONAL MISSION

The University of Memphis is a comprehensive, internationally recognized, urban public research university preparing students for success in a diverse, innovative, global environment. The University is classified as *Doctoral: Higher Research (R2)* and *Community Engaged* by the Carnegie Foundation for the Advancement of Teaching. The UofM is dedicated to providing the highest quality of education to its 21,500 students through 13 colleges and schools which offer 139 academic degree programs at the undergraduate, masters, doctoral and professional levels. The UofM awards more than 4,300 degrees annually. Talented and innovative faculty have developed 14 undergraduate and 18 graduate programs in various disciplines that are ranked in the Top 25 nationally. With a focus on research and service benefitting communities and society, local and global, we are home to Federal research centers in cybersecurity and transportation as well as the National Institutes of Health Center of Excellence in Mobile Health, an 11-university collaboration dedicated to applying computer science, engineering and big data to improve human health. Our metropolitan setting has enabled us to build a nationally-ranked internship program that facilitates the placement of undergraduate and graduate students throughout the community in nonprofit and for-profit organizations that specialize in healthcare, government, transportation and logistics, music and entertainment, medical devices, banking and the arts. Student success, service, innovation, collaboration, diversity and inclusion, and accountability are core values at the University of Memphis.

## 9.2. Ph.D. in Urban Affairs

For Approval

Presented by Kate Schaffzin

## Presentation to the Board of Trustees

The University of Memphis Board of Trustees  
For Approval

**Date:** March 7, 2018

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

**Presentation Title:** Approval of New Academic Programs

**Presented by:** Dr. Karen Weddle-West, Provost and Director of Diversity Initiatives

### **Background:**

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

The PhD in Urban Affairs program exemplifies the University's "Driven by Doing" motto. The program will focus on urban problem-solving with a community-engaged approach and an interdisciplinary framework. In brief, it is designed to prepare graduates with the necessary skills in research, evaluation, and policy design to address the kinds of socioeconomic challenges that face Memphis and other cities like it. The program will address unmet and latent demand among local/regional professionals in public service fields who are seeking more sophisticated approaches to research and evaluation. This market includes professionals in fields like social work, city planning, economic development, philanthropy, criminal justice, and urban education. By providing training in evidence-based practice to local and regional professionals, the program will increase capacity to address urban challenges in Memphis and the Midsouth. There are currently no other doctoral level programs in urban affairs or public policy in the states of Tennessee, Mississippi, or Arkansas that are explicitly interdisciplinary and focus on preparing researchers to address urban or metropolitan issues. As a nationally recognized leader in Engaged Scholarship, the University of Memphis is uniquely positioned to offer this program. The curriculum relies largely on existing courses and resources, requiring little investment, and is expected to generate revenues that exceed expenditures by year 3. The program was developed by an interdisciplinary team representing the four departments in the School of Urban Affairs and Public Policy (City and Regional Planning, Social Work, Public and Nonprofit Administration, and Criminology and Criminal Justice) and three social science departments outside of SUAPP (Political Science, Anthropology, and Sociology).



This proposal have been considered and approved by the respective College or School faculty and Deans. Subsequently, the proposal was considered and approved by the University Council for Graduate Studies, which are the highest governing body that has representation across all colleges and schools. The proposal was also considered and approved by the Provost and President of the University. Subsequent to approval by the Board of Trustees, the program will be submitted to THEC for approval.

**Committee Recommendation:**

The Academics, Research, & Student Success Committee recommends approval of the Ph.D. in Urban Affairs as contained in the meeting materials and delegates authority to the Provost to make any changes necessary to facilitate program approval by THEC.



## 9.3. Ph.D. in Nursing

For Approval

Presented by Kate Schaffzin

## Presentation to the Board of Trustees

The University of Memphis Board of Trustees  
For Approval

**Date:** March 7, 2018

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

**Presentation Title:** Approval of PhD in Nursing (revised)

**Presented by:** Dr. Karen Weddle-West, Provost and Director of Diversity Initiatives

### Background:

The PhD in Nursing was approved by the Board of Trustees in March 2017. Subsequent to the BOT approval and per THEC Policy No. A1:0 New Academic Programs – Approval Process, the program was presented to THEC for review and approval. In response to the THEC review and approval process, which included visits from external reviewers, the original program proposal was updated to reflect the following non-substantive revisions:

1. Curriculum
  - a. Added the courses of Research Practicum and Responsible Conduct of Research;
  - b. Changed the grand theory to middle range theory related to nursing and health equity;
  - c. Required DNP to PhD 54 credits to meet the same PhD program outcomes;
  - d. Designed PhD required courses online to allow flexibility to PhD students;
  - e. Organize elective courses according to education, research, and health equity;
  - f. Identified research foci as Health Equity Research in Education, Practice, and Policy and thus the PhD program is organized as nursing science core, research core, education core, and health equity core;
  - g. Insured consistency of program outcomes.
2. Students
  - a. Designed a plan of the PhD study 4 years for FT students while 5 years for PT students;
  - b. Revised admission requirements;
  - c. Detailed PhD student advising, mentoring, and phases of the PhD requirements;
  - d. Provided sample of study in 4 years and 5 years;
  - e. Revised enrollment # and attrition rates 25%;
  - f. Drafted the PhD student handbook
3. Faculty
  - a. Planned to have U of M Graduate School Dean working with the LCON Dean and deans from other colleges to design a customized faculty mentoring program;
  - b. Planned faculty development as an ongoing investment;
  - c. Planned to hire a research consultant to help faculty build a program of research; and a seasoned PhD Program director to mentor PhD faculty and director;
  - d. Planned to adjust PhD faculty workload in support of their work in the PhD program.

4. Budget
  - a. Revised budget to add consultation, revised enrollment numbers, FTE faculty, marketing, and AACN doctoral conferences.

**Committee Recommendation:**

The Academics, Research, & Student Success Committee recommends approval of the Ph.D. in Nursing with the stated non-substantive revisions.



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

Presented by Alan Graf





## 10.1. UofM Global Rate Increase

For Approval

Presented by Alan Graf

## Recommendation to the University of Memphis Board of Trustees

### Agenda Item

### Recommendation

**Date:** March 7, 2018  
**Committee:** Governance and Finance  
**Topic:** FY2019 uniform UofM Global tuition rate  
**Presented by:** Dick Irwin, Dean UofM Global and Vice Provost, Academic Innovation & Support Services

#### Background:

The University is requesting the following:

- Approval of a uniform UofM Global tuition rate for Undergraduate and Graduate enrollments.

**Undergraduate rate - \$420 per credit hour**

**Graduate rate - \$603 per credit hour**

- Elimination of the UM Global pilot rate.

In June 2017, the Board of Trustees approved continuation of a pilot rate for undergraduate enrollment in four UofM Global programs. Approval of the new uniform rate negates the need to continue the pilot rate program.

#### Committee Recommendation:

The Governance and Finance Committee recommends the approval of the uniform UofM Global tuition rate as contained in the meeting materials.

## 10.2. Folds of Honor Scholarship

For Approval

Presented by Alan Graf

## **Recommendation to the Board of Trustees**

The University of Memphis Board of Trustees

### **Recommendation**

**Date:** March 7, 2018

**Committee:** Governance and Finance Committee

**Topic:** Folds of Honor Scholarship

**Presented by:** M. David Rudd, President

#### **Background:**

Folds of Honor is an organization whose mission it is to provide educational scholarships to spouses and children of America's fallen and disabled service-members. Scholarships are used to subsidize the costs of tuition, school books, fees, on-campus room and board, approved educational tutoring, and other approved educational expenses that a student's school may deem appropriate.

Folds of Honor will provide scholarships for family members of those killed in action in Afghanistan and Iraq.

#### **Recommendation:**

The Governance and Finance Committee recommends that the University accepts funds from the Folds of Honor Foundation for scholarships for family members of those killed in action in Afghanistan and Iraq as payment in full for Tennessee students.

## 10.3. Residence Life Increase

For Approval

Presented by Alan Graf

## Recommendation to the Board of Trustees

The University of Memphis Board of Trustees  
Recommendation

**Date:** March 7, 2018

**Committee:** Governance and Finance

**Recommendation:** Approval of Housing Rates Recommendations

**Presented by:** Darrell C. Ray, Vice President for Student Affairs

### **Background:**

Residence Life is a fully self-supporting operation.

Residence Life is requesting a FY19 rate increase of 5% for traditional student housing. The increase is necessary to fund auxiliary operations including debt payments, programmatic operations, and maintenance of aging facilities. FY19 will be the first year with a full debt payment for the newest residence hall, Centennial Place.

Also we are proposing rate reductions for the Park Avenue apartments and housing at the Lambuth Campus. These reductions will allow us to be more price competitive in those markets. Projected increase in occupancy should offset these rate reductions.

We project the proposed rate adjustments will provide a positive financial impact of \$585,000, enabling us to meet the anticipated fiscal demands of this self-supporting operation.

### **Committee Recommendation:**

The Governance and Finance Committee recommends approval of the proposed changes in residence hall rates as contained in the meeting materials.

## 11. Additional Business of the Board of Trustees





## 12. Adjournment