



TENNESSEE BOARD OF REGENTS
Quarterly Board Meeting
Tennessee Tech University
Friday, March 27, 2015

10:30 – 11:15 a.m. Charter Day Program, Derryberry Auditorium

11:30 – 12:45 p.m. Lunch, Roaden University Center, Multipurpose Room – 2nd floor

1:00 – 4:30 p.m. Quarterly Board Meeting, Bryan Fine Arts Building

- I. Award Presentation Honoring the Service and Dedication of Dr. Richard G. Rhoda
- II. Minutes
 - A. December 11, 2014 Regular Session
 - B. February 13, 2015 Special Called Session
- III. Report of Interim Action
- IV. Report of the Committees
 - A. Approval of the Minutes from the January 28 and February 19, 2015, Special Called Meetings of the Finance and Business Operations Committee
 - B. Approval of the Minutes from the March 10, 2015 Meeting of the Audit Committee that includes Approval of the Revisions to TBR Policy 4:01:05:00 – Internal Audit and TBR Policy 4:01:05:50 – Preventing and Reporting Fraud, Waste or Abuse
- V. Regents Award for Excellence in Philanthropy
- VI. Report of the Chancellor
- VII. Reports of Presidents and Directors
- VIII. Unfinished Business
- IX. New Business
 - A. Consent Agenda
 1. Proposed Revisions to TBR Policy 2:01:01:00 – Approval of Academic Programs, Units, and Modifications (*Denley*)
 2. Proposed Revisions to TBR Policy 4:01:05:60 – Identity Theft Prevention (*Sims*)
 3. Proposed Revisions to TBR Policy 5:01:03:03 – Optional Retirement Programs (*Sims*)
 4. Proposed Revisions to TBR Policy 5:01:03:00 – Retirement (*Sims*)
 5. Proposed Revisions to TBR Policy 4:03:02:00 – Motor Vehicles (*Sims*)
 6. Proposed Revisions to TBR Policy 3:03:01:00 – Student Housing (*Moody*)
 7. Change in Criteria for the Otis L. Floyd Scholarship (*Denley*)

B. Informational Reporting

1. Overview of Governor's Budget Recommendations (*Sims*)
2. Legislative Update (*Gregory*)
3. Update on Academic Affairs (*Denley*)

C. Action Items

1. Approval of the Recommendation for the Director at TCAT – Crump (*Morgan*)
2. Proposed TCAT Program Terminations, Modifications, and New Technical Program Implementations (*King*)
3. Approval of New University Degree Programs (*Denley*)
4. Approval of the March 10, 2015 Minutes of the Special Called Meeting of the Finance and Business Operations Committee that includes a Recommendation on Mandatory and Incidental Fee Requests, and approval of the Disclosure Amendment to the 2015 – 2016 Capital Budget Request (*Duckett*)
5. Request to Name the Faculty Office Building at Nashville State Community College (*Morgan*)



**TENNESSEE BOARD OF REGENTS
Quarterly Board Meeting
March 27, 2015**

EXECUTIVE SUMMARY

I. AWARD PRESENTATION HONORING THE SERVICE AND DEDICATION OF DR. RICHARD G. RHODA

The Board will recognize Dr. Richard G. Rhoda for his years of service to the Tennessee Board of Regents throughout his career.

II. MINUTES

The Board will consider approving minutes from the December 11, 2014 regular scheduled session and the minutes from the special called session on February 13, 2015.

III. REPORT OF INTERIM ACTION

This report serves as a record of business transacted by the Office of the Chancellor since the previous meeting of the Board. A copy of the report is enclosed.

IV. REPORT OF THE COMMITTEES

The Board will consider approving minutes of committee meetings held since the last quarterly Board meeting. The list of minutes included are the January 28 and February 19, 2015 Special Called meetings of the Finance and Business Operations Committee; and, the March 10, 2015 Meeting of the Audit Committee that includes Approval of the Revisions to TBR Policy 4:01:05:00 – Internal Audit and TBR Policy 4:01:05:50 – Preventing and Reporting Fraud, Waste or Abuse.

V. REGENTS AWARD FOR EXCELLENCE IN PHILANTHROPY

The Board will hear a report on the recent award presentation made to the Clayton Family Foundation and Clayton Homes nominated by President Anthony Wise of Pellissippi State Community College. Regent Danni Varlan assisted with the award presentation.

VI. REPORT OF THE CHANCELLOR

The Chancellor's Report will consist of an update on Completion Delivery and a progress report on establishing strategic plan metrics.

VII. REPORTS OF PRESIDENTS AND DIRECTORS

The Board will hear reports from representatives from the universities, community colleges, and colleges of applied technology on items of interest since the last quarterly meeting.

Executive Summary – March 2015 Quarterly Meeting

VIII. UNFINISHED BUSINESS

There is no unfinished business to come before the Board at this time.

IX. NEW BUSINESS – CONSENT AGENDA

1. **Proposed Revisions to TBR Policy 2:01:01:00 – Approval of Academic Programs, Units, and Modifications** (*Vice Chancellor Denley*)

Vice Chancellor Tristan Denley will present the proposed revisions to TBR Policy 2:01:01:00 - Approval of Academic Programs, Units, and Modifications. The proposed modifications coincide with the revised Tennessee Higher Education Commission (THEC) Policy A1.0. New Academic Programs: Approval Process and THEC Policy A1.1. New and Modified Academic Programs: Evaluation Criteria.

These policies and guidelines promote a streamlined approval process for both existing academic programs and those in development offered by the universities. They have been developed in support of the revised THEC policy and serve as a model to the UT System.

2. **Proposed Revisions to TBR Policy 4:01:05:60 – Identify Theft Prevention** (*Vice Chancellor Sims*)

Recommended revisions to Policy 4:01:05:60 – Identify Theft Prevention are housekeeping in nature. A copy of the revised policy is included in the materials.

3. **Proposed Revisions to TBR Policy 5:01:03:03 – Optional Retirement Programs** (*Vice Chancellor Sims*)

The Board will consider the following revisions to Policy 5:01:03:03 on Optional Retirement Programs. The major initiatives in the revisions were: change the name; include the Hybrid Plan information; combine the Optional Retirement Policy and Optional Retirement Guideline into one document to reduce redundancy and make it easier to find related information; and to remove the prohibition of exempt TCAT employees in the ORP plan.

Please Note: *The TCRS Board of Directors has to approve the exempt TCAT employees' participation in the ORP Plan. It will be an agenda item at their March meeting. By removing the prohibitive language, it will allow us to move forward without another approval of this policy, if it is approved at the TCRS March Board meeting. If it isn't approved, the TCRS Employer Handbook will still serve as the defining resource.*

4. **Proposed Revisions to TBR Policy 5:01:03:00 – Retirement** (*Vice Chancellor Sims*)

The Board will consider recommended revisions to Policy 5:01:03:00 on retirement that include the addition of the return to employment provisions for retirees and updating language related to IRS and salary limits.

Executive Summary – March 2015 Quarterly Meeting

5. Proposed Revisions to TBR Policy 4:03:02:00 – Motor Vehicles (*Vice Chancellor Sims*)

The Board will consider the following recommended revisions to Policy 4:03:02:00 – Motor Vehicles. Current policy provides that presidents, chancellor, vice chancellors, general counsel and TCAT directors may be assigned a motor vehicle for their use, with the terms of such use set forth in their respective employment agreements or letters. The recommended revision would authorize payment of an automobile allowance in lieu of assignment of an institutional motor vehicle.

6. Proposed Revisions to TBR Policy 3:03:01:00 – Student Housing (*General Counsel Moody*)

The TBR General Student Housing Policy currently requires that institutional housing policies be submitted to the Board of Regents for approval. This process is burdensome and slow. At its December meeting, the Board expressed an interest in moving this approval process from the Board to appropriate TBR staff. The proposed policy revision moves the approval of institutional housing policies from the Board of Regents to the TBR Offices of General Counsel and Academic Affairs. TBR staff recommends its approval. A copy of the revised policy is included in the materials.

7. Change in Criteria for the Otis L. Floyd Scholarship (*Vice Chancellor Denley*)

On December 14, 1995, the Committee on Academic Policies and Programs approved guidelines and criteria for the awarding of the Otis L. Floyd Scholarship. The scholarship was established in memory of Chancellor Otis L. Floyd from proceeds derived from the sale of the former Chancellor's residence. The initial scholarship was a renewable award covering the cost of in-state tuition and fees; room and board, or in the case of a commuter student, a \$1,500 stipend; and an annual book allowance of \$500.

As the award has been administered during the past 20 years, reducing the amount of available funds, the return on investment has also decreased. As such, the current balance of the scholarship is \$16,731 and annually accrues approximately \$360 in interest.

In order to retain a viable scholarship opportunity under current financial conditions, the Office of Academic Affairs request authority to adjust the scholarship amount and selection criteria until such time as the account no longer has funds to administer.

IX. NEW BUSINESS – INFORMATIONAL REPORTING

1. Overview of Governor's Budget Recommendations (*Vice Chancellor Sims*)

On February 9, 2015 Governor Haslam presented his budget recommendations for fiscal 2015-16 to the General Assembly. The Board will receive a summary that identifies items related to TBR and its institutions.

2. Legislative Update (*Vice Chancellor Gregory*)

The first session of the 109th Tennessee General Assembly convened on January 13, 2015 in Nashville. The TBR Office of Administration has drafted legislation on behalf of the system and tracks legislation which, if passed, could impact our system and our member institutions. This report highlights several key pieces of legislation that are significant this session.

3. Update on Academic Affairs (*Vice Chancellor Denley*)

Over the last year there has been a concentrated effort across the system to examine the effectiveness of restructuring remediation in reading, writing and mathematics for incoming students. Vice Chancellor Tristan Denley will provide an update on the latest data concerning this co-requisite remediation approach and future system implementation plans.

IX. NEW BUSINESS – ACTION ITEMS

1. Approval of the Recommendation for the Director at the Tennessee College of Applied Technology at Crump (*Chancellor Morgan*)

Due to the transfer of Arrita Summers from the position of Director at the Tennessee College of Applied Technology – Crump, a search was opened in January 2015. A search committee was selected to recommend the best possible candidate. The committee consisted of one Board of Regents' member and representatives from faculty, staff, students, the lead institution, and the center's general advisory committee. The position was advertised, applications were reviewed, and candidates were selected for interview. Following the interviews, the Chancellor consulted with the Vice Chancellor for the Tennessee Colleges of Applied Technology and the Board of Regents member on the Advisory Committee for the purpose of making the recommendation of the best candidate to the Board.

2. Proposed TCAT Program Terminations, Modifications, and New Technical Program Implementations (*Vice Chancellor King*)

Program Proposals Requiring Board Approval:

Six (6) program proposals and one (1) program modification are being presented for the Board's review and approval. These proposals will allow the Tennessee Colleges of Applied Technology to be more responsive to the needs of students, businesses, and industries. The proposals are:

- Implementation of a Welding Technology Program at TCAT Livingston. (See Implementation Proposal #1)
- Implementation of a Medical Office Information Technology Program at Morristown. (See Implementation Proposal #2)
- Implementation of a Health Information Management Program at TCAT Jackson. (See Implementation Proposal #3)
- Implementation of a Digital Graphics Design Program at TCAT Dickson's Clarksville and main campuses. (See Implementation Proposal #4)
- Implementation of a Truck Driving Program at TCAT Crossville. (See Implementation Proposal #5)

Executive Summary – March 2015 Quarterly Meeting

- Implementation of a Mechatronics Program at TCAT Dickson. (See Implementation Proposal #6)
- Modification of the HVAC Technology Program at TCAT Murfreesboro. (Program Modification Proposal #1)

Academic Proposals Requiring Only Notification to Vice Chancellor:

Six (6) academic actions were submitted by TCAT institutions to the Vice Chancellor for approval based on section C of the TBR Policy: 2:01:02:00, requiring only notification to the Vice Chancellor. Appropriate documentation to support need was provided. The proposals are as follows:

TCAT	Summary of Proposal	New Costs/Funding Source	Approval/Implementation Date
Livingston	Inactivate the Electronics program due to low enrollment, completion rates, and low placement. Teach out will continue until all current students have completed the program.	None Instructor retiring in 2016	April 2015
Dickson	Inactivate the Solar Photovoltaic Technology program due to low enrollment.	Solar Photovoltaic Technology instructor will be utilized to teach the Mechatronics Program	September 2015 or upon completion of the final graduate.
Ripley	Change the Personnel Computer Support dual enrollment classes at the Bells Campus to Introduction to Computer Technology.	None	January 2014
Knoxville	Adopting new awards to reflect the statewide Computer Information Technology program.	None	January 2014
Knoxville	Adding a 4 th trimester certificate: Advanced PLCs/Robotics in Industrial Maintenance/Mechatronics.	None	May 2015
Pulaski	Expand the current LPN class offering to two classes.	Increase Faculty (1 full-time and 1 part-time)	July 2015

Executive Summary – March 2015 Quarterly Meeting

3. Approval of New University Degree Programs (*Vice Chancellor Denley*)

Middle Tennessee State University

Master of Arts (MALA) in Liberal Arts

Middle Tennessee State University proposes to offer a 30 SCH interdisciplinary degree offering a thesis and non-thesis option to teach cultural, historical, philosophical, geographical, linguistic, artistic, social, and political perspectives that broaden the interests of students and encourage a thirst for knowledge clearly supports the core values of a liberal education. The proposed degree supports the University's mission to generate, preserve, and disseminate knowledge and innovation, and especially its efforts to foster life-long learning, personal development, and success in a student-centered environment.

Middle Tennessee State University

Master of Arts (MLS) in Library Science

Middle Tennessee State University proposes to offer a 36 SCH fully on-line degree. This proposed degree will build upon the existing concentration in Library Science under the M.Ed. in Administration and Supervision program--will be centered on MTSU preparing a new generation of professionals whose primary role is to instruct their clients in information literacy and advocate for libraries in the 21st century.

4. Approval of the March 10, 2015 Minutes of the Special Called Meeting of the Finance and Business Operations Committee that includes a Recommendation on Mandatory and Incidental Fee Requests, and approval of the Disclosure Amendment to the 2015-2016 Capital Budget Request (*Regent Duckett*)

The Board will review and consider for approval the minutes of the March 10, 2015 special called meeting of the Finance and Business Operations Committee which include disclosure amendments to the 2015-16 capital budget request, a recommendation on mandatory and incidental fee requests which would become effective Fall 2015, and out of state tuition requests.

5. Request to Name the Faculty Office Building at Nashville State Community College (*Chancellor Morgan*)

The Board will be asked to consider naming the faculty office building at Nashville State Community College in honor of Dr. Ellen Weed. Back ground materials for this naming are included in the materials.



TENNESSEE BOARD OF REGENTS MEETING

Tennessee Tech University

Cookeville, TN 38501

Friday, March 27, 2015

9:30 a.m. - Check-in – Derryberry Hall: Check-in will begin at **9:30 am CDT** and will be located in the second floor hallway of Derryberry Hall (1 William L. Jones Dr.).

10:30 a.m. - Charter Day Program – Derryberry Hall: A program celebrating the 1915 signing of Tennessee Tech's charter will be held in the auditorium of historic Derryberry Hall – the first building constructed on our campus -- beginning at **10:30 a.m.** Reserved seating will be provided for regents. At completion of program, students (holding signs) will lead TBR guests to lunch.

11:45 a.m. – Lunch – Roaden University Center: A pasta buffet, including a vegetarian option, will be provided in the multipurpose room (2nd floor) of Roaden University Center (1000 N. Dixie Ave.) at **11:45 a.m.** A gluten-free option will also be available upon request. To expedite serving time, salads, desserts, and other items will be pre-set and guests should start filing through the buffet line upon arrival. At completion of lunch, students (holding signs) will lead TBR guests to meeting.

1:00 p.m. – Quarterly Board Meeting – Bryan Fine Arts Building: The meeting will be held in Wattenbarger Auditorium of Bryan Fine Arts Building (1150 N. Dixie Ave.) and will begin at **1:00 p.m.** Meeting will adjourn at approximately **4:30 pm.**

Parking: Parking will be available along one side of Walton House driveway (1155 N. Dixie Ave.) and on parking lot across from Pennebaker Hall (1100 N. Dixie Ave.) & Bryan Fine Arts Building (1150 N. Dixie Ave.) Volunteers will be available to direct you to check-in in Derryberry Hall.

Refreshments: Also beginning at **9:30 am**, refreshments will be provided for TBR meeting guests and other special guests in the following locations: President's Conference Room (Derryberry Hall, Room 210) and Deans' Conference Room (Derryberry Hall, Room 200.)

Lodging: Hotel properties recommended for this meeting are shown below. If you are staying overnight and have not yet made reservations, suggested possibilities include:

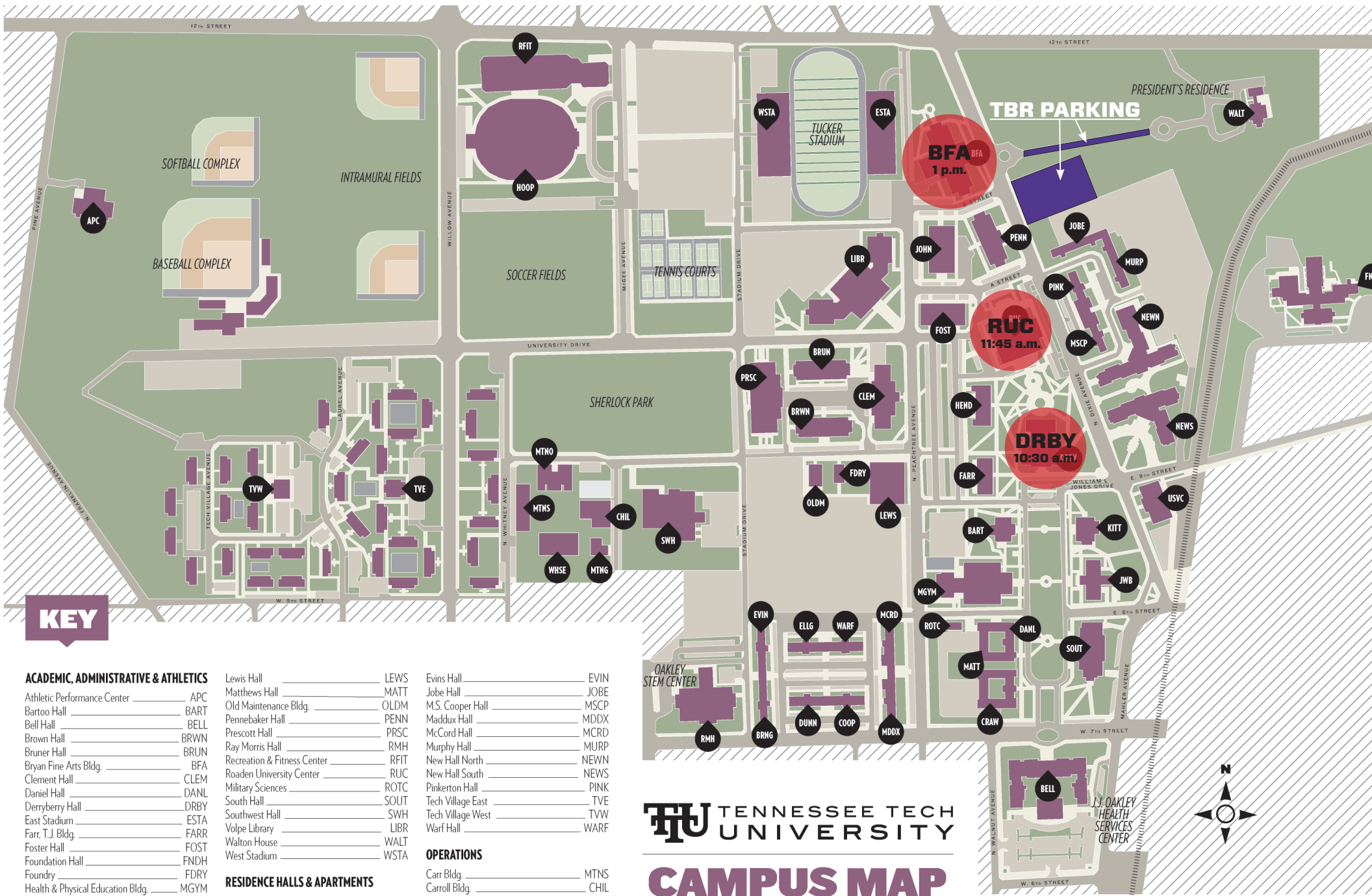
Country Inn & Suites: <http://www.countryinns.com/cookeville-hotel-tn-38506/usacotn> (Mention: Tennessee Board of Regents)

Fairfield Inn: <http://www.marriott.com/hotels/travel/bnack-fairfield-inn-and-suites-cookeville/>

Hampton Inn: <http://hamptoninn3.hilton.com/en/hotels/tennessee/hampton-inn-cookeville-BNACKHX/accommodations/>

Holiday Inn Express: <http://www.hiexpress.com/hotels/us/en/cookeville/ciebr/hoteldetail>

Please feel free to make reservations following the state requirements in the General Travel Policy 4:03:03:00 located at <https://policies.tbr.edu/policies/general-travel>.



KEY

ACADEMIC, ADMINISTRATIVE & ATHLETICS

- | | | | |
|-----------------------------------|------|-----------------------------|------|
| Athletic Performance Center | APC | Lewis Hall | LEWS |
| Bartoo Hall | BART | Matthews Hall | MATT |
| Bell Hall | BELL | Old Maintenance Bldg. | OLDM |
| Brown Hall | BRWN | Pennebaker Hall | PENN |
| Bruner Hall | BRUN | Prescott Hall | PRSC |
| Bryan Fine Arts Bldg. | BFA | Ray Morris Hall | RMH |
| Clement Hall | CLEM | Recreation & Fitness Center | RFIT |
| Daniel Hall | DANL | Roaden University Center | RUC |
| Derryberry Hall | DRBY | Military Sciences | ROTC |
| East Stadium | ESTA | South Hall | SOUT |
| Farr, T.J. Bldg. | FARR | Southwest Hall | SWH |
| Foster Hall | FOST | Volpe Library | LIBR |
| Foundation Hall | FNDH | Walton House | WALT |
| Foundry | FDRY | West Stadium | WSTA |
| Health & Physical Education Bldg. | MGYM | | |
| Henderson Hall | HEND | | |
| Hooper Eblen Center | HOOP | | |
| Jere Whitson Bldg. | JWB | | |
| Johnson Hall | JOHN | | |
| Kittrell Hall | KITT | | |

RESIDENCE HALLS & APARTMENTS

- | | |
|----------------|------|
| Browning Hall | BRNG |
| Cooper Hall | COOP |
| Crawford Hall | CRAW |
| Dunn Hall | DUNN |
| Ellington Hall | ELLG |

OPERATIONS

- | | |
|--------------------------------------|------|
| Carr Bldg. | MTNS |
| Carroll Bldg. | CHIL |
| Facilities & Business Services Bldg. | MTNO |
| Maintenance Garage | MTNG |
| University Police | FNDH |
| University Services Bldg. | USVC |
| Warehouse | WHSE |

TU TENNESSEE TECH UNIVERSITY
CAMPUS MAP





TENNESSEE BOARD OF REGENTS MEETING

Tennessee Tech University

Cookeville, TN 38501

Friday, March 27, 2015

Directions

To: **Bryan Fine Arts Building** **Roaden University Center** Parking area across
1150 N. Dixie Avenue 1000 N. Dixie Avenue N. Dixie Ave from
Cookeville, TN 38501 Cookeville, TN 38501 **Pennebaker Hall**
1100 N. Dixie Ave

From: **State Hwy. 111 North and South of Cookeville**

Hwy. 111 Southbound from Livingston

Turn RIGHT onto the Cookeville/Algood exit and turn RIGHT onto East 10th Street

Hwy. 111 Northbound from Sparta/Chattanooga

Turn RIGHT onto the Cookeville/Algood exit and Turn LEFT onto East 10th Street

1. Continue on East 10th Street 2.1 miles crossing Washington Avenue.
2. Turn LEFT onto North Jefferson Avenue.
3. Take the first RIGHT onto East 9th Street and continue 0.1 miles.
4. Turn RIGHT onto North Dixie Avenue continuing 0.3 miles to parking lot on the right.

To: **State Hwy. 111 North and South of Cookeville**

From: **Bryan Fine Arts Building** **Roaden University Center** Parking area across
1150 N. Dixie Ave 1000 N. Dixie Ave N. Dixie Ave from
Cookeville, TN 38501 Cookeville, TN 38501 **Pennebaker Hall**
1100 N. Dixie Ave

1. Leaving the parking area across from Pennebaker Hall, turn LEFT (south) onto North Dixie Avenue and continue 0.3 miles.
2. Turn LEFT onto East 9th Street and continue .1 miles.
3. Turn LEFT onto N Jefferson Ave and bear right onto East 10th St continuing 2.1 miles

Hwy. 111 South toward Sparta/Chattanooga

Turn RIGHT onto Hwy. 111 South (Sparta/Chattanooga) before overpass.

Hwy. 111 North toward Livingston

Proceed under the overpass staying in the left lane.

Turn LEFT onto Hwy. 111 North (Livingston).



TENNESSEE TECH UNIVERSITY

VISITOR PARKING PERMIT

Issued To: Tennessee Board of Regents Meeting Guest

Valid For: Friday, March 27, 2015

PARKING REGULATIONS

This permit entitles you to park on one side (only) of Walton House driveway (1155 N. Dixie Ave.), on parking lot across from Pennebaker Hall (1100 N. Dixie Ave.), or in any available parking space

EXCEPT

those with 30-minute parking
or handicapped designation.

**MINUTES
TENNESSEE BOARD OF REGENTS
REGULAR SESSION**

December 11, 2014

The Tennessee Board of Regents met in regular session on December 11, 2014. The meeting was held at the TBR central office located in Nashville, Tennessee. Vice Chair Emily Reynolds presided over the meeting and called the meeting to order. At the instruction of the Vice Chair, Ms. Mary Moody, General Counsel and Board Secretary, called the roll. The following members were present:

Mr. Greg Duckett
Mr. Darrell Freeman
Mr. Tom Griscom
Ms. Fran Marcum
Dr. Barbara Prescott
Ms. Rebecca Reeves
Ms. Emily Reynolds
Mr. Howard Roddy
Ms. Leigh Shockey
Mr. J. Parker Smith
Mr. Johnny Stites
Mr. Bob Thomas
Mrs. Danni Varlan
Ms. Dottye Webb

A quorum was present. Members not available to attend the meeting were Governor Bill Haslam and Commissioners Kevin Huffman, Julius Johnson and THEC Executive Director Rich Rhoda.

I. Special Presentations

Roane State Community College Classroom Under the Sea – President Chris Whaley gave brief remarks and introduced biology professor Mr. Bruce Cantrell and adjunct professor Ms. Jessica Fain, instructors for the Roane State and Marine Resources Development Foundation *Classroom Under the Sea* project. Mr. Cantrell and Ms. Faine joined the meeting via Skype. The project instructors lived underwater for 73 days in Jules’ Undersea Lodge. All *Classroom Under the Sea* episodes were made possible through the generous support of Diversity in Aquatics, the project’s official sponsor. Work performed during this project may be viewed at the link below. At the end of the presentation, members had an opportunity to ask questions about the project. Vice Chair Reynolds thanked President Whaley, Mr. Cantrell and Ms. Fain for their involvement and the extraordinary work that they do. <http://www.roanestate.edu/classroomunderthesea/>.

Minutes

December 11, 2014

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Recognition of Regents' Service to the Board – The Board recognized two regents whose families have contributed a total of 50 years of combined service to the Tennessee Board of Regents. The Board recognized the contributions of Regent Jonas Kisber, who was appointed to fill the seat of his late wife, Jane Kisber, in 2001. Together, the Kisbers served the Board for a total of 26 years. In addition, the Board recognized Regent John M. Farris, whose service on the Board combined with his father, William W. Farris, total 24 years.

Vice Chair Reynolds called on Regent Marcum to present the resolution of appreciation for Regent Jonas Kisber, and at the conclusion of the reading, she moved to adopt the resolution. With a unanimous second by the members, the motion was approved. Regents Thomas, Marcum and Reynolds, along with Vice Chancellor King, provided additional comments of appreciation for Regent Kisber. Regent Kisber then addressed the Board and expressed his appreciation for the recognition. The Honorable Matt Kisber, former State Representative and Commissioner of Economic, Community and Development, was in the audience supporting the celebration of his parents' 26 years of service to the Tennessee Board of Regents. A copy of the resolution is attached to the official copy of the Minutes as Appendix A.

Next, Vice Chair Reynolds recognized a second family of long standing service to the Tennessee Board of Regents. She called on Regent Duckett to present the resolution of appreciation for Regent John M. Farris. Regent Duckett moved to approve the resolution with Regent Thomas providing a second. The motion passed. Vice Chair Reynolds reported that Regent Farris was not able to attend due to a scheduling conflict. Regent Thomas expressed his appreciation and friendship throughout the years with the Farris family. Regent Varlan expressed her gratitude to Regent Farris for being a mentor and role model when she was first appointed. President Nate Essex offered words of appreciation for the tremendous support the Farris family has given, and continues to give, to Southwest Tennessee Community College. When notified of this award, Regent Farris expressed to Vice Chair Reynolds his appreciation for this recognition, expressed his apology for not being able to be at the meeting in person and said he would share this with his siblings. A copy of the resolution is attached to the official copy of the Minutes as Appendix B.

Minutes – Consent Agenda

Minutes of the September 26, 2014, regular session Board meeting and minutes of the November 25, 2014, special called session were sent to all Board members for review prior to the quarterly Board meeting. A correction was noted on page 4 of the September 26, 2014, minutes the first paragraph should reflect that it was Director Dwight Murphy and not Director Mark Powers who gave the directors report. It was also noted to add further clarification concerning enrollment at the four year institutions in President Glover's report. Regent Thomas moved to adopt the minutes as corrected. Regent Stites provided a second. The motion passed.

II. REPORT OF INTERIM ACTION

Vice Chairman Duckett called upon Chancellor Morgan who presented to the Board for approval the Report of Interim Action. The report serves as a record of business transacted by the Office of the Chancellor since the previous meeting of the Board. Chancellor Morgan reported that the distributed report failed to include the reclassification of Renee Stewart to Associate Vice Chancellor and further requested approval of the report. Regent Griscom moved to accept the report. Regent Roddy provided a second to the motion. The motion passed. A copy of the Report is attached to the official copy of the Minutes as Appendix C.

III. REPORT OF THE COMMITTEES

Next, the Board considered approval of the November 18, 2014, minutes of the special called meeting of the Personnel and Compensation Committee and the minutes of the November 25, 2014, meeting of the Audit Committee and the November 25, 2014, minutes of the Ad Hoc Committee on Committees. Copies of the minutes were provided to all members. Regent Griscom moved for adoption of the minutes. A second was provided by Regent Marcum. The motion carried. A copy of the minutes from the special called meeting of the Personnel and Compensation Committee is attached to the official copy of the Minutes as Appendix D. A copy of the minutes from the Audit Committee meeting is attached to the official copy of the Minutes as Appendix E. A copy of the minutes from the Ad Hoc Committee on Committees is attached to the official copy of the Minutes as Appendix F.

IV. REPORT OF THE REGENTS AWARD FOR EXCELLENCE IN PHILANTHROPY

Vice Chairman Reynolds called on Regent Marcum for the report of the Regents Award for Excellence in Philanthropy. The recent recipient of the Regents Award for Excellence in Philanthropy was given to West Tennessee Healthcare. Vice President and Chief Operating Officer James Ross accepted the award on behalf of West Tennessee Healthcare at a recent event hosted by Dyersburg State Community College. Assisting with the award presentation on May 10, 2014, was Regent John Farris. West Tennessee Healthcare is a public, not-for-profit healthcare system. It is listed as one of the top 10 largest public, not-for-profit healthcare systems in the United States. Dyersburg State has had the pleasure of working with West Tennessee Healthcare/Jackson-Madison County General Hospital for over 25 years. West Tennessee Healthcare has played an indispensable role in the development of Dyersburg State's very successful nursing program. The associate degree nursing program began in 1980 and graduated its first class in 1982. The program has graduated 1,269 students since its inception and currently admits 114 students each year. In 2013, 19 graduates were employed by West Tennessee Healthcare. Dyersburg State is proud to report that 97% of the 149 graduates of the LPN-RN Fast Track program passed the licensure exam on the first attempt and have been employed immediately upon graduation in the healthcare field. Since its first financial gift, Jackson-Madison County General Hospital / West Tennessee Healthcare has now given more than \$476,000 since November 2013. West Tennessee Healthcare continues to be a clinical site for DSCC nursing and Health Information Technology students. West Tennessee Healthcare is also a true community partner. In the last year it has provided 245

free health screening events and health fairs in the West Tennessee area, serving more than 51,000 people. During the last 10 years, approximately \$1.3 million in nursing scholarships has been given by West Tennessee Healthcare to students attending Dyersburg State, Jackson State, Union University, UT-Martin, University of Memphis, Southwest Tennessee Community College and Tennessee Colleges of Applied Technology. And to enhance health-care related educational programs, West Tennessee Healthcare has contributed more than \$2 million to many of these same institutions to help with nursing programs, additional instructors, additional equipment, and physical plant needs. Dyersburg State has recognized this support by naming the nursing simulation lab in the Glover Building in honor of West Tennessee Healthcare. At the conclusion of Regent Marcum's report, President Bowyer provided additional comments of appreciation toward West Tennessee Healthcare.

V. REPORT OF THE CHANCELLOR

Chancellor Morgan began his report with a brief summary of TBR's involvement at a recent White House Summit on higher education. Vice Chancellor Tristan Denley attended and led one of the sessions. Then he briefed the members on other items of national interest concerning a collaborative effort on an op-ed article written with Nancy Zimpher, Chair of National Association of System Heads concerning education standards.

The next portion of Chancellor Morgan's report was presented by Dr. Ken Lovett from the Office of Community Colleges on Administrative Efficiency Scope of Work. This report was a follow up report from the presentation given at the June 2014 meeting on the Business Process Model project. As part of the BPM implementation and efficiency assessment, surveys conducted were specific to five functional areas at each of the 13 community colleges: Finance, Financial Aid, Human Resources/Payroll, Student Enrollment????(Admissions and Records), and Student Accounts Receivable. Dr. Lovett stated that there is potential efficiency impact savings of \$2.8 million for the System. The impact varies by process and by institution. This assessment leads to a larger efficiency study to be conducted by the Huron Consulting Group to look at larger gains of efficiencies across the system such as service consolidation, regionalization or centers of excellence. Dr. Warren Nichols addressed the Board and provided details of the 10 week study to be conducted by Huron Consulting Group. A report will be provided to the members as soon as the study is completed.

Next, Vice Chancellor Wendy Thompson gave a brief summary about the completion agenda for TBR. She introduced Vice Chancellor Tristan Denley to report on the 2015-2025 strategic plan process for TBR. The members received the Strategic Plan Key Priorities for 2015 – 2025 that include the four primary areas of focus: access, student success, quality, and resourcefulness and efficiency. At the March 2015 meeting, members will be provided with a set of metrics on how these areas will be measured. Regent Griscom moved to adopt the strategic key priorities. Regent Freeman seconded the motion. The motion carried. A copy of the strategic priorities is attached to the official copy of the Minutes as Appendix G.

At the conclusion of Chancellor Morgan's report, he recognized and introduced the TCAT Leadership Academy.

VI. REPORTS OF PRESIDENTS AND DIRECTORS

Vice Chair Reynolds called on President Wise for the report from the two year institutions. He reported on three campus programs targeted to take the cost efficiencies found at their institutions and reinvest in student success programs to help meet the completion goal. Jackson State revamped the student orientation program, Cleveland State developed a first year seminar program, and Walters State started a faculty feedback program. All three campuses have seen a significant impact from the implementation of these programs.

Next, Director Murphy provided the report for the Tennessee Colleges of Applied Technology. As part of his report, Director Murphy asked Mr. Jimmy Johnson, CEO of Forward Summer Economic Partnership and member of the Advisory Board at TCAT-Nashville, to discuss the partnership project in Portland, Tennessee. Next, Director Murphy reported on the TCAT-Murfreesboro and Nissan groundbreaking ceremony for the new training and education facility in Smyrna, Tennessee, scheduled to open in 2016.

Vice Chair Reynolds called on President Glover for the report of the four year institutions. President Glover reported on the various initiatives going on at the four year institutions to review and implement streamlining efforts in the areas of business operations, energy and student services. She gave several examples where campuses are striving to redeploy their savings and put them back into student initiatives.

At the conclusion of this report, Vice Chair Reynolds thanked everyone for their informative and interesting reports.

VII. UNFINISHED BUSINESS

Vice Chair Reynolds called on Mary Moody for this next agenda item. She reported that at the September 26, 2014, quarterly meeting the Board was given notice of the intent to bring changes to its Bylaws before the Board. The proposed revision to Section VII.M.1.d changes the name of the Committee on Tennessee Colleges of Applied Technology to the Committee on Workforce Development, and sets out the duties of the newly renamed committee. Regent Varlan moved to adopt the revisions and a second was provided by Regent Duckett. A roll call vote was taken and the motion passed. A copy of the revised Bylaws is attached to the official copy of the Minutes as Appendix H.

Vice Chair Reynolds gave notice to the Board about possible further changes to the Bylaws at its meeting in March. One particular item up for discussion is the section concerning non-voting committee members.

VIII. NEW BUSINESS – Consent Agenda

The following items were presented under the consent agenda:

1. Proposed Revision to TBR Policy 4:03:03:50 Athletic and Other Group Travel
2. Review and Consideration of New TBR Policy 4:01:05:70 Emergency Management Planning
3. Proposed Revisions to TBR Policy 2:03:00:00 Admissions (Dual Enrollment)

Regent Griscom moved for approval of the consent agenda. Regent Freeman provided a second. A copy of the revisions to TBR policy 4:03:03:50 Athletic and Other Group Travel is attached to the official copy of the Minutes as Appendix I. A copy of the new TBR Policy 4:01:05:70 Emergency Management Planning is attached to the official copy of the Minutes as Appendix J. A copy of the revisions to TBR Policy 2:03:00:00 Admissions (Dual Enrollment) is attached to the official copy of the Minutes as Appendix K.

NEW BUSINESS – Informational Reporting

The following agenda items were presented for informational purposes only and no action was required. The first item was a report on the consolidated management discussion and analysis for the System's FY 2013-14 financial statements. A copy of the observations for our system is attached to the official copy of the Minutes as Appendix L. The second informational report was an employer and alumni survey for the Tennessee Colleges of Applied Technology presented by Vice Chancellor King. This is an annual survey of students and employers designed to assess the effectiveness and relevance of each occupational program. For the 2011-12 survey cohort, alumni rated program preparation for employment "Satisfactory" or above in 98% of the weighted responses. Employers rated student performance "Satisfactory" or above in 96% of the weighted responses. There were approximately 6,640 graduates during the 2012-13 academic year available for job placement. A total of 5,658 graduates were placed in employment for an overall placement rate of 85%, which is 1% increase over the previous year. A written report on institutional fundraising was provided to members in their materials. Annually, institutions across the country report fundraising activities to the Council for Advancement and Support of Education in the Voluntary Support of Education report. This report demonstrates how TBR institutions are performing in private fundraising activities. A copy of this report is attached to the official copy of the Minutes as Appendix M. As the final item under informational reporting, Vice Chancellor Denley informed the Board of an initiative to broaden the public awareness of the capacity of individuals and organizations with the state concerning research within our System. The initiative features videos classified along academic foci of leading researchers (including Chairs of Excellence across the System) discussing their research; research blogs and Wikis to allow researchers across the System collaborative opportunities, increased access to the professional development opportunities across the System, and an electronic journal entitled "Critical Conversation: An Interdisciplinary Journal."

NEW BUSINESS – Action Items

Minutes

December 11, 2014

Page 7 of 9

The first item under New Business – Action Items was to review and approve the search criteria for the president of Southwest Tennessee Community College. The criteria were provided to the members and are attached to the official copy of the Minutes as Appendix N. The search firm of Greenwood/Asher will work with the search advisory committee in providing an applicant pool to be interviewed. Regent Freeman moved to adopt the criteria with a second provided by Regent Duckett. The motion carried.

Next, Vice Chair Reynolds called on Vice Chancellor Sims for the October revised budget for fiscal year 2014 – 2015. The recommended October revisions are based on information that includes recognition of the impact of fall enrollment. The Board was asked to approve a revised budget of \$2,948,339,700. Regent Freeman moved to approve the revised budget. Regent Duckett seconded the motion. A roll call vote was taken and the motion passed. A copy of the revised budget is attached to the official copy of the Minutes as Appendix O.

Vice Chancellor Sims continued with the next agenda item for discussion and action regarding a maintenance fee recommendation on dual enrollment. Background information along with staff's recommendation to the Board was provided to the members and is attached to the official copy of the Minutes as Appendix P. The Board was asked to approve the maintenance fee for dual enrollment as shown below:

Universities - \$166 per hour fee

Community Colleges - \$166 per hour fee

TCATs 35 – 72 scheduled hours – total fee of \$100

TCATs 73 – 107 scheduled hours – total fee of \$200

TCATs 108 and over scheduled hours – total fee of \$300

Regent Smith moved to approve the maintenance fee as described. Regent Duckett seconded the motion, and the motion passed unanimously through a roll call vote.

In the absence of Vice Chancellor Gregory, Vice Chair Reynolds called on Ginger Hausser to present the 2015 system-wide legislative initiatives. The presentation included information on support for operational funding; capital outlay and capital maintenance projects; system-wide legislation to include a funding formula review resolution, immunization simplification and conversion of the University of Memphis Chair of Excellence in Poetry to the Chair of Excellence in Computer Science. Regent Freeman moved to adopt the report. The motion was seconded and approved. A full copy of the report is attached to the official copy of the Minutes as Appendix Q.

Next on the agenda was the approval of new degree programs at the community colleges and universities. The Board reviewed and approved a Master of Science in Finance at Middle Tennessee State University; an Associate of Applied Science in Hospitality and Tourism Management at Chattanooga State Community College; and an Associate of Applied Science in Welding Technology at Pellissippi State Community College. Regent Thomas moved to approve the new degrees as presented with a second provided by Regent Varlan. The motion passed with Regent Griscom abstaining. A copy of the proposed new degree programs is attached to the official copy of the Minutes as Appendix R.

Vice Chancellor Denley presented the next item on the agenda which was review and approval of TBR Policy 2:02:00:02 Reverse Transfer. Reverse Transfer is a credit review of degree seeking students who transfer from a community college to a four year institution prior to receipt of the associate degree to determine if and when the students complete the associate degree requirements and, if so, to award them associate degrees. Regent Freeman moved to adopt the policy with Regent Marcum seconding the motion. The motion passed. A copy of the policy is attached to the official copy of the Minutes as Appendix S.

Next, Vice Chair Reynolds called on Vice Chancellor Denley to address the university housing policies. He reported that for the development of the university housing policies under consideration by the Board, each TBR university initiated a process to develop its housing policy to align with the revised system-wide Student Residence Regulations. These processes included participation in system-wide conference calls held by the Office of Academic Affairs, which included a representative of the Office of General Counsel to provide guidance and to address specific questions raised by university Housing Officers. The policy development process also included active interface between each institution and its General Counsel to assure compliance with legal requirements. The resulting six student housing policies have undergone final review and approval at their respective institutions as well as final review and approval by the Office of General Counsel and the Office of Academic Affairs. A motion was made by Regent Freeman to approve the policies. Regent Smith provided a second to the motion. The motion passed. The institutional policies went into effect immediately upon passage. A copy of the institutional policies is attached to the official copy of the Minutes as Appendix T.

For the next item on the agenda, Vice Chancellor James King presented the TCAT proposed program terminations, modifications, and new technical program implementations. Seven (7) program proposals are being presented for the Board's review and approval. These proposals will allow the Tennessee Colleges of Applied Technology to be more responsive to the needs of students, businesses, and industries. Six (6) academic actions were submitted by a TCAT institution to the Vice Chancellor for approval based on section C of the TBR Policy: 2:01:02:00, requiring only notification to the Vice Chancellor. Regent Griscom moved to approve the program report with a second provided by Regent Freeman. The motion passed. A copy of the proposed programs mentioned is attached to the official copy of the Minutes Appendix U.

Next, Vice Chair Reynolds called on Mary Moody, General Counsel and Board Secretary, for the adoption of policy implementing T.C.A. Title 40, Chapter 7, Part 10, Public Higher Education Funding Requests. She reported that during the 2014 Session, the Tennessee General Assembly enacted Public Chapter 538, which is now codified at T.C.A. Title 49, Chapter 7, Part 10, Public Higher Education Funding Requests. The purpose of the act is "to protect and maintain the integrity of current prioritization and strategic planning processes established to best use limited state funds for public higher education toward greatest need and opportunity and to ensure prudent fiscal policy" T.C.A. § 49-7-101. The Act prohibits employees of the TBR and UT systems from advancing state legislative funding requests without the knowledge of the chancellor or president and requires both the Board of Regents and the UT Board of Trustees to adopt policies and procedures that ensure all legislative requests for state funding for higher education have been

through a prescribed process before coming before the General Assembly. The proposed policy is intended to fulfill the requirements of the Act. A motion was made by Regent Prescott to approve the policy with a second provided by Regent Duckett. The motion passed. A copy of the policy is attached to the official copy of the Minutes as Appendix V.

Next on the agenda was the review and approval of the minutes of the special called meeting of the Personnel and Compensation Committee held on December 11, 2014, that met prior to the quarterly Board meeting. The minutes include revisions to TBR Policy 5:01:01:04 Military Leave, the University of Memphis minimum wage proposal, and executive incentive pay proposals. Vice Chair Reynolds called on Regent Roddy for the report. As Chair of the Committee, Regent Roddy moved to approve the report. Regent Freeman seconded the motion. A roll call vote was taken and the motion passed. A copy of the report is attached to the official copy of the Minutes as Appendix W.

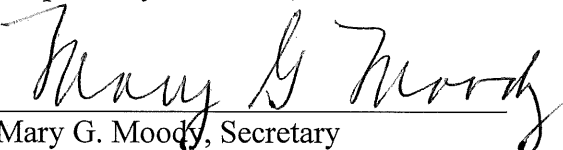
The last item on the agenda was a resolution of appreciation for the service of Director William N. Ray. Vice Chair Reynolds called on Regent Varlan for the reading of the resolution. Regent Varlan moved to adopt the resolution with a unanimous second by the Board. The resolution was approved. Director Ray addressed the Board and thanked everyone for their kind support throughout his career with the Tennessee Board of Regents. Regent Marcum expressed her appreciation for the dedication and support Director Ray has provided throughout his years of service. A copy of the resolution is attached to the official copy of the Minutes as Appendix X.

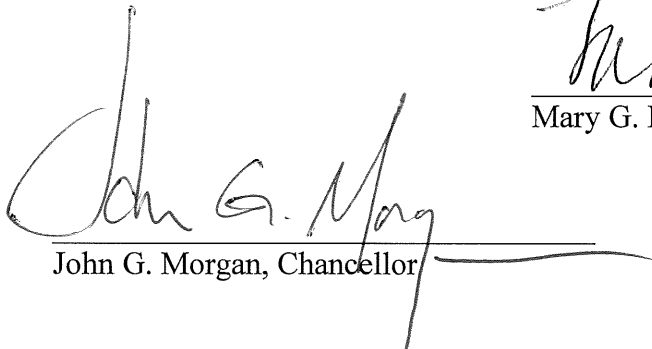
In closing remarks, Chancellor Morgan reported that the March 27, 2015, quarterly meeting would take place at Tennessee Tech University. He further reported that March 27th marks the 100th anniversary of the signing of the charter for the institution, and TTU has graciously requested that the Board hold its March meeting on the campus that day to help celebrate this auspicious occasion.

IX. ADJOURNMENT OF THE MEETING

There being no further business to come before the board, the meeting was adjourned.

Respectfully submitted,


Mary G. Moody, Secretary


John G. Morgan, Chancellor

Emily J. Reynolds, Vice Chair

MINUTES

TENNESSEE BOARD OF REGENTS

SPECIAL CALLED SESSION

February 13, 2015

The Tennessee Board of Regents met in a special called telephonic session on Thursday, February 13, 2015 at 2:30 p.m. (CST). Vice Chairman Reynolds called the meeting to order and asked Mary Moody, General Counsel and Secretary to the Board, to call the roll. The following members participated:

Regent Emily Reynolds, Vice Chairman
Regent Greg Duckett
Regent Darrell Freeman
Regent Tom Griscom
Regent Fran Marcum
Regent Barbara Prescott
Regent Rebecca Reeves
Regent Howard Roddy
Regent Leigh Shockey
Regent J. Parker Smith
Regent Johnny Stites
Regent Bob Thomas
Regent Danni Varlan
Regent Dotty Webb

A quorum was present. Governor Bill Haslam, Interim THEC Executive Director Russ Deaton, Commissioner Julius Johnson and Commissioner Candice McQueen were not available for the call. Observers on the call consisted of a few institutional representatives.

The first item on the agenda was the review and approval of the search criteria for the president at Chattanooga State Community College. Vice Chair Reynolds called on Chancellor Morgan to present this item. Chancellor Morgan reported that the consulting firm of Greenwood/Asher & Associates, Inc. would manage the search process for the next president at Chattanooga State Community College. The criteria for this position were presented to all members prior to the meeting and are attached to the official copy of the minutes as Appendix A. Regent Griscom moved for the approval of the criteria with Regent Stites providing a second to the motion. A roll call vote was taken and the motion passed.

Next, the Board considered for approval the criteria for the president of Motlow State Community College. Again, Vice Chair Reynolds called on Chancellor Morgan for this agenda item. Chancellor Morgan presented the search criteria for the president of Motlow State Community College for the Board's approval. He reported that the Motlow search would be handled internally by the Office of the Chancellor. Regent Thomas moved to approve the criteria, and Regent Stites seconded the motion. A roll call vote was taken and the motion passed. The criteria are attached to the minutes as Appendix B.

The next item presented for the Board's consideration was the review and approval of a request to change the Chair of Excellence in English Poetry at the University of Memphis to the Chair of Excellence in Computer Science. In 1987 Lillian and Maurie Moss Chair of Excellence in English Poetry (Chair Number 20411) was established at the University of Memphis. The chair was established with the hope

that it would attract top academic talent to help build the University's graduate program in creative writing. This goal has not been realized, and the University of Memphis proposes to redirect the funds from Chair Number 20411 to establish a Chair of Excellence in Computer Science. In recent years, the University of Memphis has established itself as a national leader in computer science research related to mobile health and mobile sensor technologies, big data analysis, and data privacy and security. Redirecting these funds will enable the University to further solidify this role. Regent Roddy moved to approve the change. Regent Smith provided a second to the motion. The motion was approved by roll call vote. A copy of the supporting documents is attached to the minutes as Appendix C.

The next item on the agenda was addressed by General Counsel Mary Moody. The Board was asked to review and approve an emergency system-wide rule change concerning student discipline. One of TBR's institutions entered into a Resolution Agreement with the Office of Civil Rights of the U. S. Department of Education, resolving a complaint from a student who alleged that his/her suspension from the institution for "Conduct Dangerous to Self and Others" violated his/her rights under Section 504 of the Americans with Disabilities Act. Under the Agreement, the institution agreed to revise its policy on the subject to comply with the current federal law. This necessitated a revision to TBR Policy 3:02:00:01 to ensure that system level and institutional disciplinary policies comply with the current federal law. While making these revisions, it was determined that other revisions were necessary and would improve the existing policy. The proposed revisions included:

- The revisions required by the Resolution Agreement, removing the "threat to self" as a basis for disciplinary action and requiring any necessary assessments and consideration of alternatives before a suspension or involuntary withdrawal of a student.
- Substituting a requirement to submit institutional disciplinary policies to the TBR Office of General Counsel and Office of Academic Affairs for prior review and approval, instead of approval by the Board.
- Revisions reflecting recent changes to other TBR policies that are referenced in this policy.
- Removal of a provision allowing the president or director to intervene at his or her discretion in a disciplinary proceeding, as that provision created due process problems.
- Miscellaneous, non-substantive housekeeping revisions.

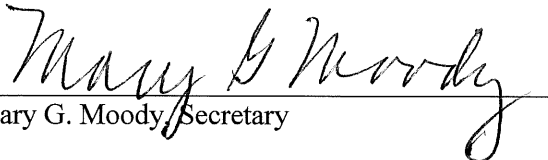
The offices of General Counsel and Academic Affairs recommended the Board adopt the proposed emergency and regular rules necessary to align the rules with the revised policy. Regent Thomas moved to approve the changes with Regent Stites providing a second. A roll call vote was taken and the motion passed. A copy of the supporting documents is attached to the copy of the minutes as Appendix D.

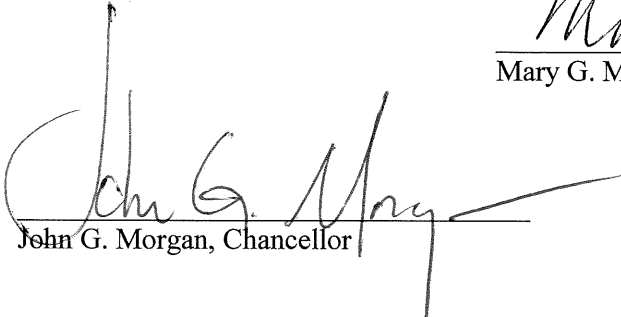
Next, Vice Chair Reynolds called on Chancellor Morgan to discuss the framework for operations at the Cookeville center. Chancellor Morgan provided background information to the members concerning the course offerings from Nashville State Community College and Volunteer State Community College at the Cookeville center and stated that operational support for the facility was to be provided by Tennessee Tech. Chancellor Morgan further reported that members from the executive teams from Tennessee Tech, Nashville State Community College and Volunteer State Community College developed a framework for the operations of this site. The TBR College and Training Center at Cookeville (current working name for the teaching site) would be operated by Tennessee Tech University under the auspices of a management structure that includes participants from TBR, Tennessee Tech, Nashville State and

Volunteer State with program offerings to be delivered by all three institutions. Expenses would be shared among the three institutions based, in part, on utilization. Nashville State and Volunteer State would be able to offer degree programs eligible for Tennessee Promise participation. It is also envisioned that TCAT-Livingston may offer programs at the site depending on demand as determined in consultation with local economic development agencies and area employers. The action requested of the Board was to approve the conceptual framework as stated, with the authority given to the Chancellor to modify the arrangements as may be appropriate as the collaboration evolves. Regents Stites moved for the approval of the conceptual framework as presented at this meeting and to authorize the Chancellor to modify the arrangement as may become appropriate. Regent Roddy seconded the motion. A roll call vote was taken and the motion was approved.

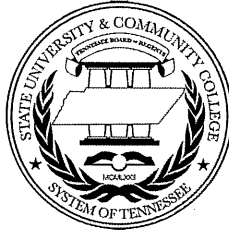
In closing remarks, Vice Chair Reynolds and Chancellor Morgan made announcements about upcoming budget hearings and meetings. Vice Chair Reynolds informed the members of correspondence concerning a pending matter. There was no further business to come before the Board, and the meeting was adjourned.

Respectfully submitted,


Mary G. Moody, Secretary


John G. Morgan, Chancellor

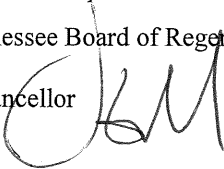
Emily J. Reynolds, Vice Chairman



TENNESSEE BOARD OF REGENTS

Office of the Chancellor

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TO: Members of the Tennessee Board of Regents
FROM: John G. Morgan, Chancellor 
DATE: March 27, 2015
SUBJECT: Interim Action Report – First Quarter

The following constitutes a record of business transacted by the Office of the Chancellor since the previous regular quarterly meeting of the Board of Regents under the authority of Article VIII of the Bylaws, which grants to the Chancellor interim authority to act on behalf of the Board. Pending any questions, the actions are recommended for Board consideration and confirmation.

Personnel Actions – Tennessee Board of Regents Staff

Appointments: Greg Sedrick – Associate Vice Chancellor for Academic Affairs; Academic Affairs; effective January 2, 2015

Reclassifications: Peggy Patterson – Database Technician - IT to Database Administrator - IT; effective March 1, 2015

Promotions: None

Transfers: None

Retirement: None

Separations: LeAnn Blevins; Grant Coordinator, TCAT
Greg Turmel; Senior Database Administrator, IT

Appointments -Vice President & Executive: Attachment A

II. Acceptance of Gifts and Grants

III. Construction Projects: State Building Commission Activities – Attachment B
Summary of Construction Contracts – Attachment C

IV. Approval of Contracts and Agreements – Attachment D

JGM/sm
Attachments

**TBR System-wide
Vice President and Executive Level Appointments**

Institution	Name	Position	Effective Date	Salary
APSU	Dr. Rex Gandy	Provost and Vice President	07/01/15	\$200,000
ETSU	Dr. Timothy Joseph Lane	Basler Chair of Excellence	01/20/15	\$55,000
UOM	Dr. Karen Weddle-West	Provost and Professor in the Department of Counseling, Education Psychology, and Research	02/01/15	\$275,000
DSCC	Dr. Terri Maddox	Vice President for the College	12/15/14	\$115,000

Tennessee Board of Regents
 Summary of State Building Commission Actions
 11/14/2014 to 03/06/2015

<u>Date</u>	<u>SBC Number</u>	<u>Institution</u>	<u>Project</u>	<u>Value</u>	<u>SBC Action</u>
11/19/2014					
	166/012-03-2014	Chattanooga SCC	TCAT Lift Station Replacement	400,000	Threshold project approved by OSA
11/24/2014					
	166/003-05-2014	APSU	Demolition - 1991 Pickens Road	20,000	Approve demolition
	166/007-07-2007	UoM	Community Health Facility	60,003,484	Revision in source of funding
	166/007-22-2014	UoM	Student Recreation Facility Construction	62,000,000	Selected designed
	166/009-07-2013	MTSU	Flight Simulator Building Construction	700,000	Acknowledge change of firm name
	166/009-07-2013	MTSU	Flight Simulator Building Construction	700,000	Designer name change
	166/011-18-2014	TTU	Demolition - 205 West Eighth Street	10,000	Approve demolition
	166/023-01-2014	Walters SCC	Site Corrections	740,000	Designer selected
	166/034-02-2014	Nashville SCC	Southeast Center Renovations	4,800,000	Selected designed
12/11/2014					
	166/000-04-2011	Statewide	TCAT Master Plan	350,000	Presentation and approval of Master Plan
	166/001-04-2012	TSU	Master Plan	400,000	Revise budget and funding
	166/005-02-2005	ETSU	Master Plan Update	420,000	Presentation and approval of Master Plan
	166/007-02-2014	UoM	Wilder Tower Renovations	500,000	Revise budget and source funding
	166/007-04-2013	UoM	Dining Pavilion	151,000	Revise budget and source funding
	166/007-13-2012	UoM	Research Facilities Improvements	1,145,000	Rec'vd report CO #13 @ 11.42%
	166/009-06-2014	MTSU	Midgett Building Mechanical Updaters	320,000	Recieved report of TH project
	166/011-05-2012	TTU	Hooper Eblen Center Scoreboard Replacement	1,750,000	Rec'vd report CO #2 @ 25.96%
	166/012-02-2014	Chattanooga SCC	Hospitality Management Renovations	165,000	Recieved report of TH project
	166/012-03-2014	Chattanooga SCC	TCAT Lift Station Replacement	400,000	Recieved report of TH project
	166/032-04-2014	Pellissippi SCC	Strawberry Plains Nursing Renovations	1,700,000	Approve project
	166/034-03-2014	Nashville SCC	Southeast Center Roof Replacement and Repairs	2,000,000	Approve project
12/17/2014					
	166/007-23-2014	UoM	Demolition-Buildings 43 and 44, Park Avenue Campus	60,000	Approve demolition
	166/011-13-2014	TTU	Recreation and Fitness Center	40,000,000	Designer selected
	166/011-19-2014	TTU	Demolition - 905 North Spruce Avenue	10,000	Approve demolition
	166/011-20-2014	TTU	Demolition - 495 West Ninth Street	15,000	Approve demolition
	166/012-02-2014	Chattanooga SCC	Hospitality Management Renovations	165,000	Designer selected
	166/012-03-2014	Chattanooga SCC	TCAT Lift Station Replacement	400,000	Designer selected
	166/032-04-2014	Pellissippi SCC	Strawberry Plains Nursing Renovations	1,700,000	Designer selected
01/05/2015					
	166/050-01-2015	TCAT - Hartsville	TCAT Hartsville - Wilson County Center	380,000	Threshold project approved by OSA

<u>Date</u>	<u>SBC Number</u>	<u>Institution</u>	<u>Project</u>	<u>Value</u>	<u>SBC Action</u>
01/08/2015	166/000-01-2011	Statewide	TCAT Roof Replacements	7,104,494	Rec'vd rpt C.O. #3 @ 15.92%
	166/001-02-2014	TSU	New Farm Buildings	1,325,000	Approve EDP as recommended by SA
	166/005-01-2013	ETSU	New Data Center	2,705,897	Approve use of Best Value delivery method
	166/005-06-2013	ETSU	CoM Building #60 Renovations	12,931,000	Appr use of CM/GC delivery method
	166/011-13-2014	TTU	Recreation and Fitness Center	40,000,000	Approve use of CM/GC delivery method
	166/012-01-2013	Chattanooga SCC	Energy Plant and Omniplex Roof Replacement	630,000	Rec'vd rpt C. O. #1 @ (13.63%)
	166/032-05-2012	Pellissippi SCC	Campus Settlement Repairs	500,000	Rec'vd rpt C. O. #7 @ 120.29%
	166/033-01-2011	Southwest Tn CC	Union Campus Mechanical Systems Updates	3,360,000	Rec'vd rpt C. O. #2 @ 12.12%
01/12/2015	166/015-01-2015	Columbia SCC	Circular Commons Site Improvements	250,000	Threshold project approved by OSA
01/20/2015	166/000-03-2013	Statewide	Specialty Consultants	1,000,000	Designer name change
	166/011-01-2015	TTU	Demolition - 1108 N. Washington Avenue	10,000	Approve demolition
	166/011-02-2015	TTU	Demolition - 519 East Eleventh Street	10,000	Approve demolition
	166/017-01-2015	Dyersburg SCC	Demolition - 224 West Parkview Street	15,000	Approve demolition
	166/034-03-2014	Nashville SCC	Southeast Center Roof Replacement and Repairs	2,000,000	Designer selected
01/28/2015	166/007-01-2014	UoM	CFA Museum HVAC Modifications	423,000	Threshold project approved by OSA
02/12/2015	166/003-05-2012	APSU	Governors Stadium Renovation	19,000,000	Rec'vd rpt CO #15 @ 13.29%
	166/007-01-2014	UoM	CFA Museum HVAC Modifications	423,000	Recieved report of TH project
	166/007-02-2013	UoM	Women's Softball Training Facility	1,150,000	Elec subcontractor replacment
	166/007-03-2010	UoM	Elevator Modernization	4,425,000	Revise budget and funding
	166/007-11-2013	UoM	Manning Hall Research Upgrades	360,000	Rec'vd rpt CO #3 @ 14.54%
	166/007-17-2014	UoM	Campus Parking Expansion	1,970,000	Revise budget and funding
	166/011-03-2015	TTU	Residence Halls Roof Replacements	750,000	Approve project
	166/015-01-2015	Columbia SCC	Circular Commons Site Improvements	250,000	Designed selected by OSA
	166/015-01-2015	Columbia SCC	Circular Commons Site Improvements	250,000	Recieved report of TH project
	166/015-02-2013	Columbia SCC	Warf Building HVAC Updates	2,048,423	Referred to ESC
	166/032-02-2014	Pellissippi SCC	Student Recreation Center Upgrades	450,000	Revise scope and project budget and funding
	166/050-01-2015	TCAT - Hartsville	TCAT Hartsville - Wilson County Center	380,000	Recieved report of TH project
02/23/2015	166/000-03-2013	Statewide	Specialty Consultants	1,000,000	Report designer name change
	166/009-01-2015	MTSU	Demolition - 1411 East Main Street	50,000	Approve demolition
	166/015-01-2015	Columbia SCC	Circular Commons Site Improvements	250,000	Report Designer selection by OSA
	166/015-02-2013	Columbia SCC	Warf Building HVAC Updates	2,216,103	Revise budget and source funding to award contract

CONSTRUCTION CONTRACTS AWARDED

11/14/2014 to 03/06/2015

18 contracts totaling \$25,944,444.28

<u>Designer</u>	<u>Contractor</u>	<u>Contract Sum</u>	<u>Awarded</u>	<u>Project Number</u>	<u>Project Name / Institution</u>
Fleming/Associates/Architects, P.C.	Southwest Contract	982,656.00	11/17/2014	166/007-13-2011F2	Student Housing Dorm Furniture UoM
Gilbert McLaughlin Casella Architects, plc	Impulse, Inc.	86,250.00	11/21/2014	166/021-04-2013	Forrester Building Interior Renovations Motlow SCC
Fleming/Associates/Architects, P.C.	Contract Furniture Alliance, Inc.	141,122.03	11/21/2014	166/007-13-2011F1	Student Housing Institutional Furniture UoM
Hereford Dooley Architects, Inc.	Olympian Construction Company, LLC	582,750.00	12/02/2014	166/009-07-2013	Flight Simulator Building MTSU
HNA Engineering, pllc	R. L. Campbell Contracting Company, Inc.	78,449.00	12/02/2014	166/000-01-2013E1	Security System Modernization TCAT - Jackson
Turner Construction Company	Bennett Environmental LLC	333,000.00	12/09/2014	166/009-09-2006C3	Davis & Wiser-Patten Abatement MTSU
Moody Nolan, Inc.	Messer Construction Company	3,364,890.00	12/15/2014	166/025-01-2012CM	Humanities Building New Construction Volunteer SCC
Tuck Hinton Architects PLC	Denark Construction, Inc.	2,683,199.00	12/15/2014	166/074-01-2013CM	Nissan Education and Training Facility TCAT - Murfreesboro
Red Chair Architects	P & W Construction Company, LLC	2,319,000.00	12/16/2014	166/005-01-2012	Kingsport Family Physicians Center Renovations ETSU
Haizlip Studio, PLLC	Zellner Construction Services, LLC	4,444,600.00	01/13/2015	166/033-02-2013	Whitehaven Center Renovation Southwest Tn CC
Ross Witt PLLC	ViktorHall Construction, LLC	942,000.00	01/13/2015	166/007-02-2013	Park Avenue Softball Field Women's Indoor Training Facility UoM
Leidos Engineering, LLC	S & W Contracting Company, Inc.	694,720.00	01/13/2015	166/009-04-2004C	Underground Electrical Update MTSU
Moody Nolan, Inc.	Turner Construction Company	4,057,554.25	01/29/2015	166/009-10-2013CM	Bell Street Building Renovations MTSU
OGCB Incorporated	National HVAC Services, LTD	143,787.00	02/05/2015	166/000-01-2010Z1	Chiller Replacement TCAT - Newbern
Engineering Services Group, Inc.	CHC Mechanical Contractors	607,500.00	02/05/2015	166/027-02-2011B	Dunbar & O'Brien Buildings Heating & Cooling Updates Roane SCC

<u>Designer</u>	<u>Contractor</u>	<u>Contract Sum</u>	<u>Awarded</u>	<u>Project Number</u>	<u>Project Name / Institution</u>
Askew Nixon Ferguson Architects, Inc.	Office Scapes, Inc.	1,066,821.31	02/18/2015	166/007-07-2007F1	Community Health Facility Seating Package UoM
jv Thomas, Miller & Partners, LLC and Hastings Arc	Turner Construction Company	1,625,401.69	02/26/2015	166/009-09-2006C4	Davis & Wiser-Patten Demo & Renovations MTSU
I.C. Thomasson Associates, Inc.	Kerry G. Campbell, Inc.	1,790,744.00	02/27/2015	166/015-02-2013	Warf Building HVAC Updates Columbia SCC

Tennessee Board of Regents
Summary of State Building Commission Executive Subcommittee

November 24, 2014 SBC Executive Subcommittee Meeting

<u>Institution</u>		<u>SBC ESC Action</u>	<u>Action to be Taken</u>
UoM SBC #166/007-07-2007	Community Health Facility	Approved a revision in source of funding.	Tennessee State School Bond Authority (TSSBA) requested to provide bond financing in the amount of \$4M with repayment from gifts. APSU will coordinate demolition.
APSU SBC #166/003-05-2014	Demolition	Approved demolition of building at 1991 Pickens Road, Clarksville, Tennessee.	TTU will coordinate demolition.
TTU SBC #166/011-18-2014	Demolition	Approved demolition of building at 205 West Eighth Street, Cookeville, Tennessee.	
TTU Transaction 14-10-006	Acquisition	Approved acquisition of property at 205 West Eighth Street, Cookeville, Tennessee.	Office of Facilities Development (OFD) and Department of General Services (GS) to coordinate transaction.
WSCC SBC #166/023-01-2014	Site Corrections	Barge Waggoner Sumner Cannon approved as the designer.	OFD prepares the Designer Agreement and proceeds with project.
NaSCC SBC #166/034-02-2014	Southeast Center Renovations	Johnson Johnson Crabtree approved as the designer.	OFD prepares the Designer Agreement and proceeds with project.
UoM SBC #166/007-22-2014	Student Recreation Facility	The Crump Firm approved as the designer.	OFD prepares the Designer Agreement and proceeds with project.

December 17, 2014 SBC Executive Subcommittee Meeting

<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>	<u>Action to be Taken</u>
UoM SBC #166/007-23-2014	Demolition	Approved demolition of buildings 43 and 44, Park Avenue Campus, Memphis, Tennessee.	UoM will coordinate demolition.
TTU SBC #166/011-20-2014	Demolition	Approved demolition of building at 495 West Ninth Street, Cookeville, Tennessee.	TTU will coordinate demolition.
TTU SBC #166/011-19-2014	Demolition	Approved demolition of building at 905 North Spruce Avenue, Cookeville, Tennessee.	TTU will coordinate demolition.
TBR Policies	Lease Procurement	Approved RFP, Lease Procurement Methods Policy & Procedures and Standard Cost Estimates.	TBR to coordinate leases in accordance with approved policies.
APSU Transaction 14-11-011	Acquisition	Approved acquisition of 10.5 acres adjacent to campus for future expansion and parking.	OFD/GS to coordinate transaction.
PSCC Transaction 09-02-027	Contract for Realty Services	Approved one year contract with Oliver Smith Realty and Auction Company to market former Blount County campus.	Continue marketing surplus property.
TTU Transaction 14-11-009	Acquisition	Approved acquisition of property at 495 West Ninth Street, Cookeville, Tennessee.	OFD/GS to coordinate transaction.
TTU Transaction 14-11-012	Acquisition	Approved acquisition of property at 905 North Spruce Avenue, Cookeville, Tennessee.	OFD/GS to coordinate transaction.

December 17, 2014 SBC Executive Subcommittee Meeting (continued)

<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>	<u>Action to be Taken</u>
TTU Transaction 14-11-013	Acquisition	Approved acquisition of property at 1145 North Franklin Avenue, Cookeville, Tennessee.	OFD/GS to coordinate transaction.
TTU Transaction 14-11-010	Acquisition	Approved acquisition of property located at 355 West Eighth Street, Cookeville, Tennessee.	OFD/GS to coordinate transaction.
ChSCC SBC #166/012-02-2014	Hospitality Management Renovations	Artech Design Group approved as the designer	OFD prepares the Designer Agreement and proceeds with project.
ChSCC SBC #166/012-03-2014	Lift Station Emergency Repairs	CTI Engineers Inc. approved as the designer.	OFD prepares the Designer Agreement and proceeds with project.
PSCC SBC #166/032-04-2014	Strawberry Plains Nursing Renovations	Community Tectonics approved as the designer,	OFD prepares the Designer Agreement and proceeds with project.
TTU SBC #166/011-13-2014	Student Recreation and Fitness Facility	HRF Designer approved as the designer.	OFD prepares the Designer Agreement and proceeds with project.

January 12, 2015 SBC Executive Subcommittee Meeting

<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>	<u>Action to be Taken</u>
DSCC SBC #166/017-01-2015	Demolition	Approved demolition of the building at 224 West Parkview Street, Dyersburg, Tennessee.	DSCC will coordinate demolition.
TTU SBC #166/011-02-2015	Demolition	Approved demolition of building located at 519 East Eleventh Street, Cookeville, Tennessee.	TTU will coordinate demolition.
TTU SBC #166/011-01-2015	Demolition	Approved demolition of building located at 1108 N. Washington Avenue, Cookeville, Tennessee.	TTU will coordinate demolition.
VSCC Transaction 15-01-002	Acquisition	Approved acquisition of 2 tracts adjacent to the VSCC Highland Crest Campus in Springfield, Tennessee.	OFD and GS to coordinate transaction.
VSCC Transaction 14-12-909	Disposal by Lease	Approved a 20 year lease agreement (February 1, 2015 thru January 31, 2035) with the Sumner County Rugby Club for 35.5 +/- acres on the donated Spurlock property in Cottontown, Tennessee.	TBR and GS to coordinate execution of lease agreement.
UoM Transaction 15-01-001	Disposal	Approved disposal of property at 4035 Grandview, Memphis, Tennessee, and contract with realty firm to market the property.	UoM, OFD and GS to coordinate transaction.
TTU Transaction 14-12-008	Acquisition	Approved acquisition of property located at 519 East 11st Street, Cookeville, Tennessee.	OFD/GS to coordinate transaction.
TTU Transaction 14-12-006	Acquisition	Approved acquisition of property located at 520 East 11st Street, Cookeville, Tennessee.	OFD/GS to coordinate transaction.
TTU Transaction 14-12-007	Acquisition	Approved acquisition of property located at 1090 N. Washington Avenue, Cookeville, Tennessee.	OFD/GS to coordinate transaction.

January 12, 2015 SBC Executive Subcommittee Meeting (continued)

<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>	<u>Action to be Taken</u>
TTU Transaction 14-12-009	Acquisition	Approved acquisition of property located at 1108 N. Washington Avenue, Cookeville, Tennessee.	OFD/GS to coordinate transaction.
TTU Transaction 14-12-010	Acquisition	Approved acquisition of the property located at Gainesboro Grade, Cookeville, Tennessee.	OFD and GS to coordinate transaction.
NaSCC SBC #166/034-03-2014	Southeast Center Roof Replacement	Richard C. Rinks & Associates approved as the designer.	OFD prepares the Designer Agreement and proceeds with project.
<i>February 23, 2015 SBC Executive Subcommittee Meeting</i>			
<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>	<u>Action to be Taken</u>
CoSCC SBC #166/015-02-2013	Warf Building HVAC Updates	Approved a revision in project budget and source(s) of funding and award a contract to Kerry G. Campbell, Inc.	OFD to prepare Owner/Contractor Agreement and proceed with project.
MTSU SBC #166/009-01-2015	Demolition	Approved demolition of building located at 1411 East Main Street, Murfreesboro, Tennessee.	MTSU will coordinate demolition.
NeSCC Transaction 15-01-012	Acquisition	Approved acquisition by gift the Regional Advanced Manufacturing (RCAM) building from the NeSCC Foundation in Kingsport, Tennessee.	OFD and GS to coordination transaction.
NeSCC Transaction 15-02-002	Acquisition	Approved acquisition by gift (0.25+/- acres) from Domtar Paper Co LLC for an additional building adjacent to the current RCAM building.	OFD and GS to coordination transaction.
STCC Transaction 15-01-013	Acquisition	Approved acquisition of the property located at 1236 Finley Road, Memphis, Tennessee adjacent to the STCC Whitehaven campus.	OFD and GS to coordination transaction.
UoM Transaction 13-09-011	Acquisition	Approved acquisition of the property at 3610 Watauga Avenue, Memphis, Tennessee.	OFD and GS to coordination transaction.

Summary by Type of Contract

Contracts Approved from November 16, 2014 to February 28, 2015

<u>Dept./Institution</u>	<u>Amendment to Existing Contract</u>	<u>Clinical Affiliation</u>	<u>Dual Services</u>	<u>Professional Services</u>	<u>Service Agreement</u>	<u>Other</u>	<u>Contract Total</u>
TBR Offices							
Academics	1	-	-	-	-	-	1
RODP	2	76	6	2	-	3	89
TBR Combined	7	-	4	2	1	9	23
Subtotal	10	76	10	4	1	12	113
Institutions							
APSU	-	-	-	-	1	-	1
ETSU	-	-	-	-	-	1	1
MTSU	-	-	-	-	1	1	2
TSU	-	-	1	-	-	1	2
TTU	-	-	-	-	1	-	1
UOM	-	-	-	-	3	-	3
ChSCC	-	-	-	-	-	2	2
CISCC	-	-	-	-	-	1	1
CoSCC	-	-	-	-	-	-	-
DSCC	-	-	-	-	-	2	2
JSCC	-	-	-	-	-	-	-
MSCC	-	-	-	-	-	-	-
NaSCC	-	-	-	-	-	1	1
NeSCC	-	-	-	-	-	-	-
PSCC	-	-	-	-	-	-	-
RSCC	-	-	-	-	-	-	-
STCC	-	-	-	-	-	1	1
VSCC	-	-	-	-	-	-	-
WSCC	-	-	-	-	-	-	-
TTC Combined	-	-	-	-	-	11	11
Subtotal	-	-	1	-	6	21	28
Grand Total	10	76	11	4	7	33	141

Summary by Type of Contract

Contracts Approved from November 16, 2013 to February 28, 2014

<u>Dept./Institution</u>	<u>Amendment to Existing Contract</u>	<u>Clinical Affiliation</u>	<u>Dual Services</u>	<u>Professional Services</u>	<u>Service Agreement</u>	<u>Other</u>	<u>Contract Total</u>
<u>TBR Offices</u>							
Academics	-	-	1	1	-	3	5
RODP	1	98	-	-	-	4	103
TBR Combined	5	-	2	3	5	4	19
Subtotal	6	98	3	4	5	11	127
<u>Institutions</u>							
APSU	-	-	-	-	-	-	-
ETSU	-	-	-	-	-	3	3
MTSU	-	-	-	-	-	5	5
TSU	-	-	-	-	1	-	1
TTU	-	-	-	-	-	1	1
UOM	-	-	1	1	2	4	8
ChSCC	-	-	-	-	-	3	3
CISCC	-	-	-	-	-	-	-
CoSCC	-	-	-	-	-	-	-
DSCC	-	-	-	-	1	-	1
JSCC	-	-	-	-	-	-	-
MSCC	-	-	-	-	-	-	-
NaSCC	-	-	1	-	-	1	2
NeSCC	-	-	-	-	-	-	-
PSCC	1	-	-	-	-	-	1
RSCC	1	-	-	-	1	-	2
STCC	-	-	-	-	1	-	1
VSCC	-	-	-	-	-	-	-
WSCC	-	-	-	-	-	-	-
TTC Combined	-	-	2	2	-	12	16
Subtotal	2	-	4	3	6	29	44
Grand Total	8	98	7	7	11	40	171

Tennessee Board of Regents

Contracts Approved November 16, 2014 through February 28, 2015

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
104551	Professional Service	Everfi, Inc. - sexual assault prevention, no cost pilot	Academics	Personnel	\$0.00	no	1/1/2015	12/31/2015	no
103158	Amendment to Existing Agreement	Middle Tennessee State University, COHRE	Academics	Consulting	\$98,450.00	no	2/11/2013	6/30/2015	no
104646	Service Agreement	Pomeroy IT Solutions - campus network switch refresh	APSU	Other - Services	\$299,526.38	yes	2/1/2015	6/30/2015	yes
104598	Lease Agreement	Tennessee Department of Labor & Workforce	CLSCC	Lease of Space	\$17,000.00	no	12/1/2014	12/1/2019	no
103829	Amendment to Existing Agreement	Milek Media, LLC - professional media buying services for advertising campaign	COMM	Other - Services	\$1,500,000.00	no	2/1/2014	1/31/2016	yes
104586	Cooperative Agreement	University of Tennessee at Knoxville	Comm. Colleges	Memo of Understanding	\$0.00	no	1/2/2015	1/2/2018	no
104582	Dual Services Extra Compensation	Tennessee Board of Regents-Kenyatta Lovett	Comm. Colleges	Personnel	\$5,152.56	no	1/12/2015	5/12/2015	no
104619	Dual Services Extra Compensation	University of Memphis	Comm. Colleges	Teaching	\$2,382.41	no	1/20/2015	5/7/2015	no
104620	Cooperative Agreement	Nashville State and Vol State	Comm. Colleges	Memo of Understanding	\$0.00	no	7/1/2015	7/1/2018	no
104665	Grant Agreement	Tennessee Department of Education	Comm. Colleges	Grant Subcontract	\$21,000.00	no	4/30/2015	6/30/2015	no
104588	Use of Facilities	Bryan College	CSTCC	Lease of Space	\$0.00	no	1/1/2015	12/31/2015	no
104650	Revenue	Amazon	CSTCC	Training	\$148,564.00	no	1/26/2015	1/26/2020	no
104584	Lease Agreement	Moss Enterprises	DSCC	Lease of Space	\$21,960.00	no	1/1/2015	12/31/2015	no
104585	Lease Agreement	Forcum Lannon	DSCC	Lease of Space	\$46,500.00	no	3/1/2015	2/29/2016	no
104658	Professional Service	First Tennessee Bank	ETSU	Banking Services	\$5,000,000.00	no	2/1/2015	1/31/2020	yes
102914	Amendment to Existing Agreement	PeopleAdmin, Inc.	HR	Computer Software License	\$455,555.00	yes	1/1/2013	12/31/2017	no
104222	Service Agreement	MTSU - COHRE	HR	Other - Services	\$35,000.00	no	6/1/2014	9/1/2015	no
104578	Software License	Morgan Kai Group Inc. - audit management software system	Internal Audit	Computer Software License	\$109,363.00	yes	12/12/2014	1/4/2016	yes
104119	Service Agreement	Southeast Service Corporation, dba SSC Service Sol	MTSU	Custodial Services	\$3,400,000.00	no	7/1/2014	6/30/2019	yes
104542	Cooperative Agreement	Chung Yuan Christian University	MTSU	Memo of Understanding	\$0.00	no	9/9/2013	9/8/2018	no
101842	Banking Services	First Tennessee Bank	NSCC	Banking Services	\$145,000.00	no	7/1/2010	1/11/2016	yes
104352	Clinical Affiliation	State of Franklin Healthcare Association	Nursing/AH	Clinical Experience	\$0.00	no	1/2/2015	1/1/2020	no
104286	Clinical Affiliation	Dr. Antonio D. Carcamo, MD	Nursing/AH	Clinical Experience	\$0.00	no	8/25/2014	8/24/2019	no
104369	Clinical Affiliation	Collierville Pediatric	Nursing/AH	Clinical Experience	\$0.00	no	8/26/2014	8/25/2019	no
104386	Clinical Affiliation	The Village Primary Care & Dispensary	Nursing/AH	Clinical Experience	\$0.00	no	9/3/2014	9/2/2019	no
104426	Clinical Affiliation	Nashville Breast Center	Nursing/AH	Clinical Experience	\$0.00	no	9/16/2014	9/15/2019	no

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
104456	Clinical Affiliation	Good Shepherd Health Care System (Oregon)	Nursing/AH	Clinical Experience	\$0.00	no	9/25/2014	9/24/2016	no
104461	Clinical Affiliation	Urgent Family Care (Knoxville)	Nursing/AH	Clinical Experience	\$0.00	no	9/25/2014	9/24/2019	no
104465	Clinical Affiliation	Trigg County Hospital dba Trigg Medical Associates	Nursing/AH	Clinical Experience	\$0.00	no	9/25/2014	9/24/2019	no
104472	Clinical Affiliation	Delta Health Center, Inc. (Mississippi)	Nursing/AH	Clinical Experience	\$0.00	no	9/29/2014	9/28/2019	no
104482	Clinical Affiliation	Hendrix Medical Clinic	Nursing/AH	Clinical Experience	\$0.00	no	9/30/2014	9/29/2019	no
104490	Clinical Affiliation	Murray Medical Associates (KY)	Nursing/AH	Clinical Experience	\$0.00	no	10/1/2014	9/30/2019	no
104505	Clinical Affiliation	Women's Health Group of PA-Valley Forge OB-GYN Division	Nursing/AH	Clinical Experience	\$0.00	no	10/10/2014	5/31/2015	no
104512	Clinical Affiliation	East Tennessee Nephrology, PC	Nursing/AH	Clinical Experience	\$0.00	no	10/14/2014	10/13/2019	no
104519	Clinical Affiliation	Franklin Medical Center	Nursing/AH	Clinical Experience	\$0.00	no	10/16/2014	10/15/2019	no
104525	Clinical Affiliation	LeConte Women's Healthcare Associates	Nursing/AH	Clinical Experience	\$0.00	no	10/23/2014	10/22/2015	no
104527	Clinical Affiliation	Premier Women's Care (Covington)	Nursing/AH	Clinical Experience	\$0.00	no	10/27/2014	10/26/2019	no
104535	Clinical Affiliation	Mallory Community Health Center	Nursing/AH	Clinical Experience	\$0.00	no	10/29/2014	10/28/2019	no
104536	Clinical Affiliation	Haywood Regional Medical Center - Urgent Care	Nursing/AH	Clinical Experience	\$0.00	no	10/29/2014	10/28/2019	no
104537	Clinical Affiliation	Dr. John M. Byrnes, MD	Nursing/AH	Clinical Experience	\$0.00	no	10/30/2014	10/29/2019	no
104539	Clinical Affiliation	Miller Family Medical Center (Memphis)	Nursing/AH	Clinical Experience	\$0.00	no	11/3/2014	11/2/2019	no
104540	Clinical Affiliation	Eastside Family Medical Clinic	Nursing/AH	Clinical Experience	\$0.00	no	11/3/2014	11/2/2019	no
104543	Clinical Affiliation	Terri Herrian, APRN	Nursing/AH	Clinical Experience	\$0.00	no	11/5/2014	11/4/2019	no
104544	Clinical Affiliation	Red Rock OB/GYN (Nevada)	Nursing/AH	Clinical Experience	\$0.00	no	11/5/2014	11/4/2019	no
104545	Clinical Affiliation	Mudassir Nawaz, M.D.	Nursing/AH	Clinical Experience	\$0.00	no	11/10/2014	11/9/2019	no
104546	Clinical Affiliation	Folsom Ob-Gyn	Nursing/AH	Clinical Experience	\$0.00	no	11/10/2014	11/9/2019	no
104547	Clinical Affiliation	Cleveland Family Medical Clinic (Mississippi)	Nursing/AH	Clinical Experience	\$0.00	no	11/10/2014	11/9/2019	no
104550	Clinical Affiliation	Carolina Women's Health Center	Nursing/AH	Clinical Experience	\$0.00	no	11/11/2014	11/10/2019	no
104552	Clinical Affiliation	Tennessee Oncology	Nursing/AH	Clinical Experience	\$0.00	no	11/13/2014	11/12/2019	no
104553	Clinical Affiliation	Smyth County Family Physicians (VA)	Nursing/AH	Clinical Experience	\$0.00	no	11/13/2014	11/12/2019	no
104560	Clinical Affiliation	Current Dermatology	Nursing/AH	Clinical Experience	\$0.00	no	11/21/2014	11/20/2019	no
104566	Clinical Affiliation	Donelson Family Practice	Nursing/AH	Clinical Experience	\$0.00	no	11/24/2014	11/23/2019	no
104002	Clinical Affiliation	St. Dominic-Jackson Memorial Hospital	Nursing/AH	Clinical Experience	\$0.00	no	4/11/2014	4/10/2019	no
104127	Clinical Affiliation	University Health System of E.C. dba Vidant Health	Nursing/AH	Clinical Experience	\$0.00	no	1/1/2015	1/1/2025	no
104534	Clinical Affiliation	Steven Sager, DO (Ft. Myers)	Nursing/AH	Clinical Experience	\$0.00	no	10/28/2014	10/27/2019	no
104565	Clinical Affiliation	Mountainside Pediatrics (Georgia)	Nursing/AH	Clinical Experience	\$0.00	no	11/24/2014	11/23/2019	no
104570	Clinical Affiliation	Doyme Medical Clinic	Nursing/AH	Clinical Experience	\$0.00	no	12/9/2014	12/8/2019	no
104571	Clinical Affiliation	Dr. William Breedlove Family Practice (GA)	Nursing/AH	Clinical Experience	\$0.00	no	12/10/2014	12/9/2019	no
104575	Clinical Affiliation	Siloam Family Health Center	Nursing/AH	Clinical Experience	\$0.00	no	12/18/2014	12/17/2019	no
104579	Clinical Affiliation	University Health System (Student April Humphrey)	Nursing/AH	Clinical Experience	\$0.00	no	12/16/2014	12/15/2015	no
104495	Clinical Affiliation	Neighborhood Family Medical Care	Nursing/AH	Clinical Experience	\$0.00	no	10/6/2014	10/5/2019	no
104580	Clinical Affiliation	J Howard Rupard, MD	Nursing/AH	Clinical Experience	\$0.00	no	12/16/2014	12/15/2019	no

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
104401	Clinical Affiliation	LP Cleveland dba Signature HealthCARE:ClevelandTN	Nursing/AH	Clinical Experience	\$0.00	no	10/1/2014	9/30/2019	no
104497	Clinical Affiliation	Lea Regional Medical	Nursing/AH	Clinical Experience	\$0.00	no	1/1/2015	12/31/2017	no
104594	Clinical Affiliation	KidCare Pediatrics, LLC (Atlanta)	Nursing/AH	Clinical Experience	\$0.00	no	1/5/2015	1/4/2020	no
104006	Clinical Affiliation	TriStar Health dba Blackman Internal Medicine	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104501	Clinical Affiliation	Winchester Family Medicine	Nursing/AH	Clinical Experience	\$0.00	no	10/8/2014	10/7/2019	no
104593	Clinical Affiliation	Hazelwood Family Medicine, PLLC	Nursing/AH	Clinical Experience	\$0.00	no	1/2/2015	1/1/2020	no
104595	Clinical Affiliation	The Woman's Clinic (Mississippi)	Nursing/AH	Clinical Experience	\$0.00	no	1/5/2015	1/4/2020	no
104608	Clinical Affiliation	TriStar Health dba Bluegrass OB/GYN	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104609	Clinical Affiliation	TriStar Health dba Centennial Heart, LLC	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104610	Clinical Affiliation	TriStar Health dba Centennial Heart at Stonecrest	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104611	Clinical Affiliation	TriStar Health dbaCentennial Heart@Summit Hosp	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104612	Clinical Affiliation	Tri Star Health dba Family Practice SouthernHills	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104613	Clinical Affiliation	Tri Star Health dba Frist Clinic Family Care	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104614	Clinical Affiliation	Tri Star Health dba Skyline Medical Group	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104615	Clinical Affiliation	TriStar Health dba Southern Hills Internal Med	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104616	Clinical Affiliation	TriStar Health dba StoneCrest Family	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104617	Clinical Affiliation	TriStar Health dba TriStar Med Skyline	Nursing/AH	Clinical Experience	\$0.00	no	12/1/2014	11/30/2017	no
104572	Clinical Affiliation	Parkway Medical Group	Nursing/AH	Clinical Experience	\$0.00	no	12/10/2014	12/9/2019	no
104589	Clinical Affiliation	University Health System (Farideh Golembiewski)	Nursing/AH	Clinical Experience	\$0.00	no	12/31/2014	12/30/2015	no
104590	Clinical Affiliation	Vlasak Internal Medicine	Nursing/AH	Clinical Experience	\$0.00	no	1/2/2015	1/1/2020	no
104591	Clinical Affiliation	Larry Evans Rosenberg, MD	Nursing/AH	Clinical Experience	\$0.00	no	1/2/2015	1/1/2020	no
104592	Clinical Affiliation	Lexcare Clinic	Nursing/AH	Clinical Experience	\$0.00	no	1/2/2015	1/1/2020	no
104606	Clinical Affiliation	The Family Health Centers (NC)	Nursing/AH	Clinical Experience	\$0.00	no	1/12/2015	1/11/2020	no
102985	Clinical Affiliation	Middle Tennessee Primary Care	Nursing/AH	Clinical Experience	\$0.00	no	1/11/2013	1/31/2018	no
104491	Clinical Affiliation	Virginia Department of Health	Nursing/AH	Clinical Experience	\$0.00	no	1/2/2015	1/1/2020	no
104603	Clinical Affiliation	Naval Hospital Bremerton	Nursing/AH	Clinical Experience	\$0.00	no	1/1/2015	12/31/2019	no
104622	Clinical Affiliation	Coalfield Medical Clinic	Nursing/AH	Clinical Experience	\$0.00	no	1/20/2015	1/19/2020	no
104633	Clinical Affiliation	Valley Medical Center, PLLC	Nursing/AH	Clinical Experience	\$0.00	no	1/23/2015	1/22/2020	no
104637	Clinical Affiliation	AMG Southern Tennessee dba Mountain Med Clinic	Nursing/AH	Clinical Experience	\$0.00	no	1/27/2015	1/26/2020	no
104597	Clinical Affiliation	Regional One Health (Memphis) All Sites	Nursing/AH	Clinical Experience	\$0.00	no	1/6/2015	1/5/2020	no
104635	Clinical Affiliation	Manuele & Associates Ob-Gyn	Nursing/AH	Clinical Experience	\$0.00	no	1/26/2015	1/25/2020	no
104636	Clinical Affiliation	Family Health and Wellness Center	Nursing/AH	Clinical Experience	\$0.00	no	1/27/2015	1/26/2020	no
104639	Clinical Affiliation	Asheville Internal Medicine	Nursing/AH	Clinical Experience	\$0.00	no	1/29/2015	1/28/2020	no

<u>Contract ID</u>	<u>Contract Type</u>	<u>Contractor</u>	<u>Dept./Institution</u>	<u>Commodity</u>	<u>Yearly Amount</u>	<u>System-wide</u>	<u>Start Date</u>	<u>End Date</u>	<u>Competitive</u>
104645	Clinical Affiliation	University Health Systems (Franklin Farmer)	Nursing/AH	Clinical Experience	\$0.00	no	2/3/2015	12/31/2015	no
104605	Clinical Affiliation	Obgyn Consultants of Memphis	Nursing/AH	Clinical Experience	\$0.00	no	1/9/2015	1/8/2020	no
104569	Dual Service	Chattanooga State Community College - mLearning teaching and learning best practices	OESI	Memo of Understanding	\$1,000.00	no	1/1/2015	6/30/2015	no
102222	Grant Agreement	Tennessee Business Roundtable	OESI	Grant	\$200,000.00	no	10/3/2011	6/30/2015	no
104640	Dual Service	WSCC - Angela Darlene Smith - mLearning beaching and learning best practices	OESI	Memo of Understanding	\$3,000.00	no	9/22/2014	6/30/2015	no
104663	Professional Service	Tennessee Business Roundtable	OESI	Other - Services	\$40,000.00	no	2/19/2015	6/30/2015	no
104326	Dual Service	DSCC - Faculty Mentors	RODP	Mentoring	\$7,360.80	no	8/1/2014	7/31/2015	no
104338	Dual Service	RSCC - Faculty Mentors	RODP	Mentoring	\$10,588.50	no	8/1/2014	7/31/2015	no
104324	Dual Service	COSCC - Faculty Mentors	RODP	Mentoring	\$12,353.25	no	8/1/2014	7/31/2015	no
104559	Revenue	THEC	RODP	Other - Services	\$250,000.00	no	12/8/2014	1/15/2016	no
104331	Dual Service	MTSU - Angela Hague	RODP	Mentoring	\$5,520.60	no	8/1/2014	7/31/2015	no
104558	Professional Service	Sandeford Schaeffer	RODP	Consulting	\$5,500.00	no	12/1/2014	5/31/2015	no
102279	Amendment to Existing Agreement	Desire2Learn, Inc.	RODP	Computer Software	\$2,376,500.00	yes	1/1/2012	12/31/2015	no
102925	Amendment to Existing Agreement	BocaVox, LLC	RODP	Computer Software License	\$406,320.00	no	1/1/2013	12/31/2015	yes
104574	Dual Service	PSTCC - Alice Wershing	RODP	Mentoring	\$3,529.50	no	1/1/2015	7/31/2015	no
104477	Hotel/Lodging Agreement	Holiday Inn Knoxville West - Cedar Bluff	RODP	Lodging	\$0.00	no	10/1/2014	7/31/2015	no
104596	Cooperative Agreement	McGraw-Hill	RODP	Cooperative Educational Offerings	\$9,500.00	no	1/20/2015	5/12/2015	no
104573	Dual Service	MTSU - Jimmy Williams	RODP	Mentoring	\$3,529.50	no	1/1/2015	7/31/2015	no
104632	Use of Facilities	Directors Commons LLC	STCC	Lease of Space	\$317,040.00	no	10/1/2014	9/20/2015	no
100640	Amendment to Existing Agreement	ARTstor, Inc. - digital library	TBR	Other - Services	\$16,900.00	yes	3/1/2008	12/31/2015	no
102922	Amendment to Existing Agreement	Truescreen, Inc.	TBR	Other - Services	\$0.00	yes	1/1/2013	12/31/2015	yes
104577	Lease Agreement	Apple Inc.	TBR	Other	\$9,000,000.00	yes	12/12/2014	6/30/2016	no
102031	Amendment to Existing Agreement	Prudential	TBR	Other - Services	\$0.00	no	1/1/2011	12/31/2015	yes
104600	Grant Agreement	Tennessee Higher Education Commission	TBR	Grant	\$250,000.00	no	1/15/2015	6/15/2015	no
102370	Banking Services	UMB Bank, NA	TBR	Banking Services	\$0.00	yes	2/14/2012	2/29/2016	yes
104625	Subscription Agreement	EBSCO Industries, Inc.	TBR	Other - Services	\$107,525.00	yes	1/20/2015	1/14/2016	yes
103888	Amendment to Existing Agreement	Computer Intelligence Association	TBR	Computer Software	\$350,000.00	yes	3/28/2014	3/27/2016	yes
104660	Professional Service	Pomeroy IT Solutions - CISCO equipment, network software and services	TBR	Other - Services	\$3,000,000.00	yes	3/1/2015	2/29/2016	yes
104561	Grant Agreement	Tennessee Department of Labor	TCATS Athens	Grant	\$40,500.00	no	11/1/2014	6/30/2015	no
104623	Grant Agreement	Tennessee Higher Education Commission	TCATS Athens	Grant	\$942,500.00	no	1/20/2015	1/20/2017	no
104564	Grant Agreement	Tennessee Department of Labor	TCATS Jackson	Grant	\$29,694.00	no	11/1/2014	6/30/2015	no



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Approval of the Minutes from the Special Called Meetings of the Finance and Business Operations Committee on January 28 and February 19, 2015

DATE: March 27, 2015

PRESENTER: Dale Sims

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The Board will review and consider for approval the minutes from the January 28 and February 19, 2015 special called meetings of the Finance and Business Operations Committee. Approval of these minutes reflects no official action at the meeting.

**REPORT OF THE
COMMITTEE ON FINANCE AND BUSINESS OPERATIONS
SPECIAL CALLED MEETING**

January 28, 2015

The Committee on Finance and Business Operations met in a special called session by teleconference on January 28, 2015, at 1 p.m. Central Time.

A quorum was present and the meeting was called to order by Chairman Duckett.

Regent Duckett stated the purpose of the meeting was to begin discussion of institutional requests for changes in mandatory and incidental fees and development of a maintenance fee and tuition recommendation for the 2015-2016 academic year. No action was being requested from the Committee since the meeting was for information purposes only.

The planned dates for consideration of requests for mandatory and incidental fees were presented as follows:

- **January 14, 2015** - Fee proposals from schools due to System Office
- **January 28, 2015** – (Telephonic Meeting) Represents initial discussion of mandatory and incidental fees, process, timetable, and review of institutional requests for fee changes. Meeting goal is to familiarize members with timetable, provide an overview of both existing fees and fee change requests, and identify questions or concerns with proposals.
- **February 19, 2015** – (Telephonic Meeting) Review responses to questions and informational requests from Committee members. The Committee also reviews preliminary staff recommendations on fee requests.
- **March 10, 2015** – Committee Meeting (in conjunction with Committee Chairs meeting) that focuses on staff recommendations. After deliberation, Committee acts to either adopt staff recommendations, modify then adopt, or defer action and ask that an additional Committee meeting be convened prior to the March 27th Board meeting.

- **March 27, 2015** – Board meeting. Full Board considers recommendations of the Committee on Finance and Business Operations.

Mandatory and Incidental Fee Requests – Vice Chancellor Sims presented an overview of fee requests. The meeting provided an opportunity for Committee members to ask questions about specific fee requests and to express any concerns or reservations about proposed increases. Vice Chancellor Sims stated there will be continued conversations with institutions prior to the February 19 Committee meeting.

Vice Chancellor Sims briefed the Committee regarding out of state tuition. Last year there was considerable conversation regarding alternative approaches to pricing out of state tuition. Institutions have expressed continued interest in further examining different pricing approaches but have noted that to maximize the benefit of alternative approaches requires consideration of those proposals prior to the June Board meeting. System Office staff desired to make Committee members aware of these conversations and that staff are working with

institutions to explore alternative approaches. Committee members will be updated on any developments during the February 19 special called meeting of the Committee.

The Committee discussed the feasibility of moving maintenance fee action to earlier in the year to provide better information to students and parents. Vice Chancellor Sims asked Committee members to think about the practical effects from the Board's standpoint regarding the challenges of moving to an earlier date to set maintenance fees.

There being no further business to come before the Committee, the meeting adjourned.

Respectfully submitted,

COMMITTEE ON FINANCE
AND BUSINESS OPERATIONS

Gregory Duckett, Chair

**REPORT OF THE
COMMITTEE ON FINANCE AND BUSINESS OPERATIONS
SPECIAL CALLED MEETING**

February 19, 2015

The Committee on Finance and Business Operations met in a special called session by teleconference on February 19, 2015, at 1 p.m. Central Time.

A quorum was present and the meeting was called to order by Chairman Duckett.

Vice Chancellor Sims presented an overview of mandatory and incidental fee requests and selected fees were reviewed. The meeting provided an opportunity for Committee members to ask questions about specific fee requests and to express any concerns or reservations about proposed increases. Vice Chancellor Sims stated there will be continued conversations with institutions prior to the March 10 Committee meeting.

The Committee was provided a detailed list of fees included in the Tennessee Tech University consolidation of fees proposal. The proposal includes collapsing certain mandatory and non-mandatory fees into a new maintenance fee rate. This proposal will simplify the University's fee structure and increase budgeting flexibility.

The Committee was provided an update regarding alternative approaches to pricing out of state tuition. Maximizing the benefit of any proposal will require approval prior to the June Board meeting, when tuition and maintenance fees are normally approved. Staff solicited proposals from institutions and received proposals from Middle Tennessee State University, Tennessee State University and the University of Memphis. Information regarding these three requests were provided to Committee members in the meeting mail out materials. No action was requested of the Committee.

At the next special called meeting scheduled for Tuesday, March 10, the Committee on Finance and Business Operations members will receive and act on staff recommendations for mandatory and incidental fee requests.

There being no further business to come before the Committee,
the meeting adjourned.

Respectfully submitted,

COMMITTEE ON FINANCE
AND BUSINESS OPERATIONS

Gregory Duckett, Chair

REPORT OF THE COMMITTEE ON AUDIT

March 10, 2015

The Committee on Audit met in regular session on March 10, 2015 at the Tennessee Board of Regents System Office. A quorum was present. Board members and board staff were in attendance, including the following Audit Committee members:

Regent Tom Griscom, Chairman
Regent Emily Reynolds, Board Vice Chairman
Regent Greg Duckett
Regent Darrell Freeman
Regent Parker Smith

The first section of the meeting agenda, the Consent Agenda, included three items. Item I.a, Review of Annual Risk Assessments for the Tennessee Colleges of Applied Technology, included the annual risk assessments performed by management at each college of applied technology. Item I.b, Proposed Revisions to Policy 4:01:05:00, Internal Audit was revised to update and clarify various sections, and Item I.c, Proposed Revisions to Policy 4:01:05:50, Preventing and Reporting Fraud, Waste or Abuse was revised to align the language in the policy to

language in state statute. The committee voted to approve the Consent Agenda.

The second section, Informational Reporting, included three items. Item II.a, Review of Comptroller's Office Audit Reports, consisted of a discussion of audit reports issued during the last quarter. The financial and compliance audit reports for Austin Peay State University, East Tennessee State University and Tennessee Tech University for the Fiscal Year Ended June 30, 2014, had unmodified opinions on the presentation of the financial statements and no findings. The audit report for the University of Memphis for the Fiscal Year Ended June 30, 2014, included an unmodified opinion on the presentation of the financial statements, two findings identified as significant deficiencies and no instances of noncompliance required to be reported. The audit report for Nashville State Community College for the Fiscal Years Ended June 30, 2013 and June 30, 2012, included an unmodified opinion on the presentation of the financial statements, two findings identified as material weaknesses and no instances of noncompliance required to be reported. A summary of the Comptroller's audits is included as

Attachment A to these minutes. This item was for informational purposes and required no action. Regent Griscom asked whether System-wide Internal Audit had reviewed the status of the Nashville State finding regarding financial statement errors since they had been repeated in several audits. Tammy Birchett, Chief Audit Executive, responded that the college's internal auditor performs a follow up review on the findings and had concluded in the past that management had taken steps to correct the issues. Chancellor Morgan and Mr. Dale Sims, Vice Chancellor for Business and Finance, also commented on the fact that the Comptroller's Office audits community colleges every other year and findings may be repeated since another year passes before action has been taken. Chancellor Morgan also commented that these issues are being handled sufficiently at most of the institutions and the Board is cognizant of the status.

Item II.b, Review of Corrective Actions on Performance Audit Findings, was an update of the corrective actions taken by Tennessee Board of Regents system office staff on findings included in the Comptroller's performance audit of the system, issued in January 2014.

Ms. Birchett commented on the status of each finding, concluding that five of the nine findings are considered resolved and that actions are still in progress on the remaining findings.

Item II.c, Review of Internal Audit Reports, included internal audit reports issued by the system's internal auditors during the last quarter. The System-wide Chief Audit Executive discussed three of the audit reports with the Committee: East Tennessee State University, *Athletics Timekeeping*; Chattanooga State Community College, *Special Review of Allegations Regarding the President's Hiring of the Chief Innovations Officer, Travel and Related Matters*; and Roane State Community College, *Grants and Sponsored Projects*. The committee commented on two of the audit reports.

Regent Griscom asked whether the ETSU Athletics chief financial officer reported to the university's chief business officer. He mentioned that in another situation, a recommendation was made for the Athletics financial officer to report to the university business officer. Ms. Birchett responded that the Athletics business officer normally reported to the

Athletic Director but that she would follow up with the university about the reporting structure and report back to the committee.

Referring to the Chattanooga State report, Regent Reynolds commented that former President Catanzaro has requested emeritus status and to appear at the board meeting. It was noted that the decision on emeritus status has been deferred until a new permanent president is hired for the college because the presidents oversee the work projects of former presidents with emeritus status. Regent Freeman and other members commented that they did not believe it was necessary to defer the decision until that time, projected to be July 2015. Some of the regents commented that decisions on emeritus status had not been discussed at previous board meetings. Chancellor Morgan pointed out that contracts for those with emeritus status come before the Board each year for approval. There were comments that the Board was not required to grant Dr. Catanzaro testimony at the board meeting and that the Personnel and Compensation committee of the Board would be the appropriate committee to consider the request for emeritus status. Regent Griscom commented that it should be a Board vote rather than a

committee vote on whether to grant the emeritus status to the former president. Chancellor Morgan stated that he would request that General Counsel Mary Moody research the Board of Regents history of presidential retirements and granting of emeritus status before proceeding.

A list of the internal audits issued during the quarter is included as Attachment B to these minutes. This item was for informational purposes and required no action.

Item III, Review of Revisions to Fiscal Year 2015 Internal Audit Plans, presented the committee with revised audit plans as of January 31, 2015. The System-wide Chief Audit Executive referred to the summary of the most significant revisions in the audit plans and commented that most were made because of efforts focused on higher priority issues, including special requests or investigations and changes in staff availability. The Committee voted to approve the audit plans as presented. The audit plans are included as Attachment C to these minutes.

Item IV, Presentation of MKInsight Audit Software, included a brief overview of the key components of the software and the status of training and implementation efforts. A presentation of the software by Assistant Director Blayne Clements previewed several elements of the software. Regent Griscom commented that he was glad the software was being implemented and referred to the August 2013 external quality assurance review's comment that audit and management software was a key element needed to bring consistency and efficiencies to the TBR audit offices. This item was for informational purposes and required no action.

There being no further public business to come before the Committee, the public portion of the meeting was adjourned.

The last agenda item was a non-public executive session to discuss ongoing investigations.

There being no further business to come before the Committee, the executive session was adjourned.

Respectfully submitted,

Committee on Audit

Tom Griscom, Committee Chair

Attachment A

**Summary of Comptroller's Office Audit Reports
Issued During the Quarter**

Tennessee Board of Regents
Audit Committee
March 10, 2015
Review of Comptroller's Office Audit Reports
Financial and Compliance Audits—No Findings Reported

Institution	For the Years Ended	Fairness of Financial Statement Presentation	Report on Internal Control	Report on Compliance	Findings
Austin Peay State University	June 30, 2014	Unmodified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	0
East Tennessee State University	June 30, 2014	Unmodified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	0
Tennessee Tech University	June 30, 2014	Unmodified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	0

Tennessee Board of Regents

Audit Committee

March 10, 2015

Review of Comptroller’s Office Audit Reports

Financial and Compliance Audits—Findings Reported

Institution	For the Year Ended	Fairness of Financial Statement Presentation	Report on Internal Control	Report on Compliance	Findings
The University of Memphis	June 30, 2014	Unmodified Opinion	Two findings identified as significant, but not as material weaknesses	No instances of noncompliance required to be reported	2

Finding 1 – Purchasing procedures at the university are inadequate

Through the university’s automated purchasing system, TigerBuy, departments are authorized to perform their own purchasing for items with a cost of \$5,000 or less. Although the university does not have a written policy regarding segregation of duties, a sound internal control structure requires the person approving a requisition to be different from the person initiating the requisition.

For the 16,339 purchase orders executed in TigerBuy during the year ended June 30, 2014, the person who approved the requisition was the same person who initiated it, in 32% of the cases, representing \$15 million of \$36 million in purchases through the system. There were 173 cases, totaling \$9,231,728 of purchases over \$10,000 routed through the Office of Procurement and Contract Services that were initiated and approved by the same person. Testwork on purchase orders, each over \$100,000, revealed 10 items of equipment (each in excess of the \$5,000 equipment capitalization threshold), totaling \$182,340 that should have been capitalized but were instead expensed.

Management did not establish appropriate written policies for purchases made through the TigerBuy system. In addition, available application controls (e.g., edits to prevent one person initiating and approving a single transaction) were not used. Management also did not ensure that proper account code classifications were used on requisitions and approved purchase orders to their execution. The coding of purchase requisitions by unqualified persons, along with the absence of appropriate review and supervision, caused misclassifications of items purchased and the failure to capitalize some equipment purchases.

Management’s Comment – Management did not concur that the issues noted rose to the level of a significant deficiency, but agreed they should investigate the merits of implementing additional compensating controls. Management stated they determined from a past cost-benefit analysis of their procurement system, that their policies do not represent a material risk to their financial system and referenced other mitigating controls, including budgetary controls.

Finding 2 – The university did not provide adequate internal controls in one specific area

The university did not design and monitor internal controls in one specific area. The audit observed a condition in violation of university policies and/or industry-accepted best practices. Inconsistent implementation of internal controls increases the risk of fraud or error. The details of these findings are confidential pursuant to Section 10-7-504(i) *Tennessee Code Annotated*.

Management’s Comment – Management concurred a limited number of instances were identified in one specific area and indicated they will perform a thorough review and implement controls deemed appropriate.

Internal Audit Follow-Up: An internal audit follow-up report on these findings will be presented to the Audit Committee at a subsequent meeting.

Tennessee Board of Regents

Audit Committee

March 10, 2015

Review of Comptroller's Office Audit Reports

Financial and Compliance Audits—Findings Reported

Institution	For the Year Ended	Fairness of Financial Statement Presentation	Report on Internal Control	Report on Compliance	Findings
Nashville State Community College	June 30, 2013 and June 30, 2012	Unmodified Opinion	Two findings identified as material weaknesses	No instances of noncompliance required to be reported	2

Finding 1 – The college needs to improve its system of internal control for the preparation of the financial statements

As noted in the three prior audits, procedures for financial statement preparation need improvement. Control deficiencies resulted in significant reporting errors:

- An error in calculating the 2012 scholarship allowance resulted in an overstatement of tuition and fees revenue of \$2,948,557 and an overstatement of scholarship and fellowship expense by the same amount.
- Current cash on the 2012 unaudited statement of net position was overstated by \$1,380,397 and noncurrent cash was understated by the same amount because staff used an incorrect report.
- Net position – net investment in capital assets was understated by \$539,873 at June 30, 2013 and \$653,008 at June 30, 2012 on the unaudited statements of net position. This error was caused by staff who incorrectly netted outstanding debt that was not related to capital assets.
- The fiscal year 2013 fair value of the college's investments reported in the Investments note was understated by \$1,988,817 because staff did not include the TCAT-Dickson and Nashville's Local Government Investment Pool amounts.
- The fiscal year 2013 beginning cash balance on the unaudited statement of cash flows did not match the fiscal year 2012 ending balance primarily because staff at the college did not include \$4,314,449 in College of Applied Technology Centers' cash. Additionally, the amount reported as changes in deposits held for others was understated by \$444,722, and the ending cash balance was understated by \$3,869,726.

Management's Comment – Management concurred with the finding and recommendation. Corrective action including training to address specific problems, recruitment of additional qualified personnel, improvement in documentation requirements and identification and reassignment of certain accounting and review duties.

Finding 2 – The college did not provide adequate internal controls in four specific areas

The college did not design and monitor internal controls in specific areas. Four conditions were observed to be in violation of college policies and/or industry-accepted best practices. Inconsistent implementation of internal controls increases the risk of fraud or error. The details of these findings are confidential pursuant to Section 10-7-504(i) *Tennessee Code Annotated*.

Management's Comment – Management concurred with the finding and recommendation, indicating certain actions have been implemented or have been scheduled to correct the conditions noted.

Internal Audit Follow-Up: An internal audit follow-up report on these findings will be presented to the Audit Committee at a subsequent meeting.

Tennessee Board of Regents
Audit Committee
March 10, 2015
Review of Comptroller's Office Audit Reports
NCAA Agreed-Upon Procedures Review

Review of Certain Agreed-upon Procedures Related to the Statement of Revenues and Expenses of the Intercollegiate Athletic Programs

The Comptroller of the Treasury, Division of State Audit, performs certain agreed-upon procedures each year to assist the universities in evaluating whether each Statement of Revenues and Expenses of the Intercollegiate Athletics Programs and the related Notes to that statement comply with the National Collegiate Athletic Association's financial reporting requirements (NCAA Bylaw 3.2.4.16). The engagements are conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants, but the agreed-upon procedures do not constitute an examination to express an opinion on compliance with the NCAA requirements. Management of each university is responsible for their statement, compliance with NCAA requirements and the sufficiency of the procedures requested of the auditors. In determining the accuracy of information presented in each institution's statement, the engagement includes analytical procedures, tests or comparison of data to the Banner system or other supporting documents, reviews of internal control procedures and policies and reviews of agreements.

For the specific procedures performed, the auditors noted that data on the statements (1) agreed or reconciled to support or complied with requirements; (2) did not agree and were corrected; or (3) did not agree, but were immaterial or insignificant. Errors noted below affecting the Statements and Notes to the statements were adjusted by management for the final reports. No other significant, unexplained or unusual matters were included in the reports.

For the year ended June 30, 2014:

Austin Peay State University

Middle Tennessee State University

- The amount reported as income for one endowment was misclassified.

Tennessee State University

- The university did not originally include \$257,619 debt service related to athletic debt.

Tennessee Tech University

- Two of 27 endowment scholarships awarded during the year did not meet the criteria stated in the endowment agreement.

University of Memphis

- The university originally omitted expenses totaling \$884,512 related to severance payments for one of two employees receiving such payments.

Attachment B

**List of Internal Audit Reports and Investigations
Issued During the Quarter**

Internal Audit Reports for Review with the Committee

ETSU	Athletics Timekeeping
ChSCC	Review of Hiring and Expenses
RSCC	Grants and Sponsored Projects

Internal Audit Reports for Informational Purposes

ETSU	WETS-FM Radio
MTSU	Football Attendance
UOM	Risk Assessment Footprint – Research
UOM	Hotel Operations Management Contract
UOM	Government Relations
ChSCC	Shipping and Receiving
CISCC	President’s Expenses
PSCC	Faculty Credentials

Internal Audit Follow-Up Reports for Informational Purposes

TTU	Follow-Up to State Audit FY 2013
TBR	Follow-Up to State Audit FY 2012-2013

TCAT Operational Audits for Informational Purposes

Jacksboro	Operational Audit
Memphis	Operational Audit
Paris	Operational Audit

Internal Audit Investigations for Informational Purposes

UOM	Timekeeping in the Department of Communication and Fine Arts
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Attachment C

**Approved Revised Internal Audit Plans for the
Fiscal Year Ended June 30, 2015**

Austin Peay State University
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage		
Required by Athletic Affiliate	R	AT	OVC Spec Asst/Stud Ath Opp Fund	125	125	0	0%	120	5	4%	August 2014	Completed
Required by State Audit	F	FM	State Audit Follow-Up	100	100	0	0%		100	100%	March 2015	Scheduled
Required by TBR	M	SS	Risk Assessment-Institutional Support	75	75	0	0%	20	55	73%	May 2015	Scheduled
Required by TBR	M	FM	Risk Assessment-Ancillary and Auxilliary	75	75	0	0%	20	55	73%	May 2015	Scheduled
Required by TBR	M	IA	Risk Assessment-Instr & Acad Support	75	75	0	0%	20	55	73%	May 2015	Scheduled
Required by IA	R	IS	Quality Assessment Review	25	25	0	0%		25	100%	March 2015	Scheduled
Required by TBR	R	SS	CCTA Funding Formula-Completion ¹	250	75	(175)	-70%	60	15	20%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	150	150	0	0%		150	100%	May 2015	Scheduled
Brought forward	S	SS	Higher Education Act Compliance	250	200	(50)	-20%	185	15	8%	February 2015	In Progress
Special Request	S	IA	Study Abroad Programs	250	250	0	0%		250	100%	June 2015	Scheduled
Investigation	I	IS	Unscheduled Investigations	150	150	0	0%		150	100%	TBD	Scheduled
Consulting	C	FM	UBIT and Sales Tax reporting	200	200	0	0%	25	175	88%	May 2015	In Progress
Consulting	C	IS	General Consultation	200	200	0	0%	150	50	25%	June 2015	In Progress
Ongoing	P	FM	Procurement Card-Review	150	150	0	0%	125	25	17%	Ongoing	In Progress
Ongoing	P	FM	Travel Claim Review-Ongoing	300	300	0	0%	275	25	8%	Ongoing	In Progress
1	A	PP	Emergency Preparedness	150	150	0	0%		150	100%	June 2015	Scheduled
Totals				2525	2300			1000				

Estimate-Hours Available For Audits = 2335 (2 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxillary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

Scheduled
In Progress
Completed
Removed

Footnotes:

¹ Original budget hours included previous year hours

East Tennessee State University
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage		
Required by TBR	R	SS	CCTA Funding Formula-Completion (2013 Data)	100	100	0	0%	35	65	65%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	200	200	0	0%		200	100%	March 2015	Scheduled
Required by State Audit	R	FM	Cash Counts/Inventories	40	40	0	0%		40	100%	June 2015	Scheduled
Required by CPB	R	FM	WETS-FM	250	250	0	0%	158	92	37%	December 2014	Completed
Required by Bank	R	IT	NACHA Web Transactions Data Security	125	125	0	0%		125	100%	May 2015	Scheduled
	F	FM	State Audit Follow-Up (FN 8)	20	0	(20)	-100%		0	100%	-	Removed
	F	IS	Internal Audit Follow-Ups	425	425	0	0%	374	51	12%	Various	In Progress
	M	FM	Risk Assessments	40	40	0	0%		40	100%	May 2015	Scheduled
Brought forward	I	IA	Investigation 14-02 (FN 3)	50	100	50	100%	122	(22)	-22%	November 2014	Completed
Brought forward	I	IA	Investigation 14-04	50	50	0	0%	3	47	94%	July 2014	Completed
Brought forward	I	AT	Investigation 14-05 (FN 10)	150	250	100	67%	223.5	27	11%	November 2014	Completed
	I	IA	Investigation 15-01		15	15	100%	20.5	(6)	-37%	January 2015	Completed
	I	SS	Investigation 15-02		20	20	100%	14.5	6	28%	October 2014	Completed
	I	IS	Investigation 15-03 (FN 6)		35	35	100%	27.5	8	21%	March 2015	In Progress
	I	PP	Investigation 15-04 (FN 6)		40	40	100%	14	26	65%	March 2015	In Progress
	I	IS	Unscheduled Investigations (FN 11)	100	0	(100)	-100%		0	100%	-	Removed
	C	IS	General Consultation	75	75	0	0%	10.5	65	86%	Ongoing	In Progress
	C	IT	IT Consulting	75	75	0	0%	136.5	(62)	-82%	Ongoing	In Progress
	P	IT	PCI Compliance Scans	250	250	0	0%		250	100%	Ongoing	Scheduled
	P	IS	Automated Workpapers Project		75	75	100%		75	100%	Ongoing	Scheduled
Special request	S	SS	Student/University Health Billing Practices	250	250	0	0%	152.5	98	39%	April 2015	In Progress
Special request	S	FM	University Advancement (FN 2)	200	200	0	100%	71	129	65%	May 2015	In Progress
Special request	S	IT	PCI Compliance Readiness Audit (FN 4)		200	200	100%	206.5	(7)	-3%	March 2015	In Progress
Special request	S	IT	Third Party Server Audit (FN 5)		150	150	100%	53	97	65%	May 2015	In Progress
Brought forward	A	FM	Travel (FN 7)	250	400	150	60%	323	77	19%	April 2015	In Progress
Brought forward	A	IS	Natural History Museum (FN 1)		25	25	100%	14	11	44%	October 2014	Completed
1T	A	AD	Professional Development (FN 6)	200	0	(200)	-100%		0	100%	-	Removed
1T	A	FM	Technology Access Fee	200	200	0	0%	134.5	66	33%	March 2015	In Progress
1T (IT)	A	IT	Backup & Recovery of OIT Processes & Data (FN 5)	200	0	(200)	-100%		0	100%	-	Removed
1T (IT)	A	IT	Incident Readiness & Response	200	200	0	0%	181	19	10%	September 2014	Completed
2	A	AT	NCAA Compliance	300	300	0	0%	95.5	205	68%	June 2015	In Progress
2 (IT)	A	IT	Web Application Security	150	150	0	0%		150	100%	June 2015	Scheduled
3	A	FM	Contracts & Agreements	250	250	0	0%		250	100%	June 2015	Scheduled
3 (IT)	A	IT	OIT Policies & Procedures Review	175	175	0	0%		175	100%	April 2015	Scheduled
4T	A	SS	Financial Aid Administration	300	300	0	0%	55	245	82%	May 2015	In Progress
4T	A	PP	Physical Plant (FN 9)	300	0	(300)	-100%		0	100%	-	Removed
4T	A	FM	Cash Receipts/Bursar (FN 2)	250	0	(250)	-100%		0	100%	-	Removed
			Totals	4975	4965			2425				

Estimate-Hours Available For Audits = 4385 (2 staff auditors and 1 IT auditor for 12 months plus one staff auditor for 9 months)

T--Tie

TBD-To Be Determined

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

- FN 1 - Audit plan due prior to end of fiscal year. Audit not completed by 6/30/14 as anticipated.
- FN 2 - Cash Receipts Audit was removed from the plan due to a University Advancement special request.
- FN 3 - Budget hours were exceeded due to concerns from management that arose during the audit report process resulting in numerous revisions.
- FN 4 - Previous audit, named Network Security, was changed to PCI Compliance Readiness Audit to properly clarify the scope of the audit. This PCI audit was requested by IT management because of the new PCI requirements effective 1/1/15.
- FN 5 - Backup & Recovery of OIT Processes removed due to a Third Party Server audit special request. The third party server audit was requested by the ITGC committee due to previous concerns that arose in the past and the high risk associated with outside vendors.
- FN 6 - Professional Development audit removed due to two investigations.
- FN 7 - Increased travel audit hours due to a change in audit personnel
- FN 8 - Removed since there were no State Audit findings.
- FN 9 - Physical Plant audit was removed due to vacant staff position for approximately 3 months
- FN 10 - Original budget hours were exceeded because of multiple issues that arose during the course of the review.
- FN 11 - Hours budgeted for unscheduled investigations were reallocated to the four new investigations opened in FY 2015.

Middle Tennessee State University
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status		
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage				
Requested by Management	R	FM	Cash Counts	50	225	175	350%	(5)(6)	216	9	4%	June 2015	In Progress	
Requested by Management	R	FM	Year-End Inventory Observations	200	190	(10)	-5%		190	0	0%	August 20, 2014	Completed	
Brought Forward, Required by TBR	R	SS	Funding Formula-Completion 2013 Data	0	13	13	100%	(1)	13	0	0%	July 24, 2014	Completed	
Brought Forward, Required by TBR	R	SS	Funding Formula-Transfers & Others	200	200	0	0%		0	200	100%	April 2015	Scheduled	
Required by TBR	M	IS	Risk Assessment	50	50	0	0%		2	48	96%	May 2015	In Progress	
	F	FM	State Audit Follow-Up or Assistance	50	50	0	0%		7	43	86%	June 2015	In Progress	
Project Added	P	IS	Project Electronic Work Papers	0	250	250	100%	(5)	36	214	86%	June 2015	In Progress	
Required by NCAA	R	AT	Football Attendance Fall 2014	250	250	0	0%		216	34	14%	February 2015	In Progress	
Management Request	P	FM	Special Reviews (Cash Shortage Reviews)	50	50	0	0%		0	50	100%	June 2015	Scheduled	
Consulting	C	FM	Assisting with President's Expense Audit	50	50	0	0%		13	37	74%	June 2015	In Progress	
Consulting	C	IS	General Consultation	150	150	0	0%		51	99	66%	June 2015	In Progress	
Consulting	C	IS	Consulting: Blue Print Solutions	0	200	200	100%	(2)	186	14	7%	June 2015	In Progress	
Consulting	C	IA	Consulting: Tucker Theatre	0	220	220	100%	(5)(7)	190	30	14%	June 2015	In Progress	
Follow-up	F	IS	Follow-up of Prior Recommendations	100	45	(55)	-55%		0	45	100%	June 2015	In Progress	
Brought Forward, Follow-up	F	IT	Follow-up: Classroom Technology	0	7	7	100%		7	0	0%	August 6, 2014	Completed	
Follow-up	F	IA	Follow-up: Dance Program	0	300	300	100%	(5)	260	40	13%	March 2015	In Progress	
Brought forward	I	SS	Investigation 14-02	150	150	0	0%		76	74	49%	March 2015	In Progress	
Brought forward	I	SS	Investigation 12-04	0	50	50	100%	(1)	9	41	82%	March 2015	In Progress	
Brought forward	I	IA	Investigation 13-01	0	50	50	100%	(1)	5	45	90%	March 2015	In Progress	
Brought forward	I	IS	Investigation 13-03	0	50	50	100%	(1)	43	7	14%	March 2015	In Progress	
Brought forward	I	PP	Investigation 13-04	0	50	50	100%	(1)	6	44	88%	March 2015	In Progress	
Special Request	I	IS	Unscheduled Investigations	500	0	(500)	-100%	(1)	0	0			TBD	Scheduled
Investigation	I	IS	Investigation 15-01	0	100	100	100%	(1)	77	23	23%	April 2015	In Progress	
Investigation	I	IS	Investigation 15-02	0	100	100	100%	(1)	85	15	15%	April 2015	In Progress	
Brought forward, Special Request	S	IA	Pcard Departmental Review	0	30	30	100%	(3)	3	27	90%	April 2015	In Progress	
Special Request	S	IS	Assisting a Dept. with Caller Complaint	0	40	40	100%	(4)	40	0	0%	October 31, 2014	Completed	
Special Request	S	RS	Confucius Institute	0	100	100	100%	(8)	5	95	95%	June 2015	In Progress	
1	A	FM	Rental Property Management	250	250	0	0%		225	25	10%	March 2015	In Progress	
2	A	FM	Food Service Commissions	250	250	0	0%		0	250	100%	May 2015	Scheduled	
3T	A	AT	Athletic Concessions Revenue	250	250	0	0%		0	250	100%	May 2015	Scheduled	
3T	A	FM	Blue Print Solutions	200	0	(200)	-100%	(2)	0	0		n/a	Removed (2)	
4T	A	RS	Research Sponsored Programs	250	250	0	0%		0	250	100%	June 2015	Scheduled	
4T	A	AT	Athletic Camps and Clinics	250	0	(250)	-100%	(5)	0	0		n/a	Removed (5)	
5T	A	AD	Foundation	250	0	(250)	-100%	(5)	0	0		n/a	Removed (5)	
5T	A	AD	Development	250	0	(250)	-100%	(5)	0	0		n/a	Removed (5)	
6T	A	AT	Athletics (Eligibility)	220	0	(220)	-100%	(5)	0	0		n/a	Removed (5)	
			Totals	3970	3970				1961					

Estimated Hours Available For Audits = 3,860 which excludes 1,200 contract audit hours. (4 audit staff) Don't expect to use all the 1,200 contract audit hours.

T-Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

Scheduled
In Progress
Completed
Removed

Footnotes:

- (1) Audit hours were reallocated from unscheduled investigations to the 5 audit projects that were brought forward from FY2014 and for new investigations started in FY2015.
- (2) Audit project canceled since providing consulting for new cash receipting system the department is implementing. Project brought forward from FY 2014.
- (3) Special request from management to assist with Pcard Departmental Review that was brought forward from FY 2014.
- (4) Assisted another department with complaints received from phone call. The caller kept contacting the audit department.
- (5) Planned project canceled to allocate the audit hours to another project that was requested by management or taking additional audit hours.
- (6) There were not enough hours included in the original budget to perform surprise counts at each location.
- (7) Assisted department with procedures for cash receipting and recording of expenses for a new computerized ticketing system.
- (8) Requested by management and the funding agency.

Tennessee State University
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage		
Required by Athletic Affiliate	R	AT	NCAA Student Assistance Fund	125	125	0	0%	125	0	0%	September 2014	Completed
Required by State Audit	F	IT	State Audit Follow-Up 2014	175	175	0	0%	30	145	83%	July 2015	
	M	SS	Risk Assessment-Student Services	50	50	0	0%	8	42	84%	May 2015	In Progress
	M	PP	Risk Assessment-Physical Plant	50	50	0	0%	8	42	84%	May 2015	In Progress
	M	RS	Risk Assessment-Research	50	50	0	0%	15	35	70%	May 2015	In Progress
	P	IS	Quality Assessment Review	25	25	0	0%	15	10	40%	January 2015	
Brought forward	I	IS	Investigation 14-02	100	100	0	0%	15	85	85%	March 2015	In Progress
	I	IS	Investigation 15-01	100	100	0	0%	75	25	25%	November 2014	Completed
	I	SS	Investigation 15-02	100	100	0	0%	90	10	10%	November 2014	Completed
	I	IA	Investigation 15-03	220	220	0	0%	190	30	14%	March 2015	In Progress
	I	IS	Investigation 15-04	20	20	0	0%	20	0	0%	January 2015	Completed
	I	SS	Investigation 15-05									
	P	FM	Cash Counts	10	10	0	0%	10	0	0%	June 2015	Completed
	I	FM	Unscheduled Investigations	50	50	0	0%	25	25	50%	TBD	
	C	FM	Consultation-Conflict of Interest	100	100	0	0%	75	25	25%	June 2015	In Progress
	C	IA	General Consultation	300	300	0	0%	200	100	33%	June 2015	
Required by TBR	R	SS	CCTA Funding Formula-Completion	225	225	0	0%	165	60	27%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	250	250	0	0%	125	125	50%	April 2015	In Progress
1	A	IS	Evidence Room	200	200	0	0%	25	175	88%	November 2014	
2	A	IT	Disaster Recovery	225	225	0	0%		225	100%	June 2015	
3	A	FM	Payroll	200	100	(100)	-50%		100	100%	May 2015	
4	A	SS	Financial Aid (1)	0	100	100	N/A	25	75	75%	April 2015	
Brought forward	R	IS	Human Resources	75	75	0	0%	25	50	67%	March 2015	In Progress
Brought forward	F	IT	State Audit Follow-Up FY 2013	25	25	0	0%	17	8	32%	July 2014	Completed
	C	RS	Consultation - Research	0	50	50	N/A	20	30	60%	June 2015	In Progress
			Totals	2675	2725			1303				

Estimate-Hours Available For Audits = 2720 (2 audit staff)

T-Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

Scheduled
In Progress
Completed
Removed

Footnotes:

(1) Based upon two most recent State Audits, and other assessed risks, certain aspects of Financial Aid (Return to Title IV, Work-Study, and others) were increased in our risk assessment. We plan to reduce the planned scope of our Payroll procedures, if necessary.

**Tennessee Tech University
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015**

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage			
Required	R	FM	President's Expenses	200	200	0	0%	243.5	(44)	-22%	October 2014	Completed	
Required	R	SS	CCTA Funding Formula-Completion (2013 Data)	120	120	0	0%	102.5	18	15%	July 2014	Completed	
Required	R	SS	CCTA Funding Formula-Transfers & Other	4	120	120	0%	7.5	113	94%	March 2015	Scheduled	
Required	F	FM	Slate Audit Follow-Up	4	60	60	0%	67.3	(7)	-12%	December 2014	Completed	
Required	M	RS	Risk Assessment-Research	25	25	0	0%	2.5	23	90%	May 2015	In Progress	
Required	M	SS	Risk Assessment-Student Services	25	25	0	0%	7	18	72%	May 2015	In Progress	
Required	M	IS	Risk Assessment-Institutional Support	35	35	0	0%	5.5	30	84%	May 2015	In Progress	
Required	M	IS	Risk Assessment-Enterprise-wide	35	35	0	0%	1.5	34	96%	May 2015	In Progress	
Required	R	IS	Follow-Up to Internal Audits	50	50	0	0%	40	10	20%	TBD	In Progress	
Required	I	IS	Unscheduled Investigations	5	200	155	(45)	-23%	0	155	100%	TBD	Scheduled
Required	I	IS	Investigation 15-01	5	0	5	5	100%	5	0	0%	October 2014	Completed
Required	I	IS	Investigation 15-02	5	0	8.5	9	100%	8.5	0	0%	November 2014	Completed
Required	I	IS	Investigation 15-03	5	0	1.5	2	100%	1.5	0	0%	December 2014	Completed
Required	I	IA	Investigation 15-04	5	0	30	30	100%	14.5	16	52%	March 2015	In Progress
Required	C	IS	General Consultation	50	50	0	0%	7.7	42	85%	TBD	In Progress	
Brought Forward	A	FM	Equipment	2, 4	150	400	250	167%	346.4	54	13%	April 2015	In Progress
Brought Forward	A	IT	Payment Card Industry	4	100	100	0	0%	28.3	72	72%	April 2015	In Progress
Required	R	FM	Inventory Observations	3	75	75	0	0%	39	36	48%	August 2014	Completed
Required	R	AT	Student Assistance Funds	75	75	0	0%	72	3	4%	August 2014	Completed	
Mgmt Req	P	FM	Procurement Reviews	8	350	550	200	57%	448	102	19%	June 2015	In Progress
Mgmt Req	P	RS	Sponsored Program Review	8	180	380	200	111%	16.5	364	96%	June 2015	Scheduled
	P	IS	Electronic Work Papers	6	0	150	150	100%	36.5	114	76%	2015	In Progress
1	A	IS	Minors on Campus	1, 4	0	250	250	100%	0	250	100%	May 2015	Scheduled
2	A	FM	Accounts Receivable	4	250	250	0	0%	160.5	90	36%	March 2015	In Progress
3	A	FM	Receipts	4, 10	250	0	(250)	-100%	0	0		No longer scheduled	Removed
3T, 10	A	FM	Procurement	7	150	0	(150)	-100%	0	0		No longer scheduled	Removed
Required	M	AD	Risk Assessment-Advancement	9	25	0	(25)	-100%	0	0		No longer scheduled	Removed
									0				
									0				
									0				
									0				
									0				
									0				
									0				
									0				
									0				
			Totals	2525	3150			1661.7					

Estimate-Hours Available For Audits = 2890 (2 audit staff and part of Administrative Associate's time) - see note 8
T--Tie
TBD-To Be Determined

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:
1 Minors on Campus audit was added to the universe at the President's request and ranked #1 after the risk analysis revision.
2 The equipment audit has required significantly more time. It is more complicated than in years past, now includes sensitive minor equipment, and has required much more testwork.
3 Many of the Inventory Observation hours will be spent in June 2015 working toward the Inventory Observations audit that will be published in August 2016.
4 The anticipated completion date has changed.
5 As investigations surface, the hours spent on specific investigations reduce the unscheduled investigations budgeted hours and are added to the specific investigation.
6 Served on team to evaluate automated work papers for TBR auditors group. Budget includes estimated training hours.
7 Risk analysis revision (due to marked increase in number and depth of reviews) moved Procurement Audit from #3T to #10.
8 Adm Asst has been able to spend less time on administrative duties than anticipated, allowing more time for Procurement and other needed reviews and adding to our available audit hours-up to 2890 from 2490.
9 This area's ERM was rescheduled to 2015-16 because of actual and anticipated key personnel changes.
10 This area was removed because increases in equipment and other audits' hours left us without sufficient time to complete the audit in 2014-15.

University of Memphis
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of 01/31/2015

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage		
1T	A	AD	Risk Assessment-Review of Internal Controls-Risk Footprints-Advancement[4]	350	125	(225)	-64%	124	1	1%	October 2014	Completed
1T	A	IT	Risk Assessment-Review of Internal Controls-Risk Footprints-Information Technology[10]	350	0	(350)	-100%		0		May 2015	Canceled
1T	A	RS	Risk Assessment-Review of Internal Controls-Risk Footprints-Research[4]	400	185	(215)	-54%	182	3	2%	January 2015	Completed
2	A	AX	Hotel Conference Center-Management Contract (Holiday Inn & Fogelman)	300	300	0	0%	260	40	13%	January 2015	Completed
3T	A	FM	Data Analytics-Payroll & Accounts Payable (Continuous) [11]	350	250	(100)	-29%	120	130	52%	June 2015	In Progress
3T	A	FM	Fixed Assets (Continuous)	330	330	0	0%	230	100	30%	June 2015	In Progress
3T	A	FM	Procurement Cards (Continuous)	350	350	0	0%	220	130	37%	June 2015	In Progress
4T	A	FM	International Travel[4]	200	120	(80)	-40%	115	5	4%	October 2014	Completed
4T	A	FM	Lambuth Campus [7]	250	250	0	0%	272	(22)	-9%	March 2015	In Progress
5	A	IT	Information Technology-Data Security-Mobile Devices (Laptop Encryption, etc)[6]	300	0	(300)	-100%		0			Canceled
6	A	IT	Information Technology-PCI Compliance (Credit Card Processing)[6]	250	0	(250)	-100%		0			Canceled
7	A	SS	Study Abroad Program & International Area	350	350	0	0%	190	160	46%	April 2015	In Progress
8	A	AT	Athletics Ticket Distribution - Compliance with TBR and UOM Policies	150	150	0	0%	42	108	72%	May 2015	In Progress
	S	RS	Confucius Institute [9]	0	400	400	100%	42	358	90%	June 2015	In Progress
	C	IT	Network Security-Port Controls[8]	0	120	120	100%	86	34	28%	January 2015	Completed
	S	FM	Government Relations[8]	0	120	120	100%	80	40	33%	December 2014	Completed
	F	IT	Follow-up State IT Audit [5]	0	250	250	100%	30	220	88%	May 2015	In Progress
	C	IS	General Consultation (includes attorney client projects) [1]	200	400	200	100%	162	238	60%		In Progress
	C	IT	General Consultation - IT [2]	100	500	400	400%	436	64	13%		In Progress
	F	FM	Follow-up FY14 Audits	100	100	0	0%	85	15	15%	May 2015	In Progress
	F	FM	Follow-up State Audit Findings FY13	100	100	0	0%	108	(8)	-8%	July 2014	Completed
	M	FM	Risk Assessment-Financial Management	80	80	0	0%		80	100%	May 2015	Scheduled
	P	FM	W2 Process-Returned Addresses (Mang Request)	80	80	0	0%	30	50	63%	June 2015	In Progress
	R	FM	Inventory Observation for State Auditors (Mang Request)	80	80	0	0%		80	100%	June 2015	Scheduled
	R	FM	Cash Counts for State Auditors (Mang Request) [3]	0	120	120	100%	86	34	28%	June 2015	In Progress
	R	IT	Information Technology-ACH (Bank Contract)-NACHA	80	80	0	0%		80	100%	April 2015	Scheduled
	R	SS	CCTA Funding Formula-Part 3	150	150	0	0%	21	129	86%	March 2015	In Progress
	I	IS	Unscheduled Investigations	400	400	0	0%	259	141	35%		
	I	PP	15-001	0	20	20	100%	16	4	20%	Sept 2014	Completed
	I	PP	15-002	0	5	5	100%	5	0	0%	Sept 2014	Referred
	I	IA	15-003	0	45	45	100%	40	5	11%	Nov 2014	Completed
	I	IS	15-004	0	5	5	100%	5	0	0%	Sept 2014	Referred
	I	IA	15-005	0	100	100	100%	86	14	14%	March 2015	In Progress
	I	IA	15-006	0	5	5	100%	5	0	0%	December 2014	Referred
	I	IA	15-007	0	120	120	100%	102	18	15%	April 2015	In Progress
			Totals	5,300	5,390			3,180				

Estimate-Hours Available For Audits = 5,320 (4 audit staff)(The Audit Plan is being evaluated by Management and adjustments will be made later in the fiscal year)

T-Tie

NOTE: UOM was transitioning to a new President when the FY2015 audit plan was prepared - Subject to Revision During the Fiscal Year

Footnotes:

- [1] Additional hours added to consultation per Management request.
- [2] Additional hours added to IT consultation per Management request to provide assistance with current State IT audit.
- [3] Cash count process added per Management request to assist State Auditors.
- [4] Audit actual hours were lower than estimated. Hours allocated to other audits and projects requested by Management.
- [5] Additional hours per Management request for follow-up to State IT audit.
- [6] Audit canceled. Per Management request IT hours allocated to follow-up with State IT audit.
These IT areas were partially covered by the state IT audit.
- [7] Scope expanded to include additional areas per Management request.
- [8] Special request from Management.
- [9] Special request from Management due to audit request from outside funding source.
- [10] All areas on the UOM IT risk assessment were audited by the State IT Audit group. (very broad & comprehensive IT audit by State IT audit group)
UOM Management agreed & hours reallocated to other audits & projects.
- [11] Hours reallocated to other audits and projects per Management request.

Audit Types:

- R - Required
- A - Risk-Based (Assessed)
- S - Special Request
- I - Investigation
- P - Project (Ongoing or Recurring)
- M - Management's Risk Assessment
- C - Consultation
- F - Follow-up Review

Functional Areas:

- AD - Advancement
- AT - Athletics
- AX - Auxiliary
- FM - Financial Management
- IA - Instruction & Academic Support
- IS - Institutional Support
- IT - Information Technology
- PP - Physical Plant
- RS - Research
- SS - Student Services

Status:

- Scheduled
- In Progress
- Completed
- Removed
- Canceled

Chattanooga State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage		
Required by TBR	F	FM	State Audit Follow-Up	30	30	0	0%	0	30	100%	June 2015	Scheduled
Required by TBR	R	SS	CCTA Funding Formula-Completion	40	40	0	0%	40	0	0%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	125	125	0	0%	0	125	100%	June 2015	Scheduled
Required by TBR	M	SS	Risk Assessment-Student Services	40	40	0	0%	1	39	98%	May 2015	Scheduled
Special Request	P	IS	Special Project - Electronic Workpapers	50	50	0	100%	48	2	4%	December 2014	Completed
Special Request	P	IS	Special Project - Audit Software (1)	0	100	100	100%	21	79	79%	June 2015	In Progress
Special Request	S	IS	Volkswagon Academy (1)	0	160	160	100%	2	158	99%	June 2015	In Progress
	R	FM	Year End Cash Counts and Inv FYE 2014	8	8	0	0%	7	1	13%	July 2014	Completed
	R	FM	Year End Cash Counts and Inv FYE 2015	22	22	0	0%	0	22	100%	June 2015	Scheduled
	I	IS	Unscheduled Investigations (2)	80	160	80	100%	25	135	84%	TBD	In Progress
	C	IS	General Consultation (3)	50	80	30	60%	37	43	54%	June 2015	In Progress
	F	IS	Follow-up Reviews	100	100	0	0%	22	78	78%	TBD	In Progress
Management Request	S	PP	Police Department Compliant Review (4)	50	80	30	100%	78	2	3%	December 2014	Completed
Management Request	S	IT	NACHA Security Audit (5)	85	0	(85)	-100%	0	0	-100%	March 2015	Removed
Management Request	C	IA	Continuing Education Business Processes - Staffing, Fees, Class Development	120	120	0	0%	145	(25)	-21%	August 2014	Completed
Brought forward	A	AT	Athletic Eligibility	50	85	35	70%	85	0	0%	December 2014	Completed
Brought forward	A	AT	Athletic Financial Aid	15	15	0	0%	25	(10)	-67%	September 2014	Completed
Brought forward	A	IT	IT Disaster Recovery Plan Audit	20	20	0	0%	20	0	0%	July 2014	Completed
1	A	IS	Human Resources (6)	0	0	0	0%	0	0	0%	June 2015	Removed
2T	A	FM	Accounts Receivable	120	120	0	0%	0	120	100%	May 2015	Scheduled
2T	A	FM	Payroll	100	100	0	0%	0	100	100%	June 2015	Scheduled
3T	A	IS	Mail Services	80	80	0	0%	75	5	6%	October 2014	Completed
3T	A	FM	Shipping and Receiving	60	60	0	0%	60	0	0%	December 2014	Completed
3T	A	FM	Bank Reconciliations (7)	70	90	20	100%	9	81	90%	April 2015	In Progress
			Totals	1315	1685			700				

Estimate-Hours Available For Audits = 1685 (1 audit staff + .5 audit staff. Staff position vacant from September 1, 2014 - January 5, 2015)

T--Tie

TBD-To Be Determined

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

- (1) Projects added at TBR and Management Request.
- (2) 3 new investigations were received in January 2015.
- (3) Hours added for increase in Consultation request due to changes on campus.
- (4) Complexity of issues and report increased time needed to complete project.
- (5) Project Removed to allow for additional investigation projects.
- (6) Audit postponed to FYE 2016 to allow for follow-up to current TBR review.
- (7) Hours added for new staff auditor.

Cleveland State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31 2015

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage		
	F	SS	Audit Follow-Up	30	30	0	0%		30	100%	July 2014	Completed
	M	SS	Risk Assessment-Student Services	45	45	0	0%		45	100%	May 2015	Scheduled
	M	IS	TCAT Risk Assessment-Enterprise-wide	30	30	0	0%		30	100%	February 2015	Scheduled
	P	IS	Quality Assessment Review	25	25	0	0%		25	100%	August 2014	Scheduled
	I	IS	Unscheduled Investigations	25	25	0	0%		25	100%	TBD	Scheduled
Special Request	S	SS	Title IV Compliance	200	200	0	0%	190	10	5%	November 2014	In progress
	C	IS	General Consultation	50	50	0	0%	30	20	40%	June 2015	Scheduled
Required by TBR	R	SS	CCTA Funding Formula-Completion	200	200	0	0%	150	50	25%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	200	200	0	0%		200	100%	December 2014	Scheduled
Required by 1st TN Ba	R	IS	Nacha Audit	125	125	0	0%		125	100%	May 2015	Scheduled
1T	A	FM	Cash Counts	100	0	(100)	-100%		0	0%	(1) October 2014	Removed
1T	A	FM	Maintenance/Tuition and Related Fees	175	0	(175)	-100%		0	0%	(2) September 2014	Removed
Special Request	S	IA	OneSource (Workforce Development)	0	125	125		100	25	0%	(2) February 2015	In progress
			Totals	1205	1055			470				

Estimate-Hours Available For Audits = 1140(1 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

Scheduled
In Progress
Completed
Removed

Footnotes:

(1) Significant increase in Administrative time because of office relocation, which resulted in a decrease in available audit time for the year.

(2) Due to Special request by President one audit added and one audit removed

Columbia State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Brought Forward, Required by TBR	R	SS	CCTA Funding Formula-Completion	0	69	69	100%	(1)	69	0	0%	July 30, 2014	Completed
Required by Law	R	FM	CoSCC President Expenses FYE 6/30/14	170	218	48	28%	(2)	218	0	0%	October 28, 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	150	150	0	0%		0	150	100%	April 2015	Scheduled
Brought Forward	M	IS	CoSCC Risk Assessment FY2014	0	14	14	0%	(1)	14	0	0%	July 17, 2014	Completed
	M	IS	CoSCC Risk Assessment FY2015	40	40	0	0%		0	40	100%	May 2015	Scheduled
	M	IS	Hohenwald Risk Assessment	30	30	0	0%		1	29	97%	February 2015	In Progress
	M	IS	Pulaski Risk Assessment	30	30	0	0%		8	22	73%	February 2015	In Progress
	C	IS	General Consultation	180	49	(131)	-73%	(1)(2)	6	43	88%	June 2015	In Progress
Totals				600	600				316				

Estimate-Hours Available For Audits = 600. MTSU Audit & Consulting Services is on contract for 600 hours of audit services as needed and/or requested.

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

- (1) Audit hours were reallocated from general consultation to the 2 audit projects that were brought forward from FY2014.
(2) Audit hours were reallocated from general consultation to president expense. Additional time needed due to connectivity issues accessing the systems at CoSCC from MTSU.

**Dyersburg State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015**

Rank	Type	Area	Audit	Budget	Estimated Completion Date
Brought forward	I	IA	DSCC-INV1303-FU - Nursing Donation-03052013	20	February 2015
Required by TBR	R	SS	DSCC-IAR-CCTA Funding Formula-Transfers & Other-04012015	150	April 2015
Special Request	S	IA	DSCC - IAR-Faculty Sick Leave-04302015	50	April 2015
Required by TBR	M	PP	DSCC-RA-Risk Assessment-Physical Plant-05312015	52.5	May 2015
Required by TBR	M	AD	DSCC-RA-Risk Assessment-Institutional Advancement-05312015	60	May 2015
Required by TBR	M	IA	DSCC-RA-Risk Assessment-Instruction & Academic Support-05312015	65	May 2015
	I	IS	Unscheduled Investigations	35	TBD
	C	IS	General Consultation	35	June 2015
Special Request	S	PP	DSCC-IAR-Building Security/Key Control-06302015	50	June 2015
Required by TBR	R	FM	Year-end Bank Confirmations	30	June 2015
			Total	547.5	

Estimate-Hours Available For Audits = 547.5

T-Tie

TBD-To Be Determined

Audit Types:

R - Required

A - Risk-Based (Assessed)

S - Special Request

I - Investigation

P - Project (Ongoing or Recurring)

M - Management's Risk Assessment

C - Consultation

F - Follow-up Review

Functional Areas:

AD - Advancement

AT - Athletics

AX - Auxiliary

FM - Financial Management

IA - Instruction & Academic Support

IS - Institutional Support

IT - Information Technology

PP - Physical Plant

RS - Research

SS - Student Services

**Jackson State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015**

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Required by TBR	R	SS	CCTA Funding Formula - Completion (2013 Data)	150	100	0	0%	1	99	1	1%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula - Transfers and Other	150	150	0	0%		16	134	89%	December 2014	In Progress
Required by TBR	M	PP	JSCC Risk Assessment - Physical Plant	80	80	0	0%			80	100%	May 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Covington	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Crump	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Jackson	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - McKenzie	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Newbern	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Paris	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Ripley	25	25	0	0%		2	23	92%	February 2015	
Required by TBR	M	IS	TCAT Risk Assessment - Whiteville	25	25	0	0%		2	23	92%	February 2015	
Required by State Audit	R	FM	Year-end Bank Confirmations	30	30	0	0%			30	100%	May 2015	
Brought forward	A	PP	Emergency Preparedness	150	40	(110)	-73%	2	37.5	3	6%	August 2014	Completed
Brought forward	F	IT	Follow up Review - IT Governance	30	30	0	0%		25	5	17%	March 2015	Completed
Brought forward	F	IT	Follow up Review - Data Security	30	30	0	0%		25	5	17%	March 2015	In Progress
Brought forward	F	IS	Follow up Review - Cash Receipting	30	30	0	0%		25	5	17%	March 2015	Completed
Consulting 1	C	IS	General Consultation	100	150	50	50%	3	103	47	31%	June 2015	
Investigation	I	SS	Financial Aid	250	250	0	0%		98.5	152	61%	June 2015	
Investigation	I	SS	Investigation JSCC 15-01	0	100	100			43	57	57%	March 2015	
Totals				1200	1190				488				

Estimate-Hours Available For Audits = 1200 (1 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:

R - Required

A - Risk-Based (Assessed)

S - Special Request

I - Investigation

P - Project (Ongoing or Recurring)

M - Management's Risk Assessment

C - Consultation

F - Follow-up Review

Functional Areas:

AD - Advancement

AT - Athletics

AX - Auxiliary

FM - Financial Management

IA - Instruction & Academic Support

IS - Institutional Support

IT - Information Technology

PP - Physical Plant

RS - Research

SS - Student Services

Status:

Scheduled

In Progress

Completed

Removed

Footnotes:

1 - The CCTA Completion Audit began in 2013-14 and consisted of 90 hours plus 99 hours in 2014-15 for a total of 189 hours.

2 - The Emergency Preparedness Audit began in 2013-14 and consisted of 85 hours plus 37.5 hours in 2014-15 for a total of 122.5 hours.

3 - General consultation budget increased due to additional project review.

**Motlow State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015**

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Brought Forward, Required by TBR	R	SS	CCTA Funding Formula-Completion	0	52	52	100%	(1)	52	0	0%	July 29, 2014	Completed
Required by Law	R	FM	MSCC President Expenses FYE 6/30/14	150	150	0	0%		185	(35)	-23%	October 29, 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	150	150	0	0%		0	150	100%	March 2015	Scheduled
	M	IS	MSCC Risk Assessment - Academic Affairs and Instruction	40	25	(15)	-38%	(2)	0	25	100%	May 2015	Scheduled
	M	SS	MSCC Risk Assessment - Student Services		25	25	100%	(2)	0	25	100%	May 2015	Scheduled
	M	PP	MSCC Risk Assessment - Physical Plant		25	25	100%	(2)	0	25	100%	May 2015	Scheduled
	M	IS	McMinnville Risk Assessment	25	25	0	0%		0	25	100%	February 2015	In Progress
	M	IS	Murfreesboro Risk Assessment	25	25	0	0%		32	(7)	-28%	February 2015	In Progress
	M	IS	Shelbyville Risk Assessment	25	25	0	0%		20	5	20%	February 2015	In Progress
Management Request	S	PP	Timekeeping Review (Facilities Dept.)	100	100	0	0%		0	100	100%	June 2015	Scheduled
	C	IS	General Consultation	85	60	(25)	-29%	(1)	8	52	87%	June 2015	Scheduled
Req by State Audit	R	FM	State Audit Assistance - Yr End		40	40	100%	(3)	0	40	100%	June 2015	Scheduled
	F	IS	Other Internal Audit Follow-Up		75	75	100%	(3)	0	75	100%	Various	Scheduled
	P	IS	Electronic Working Papers		50	50	100%	(3)	0	50	100%	Ongoing	Scheduled
			Totals	600	827				297				

Estimate-Hours Available For Audits has increased from 600 to 827 due to Motlow hiring a full-time Internal Auditor as of 2/2/15.
 MTSU Audit and Consulting Services was on contract for 600 hours of audit services as needed and/or requested. Estimated actual hours is 397.
 Estimated hours for the new Internal Auditor is 430 hours.

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

- (1) General consultation was decreased by 52 hours to allocate time to the CCTA-Completion Audit, which was required but not in the original plan. General consultation was later increased by 27 hours when the campus' Internal Auditor position was filled and more audit hours become available.
- (2) Audit hours split among risk assessments instead of cumulative total.
- (3) Additional audits added to the plan as a result of the increase in available audit hours.

Nashville State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 30, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Required by TBR	R	FM	President's Expenses	150	150	0	0%	150	0	0%	October 2014	Completed	
Required by TBR	F	FM	State Audit Follow-Up	100	100	0	0%	85	15	15%	June 2015	In Progress	
Required by TBR	R	SS	CCTA Funding Formula-Completion	80	80	0	0%	80	0	0%	July 2014	Completed	
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	150	150	0	0%	60	90	60%	TBD	In Progress	
Required by TBR	R	FM	Year End Work	22.5	22.5	0	0%	0	23	100%	June 2015	Scheduled	
Required by TBR	P	IS	Quality Assessment Review - Follow-Up	40	0	(40)	-100%	Fn1	0	0%	FY2016	Removed	
Risk Assessment	M	IS	Risk Assessment-Institutional Support	30	30	0	0%	0	30	100%	May 2015	Scheduled	
Risk Assessment	M	IS	Risk Assessment-Information Technology	40	40	0	0%	0	40	100%	May 2015	Scheduled	
Risk Assessment	M	IS	Risk Assessment-Enterprise-wide-TCATD	25	30	5	20%	0	15	50%	February 2015	In Progress	
Risk Assessment	M	IS	Risk Assessment-Enterprise-wide-TCATN	25	30	5	20%	0	15	50%	February 2015	In Progress	
VP Request	A	FM	Cash Counts at TCATs & Satellite Campuses	50	60	10	20%	0	55	8%	February 2015	In Progress	
IT	A	FM	Disbursements	175	0	(175)	-100%	Fn3	0	0%	January 2015	Removed	
2T	A	FM	Maintenance/Tuition and Related Fees	150	130	(20)	-13%	0	130	0%	May 2015	Scheduled	
As Assigned	I	IS	Unscheduled Investigations	100	0	(100)	-100%	Fn2	0	0%	TBD	In Progress	
As Assigned	C	IS	General Consultation	75	60	(15)	-20%	0	25	58%	TBD	Scheduled	
As Assigned	F	IS	Internal Audit Follow-Up	25	20	(5)	-20%	0	20	100%	June 2015	Scheduled	
Investigation	I	FM	NaSCC 14-01	0	85	85	100%	Fn2	80	5%	June 2015	In Progress	
Investigation	I	FM	TBR 14-03	0	20	20	100%	Fn2	20	0%	June 2015	In Progress	
1T	A	FM	Cash Receipts	0	56	56	100%	Fn3	50	15%	January 2015	In Progress	
1T	A	FM	Cash Collections Reconciliation	0	100	100	100%	Fn3	70	30%	February 2015	In Progress	
Project	P	IS	Audit Software	0	24	24	100%	Fn4	8	16%	February 2015	In Progress	
Investigation	I	FM	NaSCC 15-01	0	50	50	100%	Fn2	5	45%	June 2015	In Progress	
Totals				1237.5	1237.5				718	468			

Estimate-Hours Available For Audits = 2720 (2 audit staff)

T--Tie

TBD--To Be Determined

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

Fn 1 - The Quality Assurance Review is not a project due in 2015 and therefore removed from the audit plan.

Fn 3 - Replaced with two more relevant audits

Fn 2 - Budgeted hours were moved from Unscheduled Investigations to specific investigations.

Fn 4 - Added per Chief Audit Executive

**Northeast State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015**

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage		
Required by TBR	R	FM	President's Expenses Audit-CISCC (FN 1)	150	0	(150)	-100%		0	0%	(FN 1)	Removed
Required by TBR	R	SS	CCTA Funding Formula-Completion (2013 Data)	50	50	0	0%	54	(4)	-8%	July 2014	Completed
Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	200	200	0	0%		200	100%	March 2015	Scheduled
Req by State Audit	R	FM	State Audit Assistance-Yr End	40	40	0	0%		40	100%	June 2015	Scheduled
	F	FM	State Audit Follow-Up	75	75	0	0%		75	100%	April 2015	Scheduled
	F	IS	Other Internal Audit Follow-Up	75	75	0	0%	5	70	93%	Various	In Progress
	P	IS	Electronic Working Papers	50	50	0	0%		50	100%	Ongoing	In Progress
	M	FM	Risk Assessments - NeSCC	60	25	(35)	-58%		25	100%	May 2015	Scheduled
	M	IS	TCAT Risk Assessment-Enterprise-wide	20	5	(15)	-75%		5	100%	February 2015	Scheduled
Brought forward	S	IA	Theater Services	50	50	0	0%	67.5	(18)	-35%	August 2014	Completed
Special Request	S	IS	Special Requests and Projects	50	50	0	0%	16	34	68%	Various	In Progress
Special Request	C	IS	General Consultation	50	50	0	0%	8.5	42	83%	Ongoing	In Progress
1	A	IS	Human Resources (FN 2)	200	0	(200)	-100%		0	0%	April 2015	Removed
2	A	AD	Foundation/Advancement (FN 3)	200	0	(200)	-100%		0	0%	June 2015	Removed
			Totals	1270	670			151				

Estimate-Hours Available For Audits = 1122.5 (1 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

Scheduled
In Progress
Completed
Removed

Footnotes:

FN 1 - Audit designated as Removed because it will be reassigned by TBR SWIA due to internal auditor position vacancy.
FN 2 - Audit designated as Removed due to reduction of audit hours during internal auditor position vacancy.
FN 3 - Audit designated as Removed due to reduction of audit hours during internal auditor position vacancy.

Pellissippi State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Required	R	SS	Funding Formula-Completion (2013 Data)	40	40	0	0%	43	(3)	-8%	July 2014	Completed	
Required	R	SS	Funding Formula-Transfers & Other	125	125	0	0%	0	125	100%	April 2015	Scheduled	
Required	F	FM	Internal Audit Follow Ups	30	20	(10)	-33%	0	20	100%	Continuous		
Required	M	SS	Risk Assessment-Student Services	30	20	(10)	-33%	0	20	100%	March 2015	Scheduled	
Required	M	IT	Risk Assessment - Information Technology	20	20	0	0%	0	20	100%	April 2015	Scheduled	
Required	M	FM	Risk Assessment-Financial Management	20	10	(10)	-50%	7	3	30%	December 2014	Completed	
Required	F	FM	State Audit Follow-Up	40	20	(20)	-50%	0	20	100%	February 2015	Scheduled	
Required	M	IS	TTC Risk Assessment-Enterprise-wide	20	20	0	0%	15	5	25%	February 2015	Scheduled	
Required	R	FM	Chancellor's Expenses	125	100	(25)	-20%	98	2	2%	August 2014	Completed	
Presidential Request	S	IA	Faculty Credentials	100	100	0	0%	97	3	3%	December 2014	Completed	
Presidential Request	S	FM	First TN - NACHA Audit	100	80	(20)	-20%	70	10	13%	October 2014	Completed	
Presidential Request	C	IA	Review of Compliance Assist	20	40	20	100%	35	5	13%	September 2014	Scheduled	
Presidential Request	C	IT	Review of Security Administration Issues and other TBR IT Audit Issues	0	120	120	100%	FN 2	101	19	16%	Continuous	
Presidential Request	C	IS	Review of ACA Issues	0	30	30	100%	FN 3	14	16	53%	Continuous	
Presidential Request	C	FM	Review of RFP award process (banking, software etc.)	0	40	40	100%	FN 4	15	25	63%	Continuous	
1T	A	FM	Disbursements	175	175	0	0%	63	112	64%	February 2015	In Progress	
1T	A	AD	Development (Foundation)	150	150	0	0%	15	135	90%	April 2015	In Progress	
2	A	IS	Financial Aid	200	0	(200)	-100%	FN 1	0	0	0%	Removed	
3T	A	FM	Accounts Payable	0	100	100	100%	FN 5	0	100	100%	June 2015	Scheduled
			Totals	1195	1210			573					

Estimate-Hours Available For Audits = 1113 (a audit staff)

T--Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

S - Scheduled
I - In Progress
C - Completed
R - Removed

Footnotes:

- (1) This audit was originally sheduld to start in FYE June 30, 2015. However, because of the workload in the financial aid office during the summer this audit will be postponed until the Fall of 2015.
- (2) This area was added to the audit plan after the college received the TBR IT audit. The college has asked me to be heavily involved in helping the college create an information security officer. Currently the CIO is designated as that individual but if funding is available the college would like to create a position that would have some reporting responsibility to internal audit. For this reason they have asked me to become involved in the process and I have been communicating with the chief information security officer at the University of Tennessee as well as consulting with Sword and Shield regarding this matter.
- (3) This review was requested by the President after the initial audit plan was developed based upon questions from Academic Deans regarding the colleges rules related to adjunct faculty work loads.
- (4) This consulting project has been done by internal audit since the Board revised the RFP process but the hours required in the current fiscal year warranted a separate line item on the audit plan.
- (5) This audit was added to the audit plan when the decision was made to postpone the audit of Financial Aid.

Southwest Tennessee Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
	S	AT	Athletic Comprehensive	165	0	(165)	-100%	Fn1		0	0%		Removed
	I	AT	Athletic-Work Study	40	40	0	0%	Fn4	92	(52)	-130%	February 2015	In Progress
	F	FM	State Audit Follow Up	30	30	0	0%		10	20	67%	June 2015	In Progress
	M	IA	Risk Assessment-Instruction & Academic	22.5	22.5	0	0%		19	4	16%	June 2015	In Progress
	M	FM	Risk Assessment-Financial Management 1	22.5	22.5	0	0%		12	11	47%	June 2015	In Progress
	M	FM	Risk Assessment-Financial Management 2	22.5	22.5	0	0%			23	100%	June 2015	In Progress
	S	FM	Management Request-Cash Control Gym Rental	165	165	0	0%		144	21	13%	June 2015	In Progress
	I	IS	Unscheduled Investigations	100	3	(97)	-97%	Fn2		3	100%	June 2015	In Progress
	C	IS	General Consultation	75	50	(25)	-33%	Fn2	24	26	52%	June 2015	In Progress
Required by TBR	R	SS	CCTA Funding Formula-Progression	150	150	0	0%			150	100%	March 2015	In Progress
	S	FM	Cash Counts	30	30	0	0%			30	100%	February 2015	In Progress
	S	FM	Motor Vehicle Pool	0	83	83	100%	Fn1	52	31	37%	June 2015	In Progress
	S	FM	Federal Perkins Loan Program	0	82	82	100%	Fn1		82	100%	June 2015	In Progress
	S	FM	Retiring Vice President-Audit of Grants	0	97	97	100%	Fn3	104	(7)	-7%	March 2015	In Progress
	S	FM	Request for Unemployment Review	0	25	25	100%	Fn2	23	2	8%	March 2015	In Progress
			Totals	822.5	822.5				480				

Estimate-Hours Available For Audits = 822.5 (1 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

FN1 - Athletics was identified by the former Director of Internal Audit, but based on management's requests, it was removed and two other areas were scheduled for audits.

Fn2 - Several audits were added and hours were reallocated from consultations and unscheduled investigations since those hours had not been used as planned. The audit areas were requested by management.

Fn3 - A retiring Vice President will be leaving STCC on December 31, 2014. The president requested that the grants under his supervision be audited.

Fn4 - Athletic Work Study- This audit was expanded because of problems discovered in the initial review.

Volunteer State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised January 31, 2015

Current	Rank	Type	Area	Audit	Previously	Current	Cumulative	Change in Budget		Actual	Cumulative	Actual Vs. Budget		Estimated/Actual	Current
					Reported			Budget	Budget			Percentage	Hours		
					Hours	Hours	Hours			Hours	Hours			Completion Date	Status
	Required by TBR	R	SS	CCTA Funding Formula-Completion	150	150	150	0%	-	130	130	-13%	-20	August 2014	Completed
	Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	150	150	300	0%	-	56	186	-63%	-94	December 2014	In Progress
	Required by TCA	R	FM	President's Expenses - STCC	190	190	490	0%	-	188.5	374.5	-1%	-1.5	October 2014	Completed
	Required by TBR	M	IS	Risk Assessment - Volunteer State	75	75	565	0%	-	0	374.5	0%	-75	May 2015	Scheduled
	Required by TBR	M	IS	TCAT Risk Assessment	15	15	580	0%	-	2	376.5	-87%	-13	February 2015	Scheduled
	Follow-up Review	F	IS	Follow-up Activities	75	75	655	0%	-	13	389.5	-83%	-62	June 2015	In Progress
	Investigation	I	IS	Unscheduled Investigations	100	100	755	0%	-	0	389.5	-100%	-100	June 2015	Scheduled
	Consultation	C	IS	General Consultation (1)	100	150	905	50%	50	110	499.5	-27%	-40	June 2015	In Progress
	Consulting Request- TCPRA	C	IS	TCPRA Bank Account (2)	0	55	960	100%	55	53.5	553	-3%	-1.5	November 2014	Completed
	Project	P	FM	Periodic Procard Review	100	100	1060	0%	-	0	553	-100%	-100	June 2015	Scheduled
	Special Request	S	IA	Credentials	150	150	1210	0%	-	96.5	649.5	-36%	-53.5	February 2015	In Progress
	Special Request	S	FM	State Audit Year-End Procedures	15	15	1225	0%	-	12.5	662	-17%	-2.5	July 2014	Completed
	Project	P	IS	Audit Software Implementation (3)	0	75	1300	100%	75	2	664	-97%	-73	March 2015	In Progress

Estimate-Hours Available For Audits = 972.5 (1 audit staff)

T-Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

- (1) The General Consultation budget has been increased by 50 hours to reflect actual hours. There has been more time spent on consulting activity this year than in previous years.
- (2) Consulting request to review the TCPRA bank account statements for which out Public Relations Director serves as Treasurer.
- (3) Audit software implementation added to the audit plan.

**Walters State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2015
As of January 31, 2015**

Rank	Type	Area	Audit	Current Year Budget				Budget to Actual			Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage	Actual Hours	Hours	Percentage			
	F	FM	State Audit Follow-Up	30	100	70	233%	100	0	0%	December 2014	Completed	
	R	FM	Inventory Observations	0	16	16	0%	16	0	0%	August 2014	Completed	
	R	FM	Cash Counts	0	8	8	0%	8	0	0%	August 2014	Completed	
	R	FM	Confirmation Requests	0	4	4	0%	4	0	0%	August 2014	Completed	
	M	FM	Risk Assessment-Financial Management	20	20	0	0%	0	20	100%	May 2015	Scheduled	
	M	SS	Risk Assessment-Student Affairs	20	20	0	0%	0	20	100%	May 2015	Scheduled	
	M	IA	Risk Assessment-Academic Affairs	20	20	0	0%	0	20	100%	May 2015	Scheduled	
	M	IS	Risk Assessment-Center for Workforce Development	20	20	0	0%	0	20	100%	May 2015	Scheduled	
	M	IS	TCAT Risk Assessment-Enterprise-wide	25	25	0	0%	0	25	100%	February 2015	Scheduled	
	P	IS	Quality Assessment Review	25	0	(25)	-100%	0	0	0%	August 2014	Removed	
	I	IS	Unscheduled Investigations	80	105	25	31%	80	25	24%	TBD	In Progress	
	C	IS	General Consultation	80	80	0	0%	60	20	25%	June 2015	In Progress	
	Required by TBR	R	SS	CCTA Funding Formula-Completion	40	40	0	0%	50	(10)	-25%	July 2014	Completed
	Required by TBR	R	SS	CCTA Funding Formula-Transfers & Other	150	150	0	0%	120	30	20%	December 2014	In Progress
	Required	R	FM	NACHA Compliance Audit	60	60	0	0%	60	0	0%	November 2014	In Progress
	Required	R	IT	IT Governance Review	65	65	0	0%	50	15	23%	March 2015	In Progress
	Required by TBR	P	IS	Audit Software	0	100	100	0%	40	60	60%	March 2015	In Progress
	1T	A	IT	Cloud Computing	200	112	(88)	-44%	40	72	64%	March 2015	In Progress
	Brought forward	A	FM	PCI-DSS	120	120	0	0%	10	110	92%	June 2015	Scheduled
	Brought forward	A	FM	Contracts	120	80	(40)	-33%	0	80	100%	June 2015	Scheduled
	3	A	FM	Accounts Receivable	147	77	(70)	-48%	0	77	100%	June 2015	Scheduled
			Totals	1222	1222			638					

Estimate-Hours Available For Audits = 1222 (1 audit staff)

T-Tie

TBD-To Be Determined

Audit Types:

R - Required

A - Risk-Based (Assessed)

S - Special Request

I - Investigation

P - Project (Ongoing or Recurring)

M - Management's Risk Assessment

C - Consultation

F - Follow-up Review

Functional Areas:

AD - Advancement

AT - Athletics

AX - Auxiliary

FM - Financial Management

IA - Instruction & Academic Support

IS - Institutional Support

IT - Information Technology

PP - Physical Plant

RS - Research

SS - Student Services

Status:

Scheduled

In Progress

Completed

Removed

Footnotes:

1. An internal audit activity must obtain an external assessment at least every five years by an independent reviewer or review team to maintain conformance with the IIA Standards. Since the equivalent self-assessment with independent validation (Quality Assessment Review or QAR) was last performed in 2012, the next QAR will be performed in 2017.

2. Since Unsheduled Investigations are unpredictable, additional time was budgeted to compensate for the already completed investigation.

3. Hours budgeted for the Accounts Receivable audit were reduced in response to the previously-unanticipated hours now required for the State Audit Follow-Up.

Tennessee Board of Regents - System Office

Internal Audit Plan

Fiscal Year Ended June 30, 2015

Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status	
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Required	R	FM	President's Expense (ChSCC)	150	225	75	50%	Fn 4	225	0	0%	December 15, 2014	Completed
Required	R	FM	President's Expense (CISCC)	0	150	150	100%	Fn 6	50	100	67%	February 9, 2015	Completed
Required	R	SS	DSCC-CCTA Funding Formula-Completion (2013 Data)	105	50	(55)	-52%	Fn 3	45	5	10%	July 25, 2014	Completed
Required	R	SS	STCC-CCTA Funding Formula-Completion (2013 Data)	65	25	(40)	-62%	Fn 3	20	5	20%	July 25, 2014	Completed
Required	R	SS	RSCC-CCTA Funding Formula-Transfers & Other	150	150	0	0%		0	150	100%	March 2015	Scheduled
Required	F	IA	State Audit Performance Follow-Up	40	5	(35)	-88%	Fn 3	5	0	0%	July 15, 2014	Completed
Required	F	FM	State Audit Follow up FY2012 and FY2013	40	40	0	0%		46.5	(7)	-16%	January 30, 2015	Scheduled
Required	F	SS	Follow-Up Audits	160	160	0	0%	Fn 1	0	160	100%	TBD	Scheduled
Required	M	SS	Risk Assessment	10	10	0	0%		0	10	100%	May 2015	Scheduled
	C	SS	General Consultation	75	140	65	87%	Fn 2	126	14	10%	June 2015	In Progress
	P	IS	Electronic Working Papers	0	150	150	100%	Fn 5	75	75	50%	March 2015	In Progress
1	A	PP	Facilities	150	150	0	0%		0	150	0%	June 2015	Scheduled
			Totals	945	1255	310			592.5				

Estimate-Hours Available For Audits = 1,085 (1 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	Scheduled
A - Risk-Based (Assessed)	AT - Athletics	In Progress
S - Special Request	AX - Auxiliary	Completed
I - Investigation	FM - Financial Management	Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

Fn 1 - The follow ups to be completed in FY2015 are related to CCTA Completion, CCTA Progression, TFLI, and Travel Claims.

Fn 2 - Consulting hours were increased based on trend of actual hours from July 2014 to January 2015.

Fn 3 - Not as many hours were necessary to finish the audit as anticipated.

Fn 4 - The Assistant Director of SWIA worked 275 hours on investigations not reflected in this schedule, but in the Revised SWIA Investigations Audit Plan. The Assistant Director worked 25 hours on TCAT audits not reflected in this scheduled, but in the Revised SWIA TCAT Audit Plan.

Fn 5 - Since a significant number of hours will be allocated to the implementation of the electronic working papers software, a separate line item was created for this project.

Fn 6 - This audit was added because of an internal audit vacancy at a campus, originally assigned to this audit. Fewer hours than planned were required for the audit.

Note: The audit universe identified for the system office includes an additional 23 programs, departments, or units that are not planned for audit during the fiscal year.

**SWIA - IT Audit
Internal Audit Plan
Fiscal Year Ended June 30, 2015
Revised as of 1/31/2015**

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage		
Required Assignments:												
Brought forward	A	IT	Carryover from FY'14 - Logical Access Security + (1)	72	145	73	101%	14	131	90%	March 2015	In Process
Brought forward	A	IT	Carryover from FY'14 - Completion of GCR reviews (2)	120	216	96	80%	560	(344)	-159%	December 2014	In Process
	C	IT	Consulting w/ IT personnel (3)	64	62	(2)	-3%	50	12	19%	Ongoing	In Process
Required by TBR	F	IT	Follow-up on prior IT Audit recommendations	24	28	4	17%	12	16	57%	Ongoing	In Process
Required by TBR	M	IT	IT Risk Assessment	4	4	0	0%	4	0	0%	July 2014	Completed
General Control Reviews:												
	A	IT	RODP	100	100	0	0%	2	98	98%	June 2015	Scheduled
	A	IT	MTSU	150	150	0	0%	62	88	59%	January 2015	In Process
	A	IT	TTU	150	150	0	0%	0	150	100%	April 2015	Scheduled
	A	IT	CoSCC	150	150	0	0%	91	59	39%	September 2014	In Process
	A	IT	DSCC	150	150	0	0%	0	150	100%	March 2015	Planning
	A	IT	STCC	150	150	0	0%	61	89	59%	October 2014	In Process
	A	IT	WSCC	150	150	0	0%	0	150	100%	May 2015	Scheduled
IT / Business Projects:												
Brought forward	C	IT	Banner system "XE" up-grade and ODS data warehouse implementation (4)	60	53	(7)	-12%	32	21	40%	Ongoing	In Process
	C	IS	Business Continuity Planning / IT Disaster Recovery	48	16	(32)	-67%	3	13	81%	Ongoing	Delayed by Team Mgr.
Special Request from CIO	S	IT	Social engineering program (1)	32	0	(32)	-100%	0	0	0%	February 2015	Combined
	C	IS	Business Process Management (IT impact)	24	4	(20)	-83%	4	0	0%	January 2015	Completed
Risk Based Audits:												
Special Request from CIO	S	IS	Information Dissemination Standards (1)	80	0	(80)	-100%	0	0	0%	February 2015	Combined
Totals				1528	1528			895				

Estimate-Hours Available For Audits = 1521

T--Tie

TBD-To Be Determined

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status:

Scheduled
In Progress
Completed
Removed

Footnotes:

- (1) Combined the Logical Access, Dissemination Standards and Social Engineering audits.
- (2) Completion of and report issuance for the FY 2014 GCR Audits in new format for report and workpapers.
- (3) Consulting consisted primarily of IT request regarding Security.
- (4) IT suspended the XE implementation in December.

TCAT
Internal Audit Plan
Fiscal Year Ended June 30, 2015
as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual		Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage		
Brought forward	F	FM	Morristown	25	25	0	0%	0	25	100%	August 2015	In Progress
Brought forward	F	FM	Elizabethton (FN2)	37.5	37.5	0	0%	153.5	(116)	-309%	December 2014	In Progress
Brought forward	A	FM	Focused Review (System-Wide)	10	10	0	0%	0	10	100%	September 2014	In Progress
Brought forward	A	FM	Knoxville (FN3)	10	10	0	0%	59	(49)	-490%	August 19, 2014	Completed
Brought forward	A	FM	Jackson (FN3)	10	10	0	0%	45.5	(36)	-355%	September 5, 2014	Completed
Brought forward	A	FM	McKenzie	22	22	0	0%	33.5	(12)	-52%	November 11, 2014	Completed
Brought forward	A	FM	Pulaski (FN3)	5	5	0	0%	29.5	(25)	-490%	September 5, 2014	Completed
Brought forward	A	FM	McMinnville	5	5	0	0%	7.5	(3)	-50%	May 19, 2014	Completed
Brought forward	A	FM	Ripley	50	50	0	0%	50.5	(1)	-1%	August 2014	In Progress
Brought forward	A	FM	Murfreesboro	5	5	0	0%	6	(1)	-20%	May 19, 2014	Completed
Brought forward	A	FM	Hartsville	37.5	37.5	0	0%	53.5	(16)	-43%	September 3, 2014	Completed
Brought forward	A	FM	Nashville (FN3)	15	15	0	0%	39.5	(25)	-163%	August 2014	In Progress
Brought forward	A	FM	Memphis (FN3)	10	10	0	0%	50	(40)	-400%	January 9, 2015	Completed
Brought forward	A	FM	Athens	37.5	37.5	0	0%	41	(4)	-9%	August 4, 2014	Completed
Brought forward	A	FM	Jacksboro (FN3)	10	10	0	0%	27.5	(18)	-175%	January 9, 2015	Completed
Brought forward	A	FM	Paris (FN3)	20	20	0	0%	48	(28)	-140%	January 29, 2015	Completed
Brought forward	A	FM	Crump (FN3)	10	10	0	0%	27.5	(18)	-175%	August 2014	In Progress
Brought forward	A	FM	Dickson	5	5	0	0%	6	(1)	-20%	May 19, 2014	Completed
			Directors Expenses-AR-Consumer Info (FN1)			0			0			
1	A	FM	Crossville (FN4)	45	45	0	0%	63.5	(19)	-41%	October 2014	In Progress
2	A	FM	Shelbyville (FN4)	45	45	0	0%	46.5	(2)	-3%	November 2014	In Progress
3	A	FM	Chatanooga (FN4)	45	45	0	0%	55	(10)	-22%	November 2014	In Progress
4	A	FM	Morristown (FN5)	37.5	37.5	0	0%	2	36	95%	November 2014	Scheduled
5	A	FM	Hohenwald (FN5)	45	45	0	0%	8	37	82%	December 2014	Scheduled
6	A	FM	Livingston (FN4)	37.5	37.5	0	0%	51	(14)	-36%	January 2015	In Progress
7	A	FM	Crump	37.5	37.5	0	0%	40	(3)	-7%	January 2015	In Progress
8	A	FM	Whiteville	37.5	37.5	0	0%	18.5	19	51%	February 2015	In Progress
9T	A	FM	Jackson	45	45	0	0%	20	25	56%	February 2015	In Progress
9T	A	FM	Newbern	37.5	37.5	0	0%	9.5	28	75%	February 2015	In Progress
10	A	FM	Dickson	45	45	0	0%	2	43	96%	February 2015	Scheduled
11	A	FM	Hartsville	37.5	37.5	0	0%	2.5	35	93%	February 2015	Scheduled
12	A	FM	Pulaski	37.5	37.5	0	0%	2	36	95%	March 2015	Scheduled
13	A	FM	Murfreesboro	45	45	0	0%	2	43	96%	March 2015	Scheduled
14	A	FM	Elizabethton	37.5	37.5	0	0%	2	36	95%	March 2015	Scheduled
15T	A	FM	Jacksboro	37.5	37.5	0	0%	2	36	95%	April 2015	Scheduled
15T	A	FM	Harriman	37.5	37.5	0	0%	2	36	95%	April 2015	Scheduled
16T	A	FM	McMinnville	37.5	37.5	0	0%	2	36	95%	February 2015	Scheduled
16T	A	FM	Memphis	37.5	37.5	0	0%	2	36	95%	April 2015	Scheduled
16T	A	FM	Paris	37.5	37.5	0	0%	2	36	95%	May 2015	
17	A	FM	McKenzie	37.5	37.5	0	0%	2	36	95%	May 2015	
18	A	FM	Nashville	37.5	37.5	0	0%	2	36	95%	May 2015	
19	A	FM	Knoxville	37.5	37.5	0	0%	2	36	95%	May 2015	Scheduled
20T	A	FM	Athens	37.5	37.5	0	0%	2	36	95%	June 2015	Scheduled
20T	A	FM	Oneida	37.5	37.5	0	0%	2	36	95%	May 2015	Scheduled
21	A	FM	Ripley	37.5	37.5	0	0%	2	36	95%	June 2015	Scheduled
22	A	FM	Covington	37.5	37.5	0	0%	2	36	95%	June 2015	Scheduled
	A	FM	TCAT Administration Audit Request	100	100	0	0%	100	0	0%	June 2015	In Progress
	C	FM	TCAT Consultation	15	15	0	0%	12	3	-20%	June 2015	In Progress
	P	IS	RFP Project	37.5	37.5	0	0%	36.5	1	-3%	October 2014	Completed
			Totals	1542	1542			1175				

Estimate-Hours Available For Audits = 1429.5 (1 audit staff)

T-Tie

TBD-To Be Determined

Audit Types:

- R - Required
- A - Risk-Based (Assessed)
- S - Special Request
- I - Investigation
- P - Project (Ongoing or Recurring)
- M - Management's Risk Assessment
- C - Consultation
- F - Follow-up Review

Functional Areas:

- AD - Advancement
- AT - Athletics
- AX - Auxiliary
- FM - Financial Management
- IA - Instruction & Academic Support
- IS - Institutional Support
- IT - Information Technology
- PP - Physical Plant
- RS - Research
- SS - Student Services

Status:

- Scheduled
- In Progress
- Completed
- Removed

Footnotes:

- FN1: Based on discussions with the Director, it was decided to perform a desk review for 1-2 years of Directors Expenses, testing large or unusual items, follow up with AR findings and observations, and review specific activities identified in the Federal Consumer Information requirements.
- FN2: Audit included follow up on previous investigation and was completed by investigative auditor.
- FN3: Audit findings resulted in extra time to complete the audit.
- FN4: New audit steps for Consumer information required more time to review auditees website and catalog than anticipated.
- FN5: Re-scheduled

Tennessee Board of Regents - System-wide Internal Audit
Investigation Plan
Fiscal Year Ended June 30, 2015
Revised as of January 31, 2015

Rank	Type	Area	Audit	Current Year Budget				Actual Hours	Budget to Actual			Completion Date Estimated / Actual	Current Status
				Original	Revised	Change Hours	Change Percentage		Hours	Percentage			
Investigation	P	IS	INVESTIGATION MANAGEMENT	160	160	0	0%	104	56	35%	Ongoing		
Investigation	C	IS	CAMPUS CONSULTATION	160	160	0	0%	64	96	60%	Ongoing		
Investigation (1)	I	FM	TBR 10-08		40	40	100%			0%	November 2014	In Progress	
Investigation (1)	I	FM	TBR 12-04		40	40	100%			0%	November 2014	In Progress	
Investigation (1)	I	FM	TBR 13-02		40	40	100%			0%	November 2014	In Progress	
Investigation (1)	I	IS	TBR 13-03		20	20	100%	25.5	(6)	-28%	TBD	In Progress	
Investigation (1)	I	FM	TBR 14-03		20	20	100%	1	19	95%	TBD	In Progress	
Investigation (1)	I	IA	TBR 14-04	20	20	0	0%	0	20	100%	TBD	In Progress	
Investigation (1)	I	FM	TBR 14-06		4	4	100%	4	0	0%	7/17/2014	Completed	
Investigation (1)	I	FM	TBR 14-12	20	20	0	0%	7.5	13	63%	7/17/2014	Completed	
Investigation (1)	I	FM	TBR 14-15	40	40	0	0%	22	18	45%	TBD	In Progress	
Investigation (1)	I	IS	TBR 14-17		40	40	100%	1	39	98%	TBD	In Progress	
Investigation (1)	I	FM	TBR 14-19	40	500	460	1150%	1182.5	(683)	-137%	November 2014	In Progress	
Investigation (1)	I	IS	TBR 14-20		40	40	100%	21	19	48%	TBD	In Progress	
Investigation (1)	I	IS	TBR 14-21		40	40	100%	22	18	45%	TBD	In Progress	
Investigation	I	FM	TBR 15-01		60	60	100%	27.5	33	54%	TBD	In Progress	
Investigation	I	SS	TBR 15-02		5	5	100%	1.5	4	70%	9/2/2014	Completed	
Investigation	I	FM	TBR 15-03		40	40	100%	15	25	63%	TBD	In Progress	
Investigation	I	FM	TBR 15-04		40	40		23.5	17	41%	TBD	In Progress	
	I	FM	Unscheduled Investigations	800	0	(800)	-100%		0		June 2015		
			Totals	1240	1329			1522	(193)	-15%			

Estimate-Hours Available For Audits = 1240 (1 audit staff)

T--Tie

TBD-To Be Determined

Audit Types:

R - Required

A - Risk-Based (Assessed)

S - Special Request

I - Investigation

P - Project (Ongoing or Recurring)

M - Management's Risk Assessment

C - Consultation

F - Follow-up Review

Functional Areas:

AD - Advancement

AT - Athletics

AX - Auxiliary

FM - Financial Management

IA - Instruction & Academic Support

IS - Institutional Support

IT - Information Technology

PP - Physical Plant

RS - Research

SS - Student Services

Status:

Scheduled

In Progress

Completed

Removed

Footnotes:

(1) Brought forward from prior year.

Tennessee Board of Regents

DATE: March 27, 2015

SUBJECT: Report of the Regents Award for Excellence in Philanthropy

PRESENTER: Regent Fran Marcum

ACTION REQUIRED: None - Information Purposes Only

STAFF RECOMMENDATION: Not Applicable

Clayton Homes and the Clayton Family Foundation accepted the prestigious Regents Award for Excellence in Philanthropy on behalf of Pellissippi State Community College, February 6, 2015. In the photo below from left to right are: Chancellor John Morgan, Clayton Homes Vice President of Corporate Services David Jordan, Jim Clayton of Clayton Family Foundations and Clayton Bank and Trust, Regent Danni Varlan, and President Anthony Wise

Recipients of the Regents award for Excellence in Philanthropy are selected due to their generosity of time and resources, influence on volunteers to become involved in fund raising, active promotion of the importance of higher education, leadership in philanthropy, exceptional civic responsibility and integrity.





TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Proposed Revisions to TBR Policy 2:01:01:00 - Approval of Academic Programs, Units, and Modifications
DATE:	March 27, 2015
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Vice Chancellor Tristan Denley will present the proposed revisions to TBR Policy 2:01:01:00 - Approval of Academic Programs, Units, and Modifications. The proposed modifications coincide with the revised Tennessee Higher Education Commission (THEC) Policy A.1.0. New Academic Programs: Approval Process and THEC Policy A1.1. New and Modified Academic Programs: Evaluation Criteria.

These policies and guidelines promote a streamlined approval process for both existing academic programs and those in development offered by the universities. They have been developed in support of the revised THEC policy and serve as a model to the UT System.

Approval of Academic Programs, Units, and ~~Modifications~~:Modifications: 2:01:01:00

TOPICS

- **Topics**(active tab)
- **Topics A-Z**

Topics

- Purpose
- Introduction
- Process
- Procedures
- General Criteria for Reviewing Academic Letters of ~~Notification, Intent and~~ Letters of Application, Proposals and Implementation Portfolios
- Sources of Specific Criteria

Topics A-Z

- Exhibits
- General Criteria for Reviewing Academic Letters of ~~Notification, Intent and Proposals~~ Letters of Application, and Implementation Portfolios
- Introduction
- Procedures
- Process
- Purpose
- Sources of Specific Criteria

Policy/Guideline Area

Academic Policies

Applicable Divisions

TCATs, Community Colleges, Universities

Purpose

The purpose of this policy is to establish the procedures and processes for the submission and approval of academic action requests for academic programs seeking to be developed and existing programs~~program proposals~~ for institutions governed by the Tennessee Board of Regents.

Policy/Guideline

I. Introduction

A. T.C.A. § 49-8-101 et seq. authorized the establishment of the State University and Community College System of Tennessee. Among the powers given to the Tennessee Board of Regents (TBR) by this Act is the power "to prescribe curricula and requirements for diplomas and degrees."

B. Institutions have the authority to create new courses, ~~However, if the development cost of a fully online course exceeds \$9,500 for the course, then justification must be submitted to the TBR Office of Academic Affairs for approval. Institutions have the authority to~~ terminate existing courses, determine course content or design, and carry out curriculum revisions less extensive than those the Board has reserved to itself or otherwise delegated. Courses approved within the Tennessee Transfer Pathways and approved General Education Requirements may not be amended without approval of the respective state committees. 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, Attachment B (A1.0), and A1:1: New Academic Programs. These THEC policies should serve as a resource for the development of all Letters of Application and Implementation Portfolios.~~academic proposals.~~

~~B.C.~~ Institutions are encouraged to collaborate rather than duplicate existing academic programs.

~~C.D.~~ Prior to developing a proposal, A Letters of Notification Intent ~~is~~ are required from all TBR ~~universities and community colleges institutions~~ for new degree programs or certificates with 24 semester credit hours (SCH) or more and must be submitted to the Vice Chancellor for Academic Affairs, and to the Vice Chancellor for Community Colleges for community college programs. Within thirty days of receipt, the institution will be notified if they are authorized to develop a Letter of Application for the development of a new degree program.

~~E.~~ The THEC delegates authority to the TBR to approve Letters of ~~Application Intent~~ and to grant final approval ~~for of~~ new community college programs (Associates Degrees and Certificates)

~~D.F.~~ The TBR criteria for review and accountability ~~for all academic programs regardless of institutional level~~ will follow the THEC standards established by the THEC Policies A1:0: New Academic Programs - Approval Process, and A1:1: New Academic Programs. All TBR community college programs listed on the THEC Inventory of Academic Programs will be subject to Post Approval Monitoring for the first three years after implementation and annual productivity evaluations of programs in operation more than three years. Universities are monitored for five year after implementation with annual productivity evaluations. ~~Universities and c~~Community colleges will participate in all components of the THEC Performance Funding Quality Assurance Program.

II. Process

A. Academic ~~Actions~~ Proposals That Must Be Taken to the Board

1. Beyond those delegated responsibilities, the Board reserves to itself the authority to review and approve all proposed academic actions pertaining to the establishment of new high quality academic degree programs.

B. Academic ~~Actions~~ Proposals Approved by the Board through Delegated Authority

1. With the exception of new degree programs at all institutions, ~~proposals for~~ certificates of less than 24 hours and other academic actions may be approved by the Board through delegated authority to the Chancellor.

2. Summaries of these ~~proposed academic actions proposals~~ will be reported monthly or as needed, to the Board, with a 30-day period for Board review.
3. Board members may contact the Vice Chancellor for Academic Affairs with questions or concerns, regarding university ~~academic actions proposals~~, or the Vice Chancellor for Community Colleges with questions or concerns regarding community college ~~academic actions proposals~~, and if desired, can require that the ~~action proposal~~ be brought before the full Board at its next quarterly meeting.
4. Institutions shall provide, to the Vice Chancellor for Academic Affairs all university ~~and community college requests proposals for academic action~~ related to the following, and to the Vice ~~Ce~~hancellor for Community Colleges all community college ~~requests proposals for academic action~~ related to the following:
 - a. Establishment of any college credit-bearing Certificate which is listed in the academic inventory or that will be included in the institution's Catalog or other recruitment materials and activities. There are four types of certificates listed on the official Academic Program Inventory: 1) Academic, 2) Technical, 3) Undergraduate, and 4) Graduate. ~~The term - A Certificate which is not college credit-bearing, i.e., an "institutional certificate" refers to only certificates awarding continuing education credit, may be accepted for college credit if it meets the requirements established through the institution's prior learning assessment standards. - If college credit is to be awarded and promoted as a certificate, the program of study is subject to Board approval. A Certificate which is not college credit-bearing may be accepted for college credit if it meets the requirements established through the institution's prior learning assessment standards. There are four types of certificates listed on the official Academic Program Inventory: 1) Academic, 2) Technical, 3) Undergraduate, and 4) Graduate.~~ A certificate can be free-standing or embedded within a degree program. An embedded certificate ~~must fully articulate with a degree and require~~ requires the approval of the program of study by the Board. It must fully articulate with a degree

~~and There~~ should ~~have be~~ no new or no more than minimal costs required to implement ~~an embedded certificate~~.

- b. Establishment of new concentrations or minors within an existing academic program.
- c. Establishment of new academic units such as colleges, schools, departments, institutes, centers within existing academic units, bureaus, etc., (see TBR Guideline A-040, and THEC Policy A1:3, New Units and A1:4, Off-Campus Instruction).
- d. Revision of any admission, retention, or graduation policy (both institutional and program specific).
- e. Substantive revision of the curriculum of an existing academic program. (Substantive refers to changes impacting 9 or more semester credit hours at the community college level, 18 or more semester credit hours at the undergraduate level, 9 or more semester credit hours at the graduate level, and 50% or more of the semester credit hours in a certificate program, from the last submission to the Board, and includes course rubrics, titles, descriptions, or content).
- ~~f.~~ Consolidation of existing academic programs within the same discipline regardless of degree designation for purposes of performance funding calculations only.
- ~~f.g.~~ Consolidation of existing academic programs for purposes of performance funding calculations only.
- ~~g.h.~~ Extension of an existing academic degree program in totality to an off-campus site.
- ~~h.~~ Termination, inactivation or ~~termination of~~ reactivation of academic programs listed in the academic inventory.
- ~~4.i.~~ An inactivated program is automatically terminated and removed from the THEC inventory if not reactivated within a three year window after inactivation. Inactivation should be used only when there are plans to reactivate the program within three years. If not reactivated during that period, the program will automatically terminate.
- ~~i.j.~~ Curriculum modifications including but not limited to a student success course that increase required hours for a degree to more than 60 for the associate degree and 120 for the baccalaureate degree, or more than the previously approved exceptions.

Also, curriculum modifications that increase or decrease credit hours from what was previously approved for a certificate or increases or decreases an existing graduate program in excess of 6 credit hours must be submitted for Board approval.

k. Conversion of an existing ~~Current approved~~ on-ground programs to a fully online delivery format (with or without termination of the existing ground program) ~~that will be converted to a fully online delivery format.~~

l. Separation of a concentration from an existing program to establish a free standing degree. Any concentration with a steady enrollment and graduation rate for at least three years may request to become a freestanding degree if the establishment of the concentration as a degree does not compromise the remaining degree and does not require new faculty resources.

m. Separation of a concentration from an existing program to establish a free standing degree where the title of the concentration more accurately represents a degree recognized in the workplace, In this instance, the proposed degree seeks to be counted within the overall original degree rather than as an independent degree for performance funding calculations.

n. Change of degree designation. Existing academic programs seeking to change or add additional degree designations per recommendation of the disciplinary accreditation body.

o. Establishment of an articulation agreement between institutions

†

C. Academic Actions~~Proposals~~ Requiring Only Notification to Vice Chancellor

1. Changes to existing academic programs not listed in the previous section, that require no new costs or minimal costs that the campus will fund through reallocation of existing resources or through sources such as grants and gifts, may be approved through an established process by the institution.

2. The Vice Chancellor for Academic Affairs must be informed of such changes impacting university ~~and community college~~ programs; and the Vice Chancellor for Community Colleges must be informed of such changes impacting community college programs prior to implementation and may refer the request for academic proposal action for Board approval if deemed appropriate due to costs or other potential concerns.

3. Such action includes, but is not limited to, ~~the establishment of new minors and~~ changes such as the modification of the title of an academic program or unit.

~~4. Minors are typically developed by packaging existing courses and do not usually require new resources or additional costs.~~

~~5.4.~~ Non-substantive curriculum revisions may be approved through the established institutional process and do not require notification or Board approval

~~D.~~ Additional Actions Requiring Review by THEC.

The THEC review and approval of off-campus extensions of existing academic programs is handled through the request for a code, i.e., site or center, and requires that submission of

~~4.~~ the appropriate form(s) available on the TBR and THEC websites.

III. Procedures

A. Institutions wishing to effect academic changes that fall into any of the above categories will, therefore, comply with the following procedures as well as those contained in TBR Guideline A-010 and found on the TBR Academic Affairs website.

1. Approval Route of Requests for Academic Action~~Proposals~~

a. Requests~~Proposals from from~~ TBR universities for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Academic Affairs for review and approval by the Board. Requests~~Proposals~~ from TBR community colleges for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Community Colleges for review and approval by the Board.

- b. Subsequent to Board action, the Chancellor shall transmit to the Tennessee Higher Education Commission those academic action requests~~proposals~~ that require its approval along with the Board's recommendation.
2. Schedule for the Submission and Approval of Academic Actions~~Proposals~~
 - a. The Board will consider academic actions on a monthly basis through the Thirty Day review process. New academic degree programs will be considered ~~proposals~~ at each of its quarterly meetings.
 - b. All materials, whether for the 30 Day Review or Implementation Portfolios for new degrees~~Proposals must, however, must~~ be submitted sufficiently in advance to permit adequate review by the staff.
 - c. Implementation Portfolios must be submitted at least two months before the desired Board approval. The time required for this review will vary according to the nature of the proposal, the number of proposals already under review, or other workload issues of the TBR staff.
 3. Review by and Selection of Consultants
 - a. The TBR staff will~~may~~ engage qualified consultants to assist in the review of all Letters of Application ~~proposals~~ for new degree programs as deemed appropriate by the Vice Chancellor for Academic Affairs for both graduate and undergraduate at the universities. All graduate proposed graduate ~~programs~~ programs must utilize external consultants in the external review process. Undergraduate programs may elect to utilize a paper review rather than and external site visit at the recommendation of the TBR and the THEC and are exempt from the external review if the program proposed in the Letter of Application is to be accredited by an external professional accrediting body. Community colleges will utilize their external advisory or industrial board or skills panel in the review process.~~The Vice Chancellor for Community Colleges may engage qualified consultants as needed for associate degree or certificate programs.~~

- b. Consultants will file a written report on the quality of the Letter of Application and Implementation Portfolio ~~proposed program~~ and respond to any other relevant questions or issues addressed to them by the TBR.
- c. Letters of Application ~~Academic proposals~~ and Implementation Portfolios must also comply with THEC policy A1:0 and A1:1. A site visit is required for new graduate degree programs.
- d. While it is the responsibility of the institution to nominate and support such consultants, the selection will be made by the TBR staff and the Vice Chancellor for Academic Affairs or the Vice Chancellor for Community Colleges, as appropriate, in consultation with the THEC.
- e. All costs associated with an external review are the responsibility of the institution submitting the Letter of Application and Implementation Portfolio ~~proposal~~.
- e.f. A Letter of Application remains valid for three years upon approval by the THEC. If an institution fails to implement a proposed program approved through an approved Implementation Portfolio within three years of the date the proposed program is approved by the THEC, the approval for implementation is terminated. The institution must resubmit through the entire approval process should implementation of the program be sought at a later date.

IV. General Criteria for Reviewing Academic Letters of Notification, Intent and Proposals Letter of Application, and Implementation Portfolios

A. Requirements for Letters of Application are provided in the TBR Guideline A-010: Academic Program Letters of Notification, Letters of Application, and Implementation Portfolios. Forms are provided on the Academic Affairs website to aid in the development of a Letter of Application and Implementation Portfolio.

~~A.—B. Requirements are amended as need be to meet the demands of the workplace. A summary of the major criteria used by the TBR staff in evaluating academic proposals is presented below.~~

B.—— Specific requirements for letters of Intent are provided in the TBR Guideline A-010:
Academic Program Letters of Intent and Proposals.

1.—— The proposed action is central to the mission, role, and scope of the institution.

2.—— The need for the proposed program is supported by data documenting student interest,
employer demand, societal needs, and administrative effectiveness.

3.—— The proposed action does not constitute unnecessary duplication of academic programs
available at other public institutions. Partnerships or collaborations should be considered whenever
needs might be met with greater efficiency.

4.—— The proposal must establish quality admission, retention and graduation standards in
keeping with best practices.

5.—— The curriculum of the proposed program must meet the stated objectives of the program and
reflects breadth, depth, theory and practice at the appropriate level to the discipline and the degree.
Undergraduate curriculum must ensure General Education core requirement commonality. The
curriculum should be compatible with accreditation where applicable, and meet the criteria for
articulation and transfer (where appropriate) of 19-hour pre-major paths.

6.—— The proposal documents the institution's ability to implement the proposed action in terms of:

a.—— fiscal resources,

b.—— advisement, library and other support resources,

c.—— physical facilities, and

d.—— qualified personnel.

7.—— The proposal includes information about appropriate articulation and/or affiliations.

~~8. The proposal includes information about the delivery format.~~

~~9. The proposed program must clearly state the organizational structure and administrative responsibilities associated with its operation.~~

~~10. Proposals pertaining to academic programs should include a description of procedures for regular post-approval evaluation of the programs and units, including evaluation of the program's enrollment and productivity, and how the results will be used to enhance program quality.~~

~~11. Proposals include information related to accreditation, both SACS and professional, and when applicable, provide a time frame for achieving the appropriate accreditation.~~

~~12. Proposals also include a statement as to how the program will enhance racial diversity.~~

~~13. Proposals include curriculum vita for all faculty engaged in program delivery.~~

~~14. A sequenced program of study by semester must be included.~~

~~15. In the case of interdisciplinary or joint programs or when faculty are committed to teach in graduate multiple programs, a matrix of faculty time allocations to each program must be provided.~~

~~16. Syllabi for all courses to be included in the proposed program must be included at the time of full proposal submission.~~

~~17. If proposing a program which duplicates a program at another institution within the System, the letter of intent and proposal should include a cross-walk comparative of the curriculum.~~

V. Sources of Specific Criteria

A. Listed below are illustrative sources of specific criteria that serve as bases for staff decisions relative to academic ~~actions~~proposals.

1. TBR Policy No. 2:01:00:00, Undergraduate Degree Requirements
2. TBR Policy No. 2:02:00:00, Associate Degree Programs

3. TBR Policy No. 2:01:00:03, Principles for Articulation in Vocational/Technical Education
4. TBR Guideline No. A-010, Academic Program [Letters of Notification, Letters of Application, and Implementation Portfolios Proposals](#)
5. TBR Guideline No. A-020, Inter-Institutional Relationships and Off-Campus Affairs
6. TBR Guideline No. A-040, Evaluation of Bureaus, Centers, and Institutes
7. TBR Action (December 1986) endorsing TCGS Criteria as standards for both pre- and post-approved review of Master's programs.
8. THEC Policy No. A1:0, New Program Review Criteria (November 2002)
9. THEC Policy No. A1:1, New Academic Programs (July 28, 2011)
10. THEC Policy A1:3, New Units

Sources

TBR Meeting, December 2, 1988; TBR Meeting, December 13, 2002; TBR Meeting, March 29, 2006; TBR Meeting, December 8, 2006; March 28, 2008; TBR Board Meeting December 2, 2010; TBR Board Meeting December 8, 2011; TBR Meeting March 28, 2014.

Related Policies

- Associate Degree Programs
- Principles for Articulation in Vocational/Technical Education
- Academic Program Letters of [Notification, Intent and Letters of Application Proposals and Implementation Portfolios](#)
- Criteria for the Evaluation of Bureaus, Centers, Institutes
- General Education Requirements and Degree Requirements
- Inter-Institutional Relationships & Off-Campus Offerings

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Approval of Academic Programs, Units, and Modifications: 2:01:01:00

TOPICS

- **Topics**(active tab)
- **Topics A-Z**

Topics

- Purpose
- Introduction
- Process
- Procedures
- General Criteria for Reviewing Academic Letters of Notification, Letters of Application, and Implementation Portfolios
- Sources of Specific Criteria

Topics A-Z

- Exhibits
- General Criteria for Reviewing Academic Letters of Notification, Letters of Application, and Implementation Portfolios
- Introduction
- Procedures
- Process
- Purpose
- Sources of Specific Criteria

Policy/Guideline Area

Academic Policies

Applicable Divisions

TCATs, Community Colleges, Universities

Purpose

The purpose of this policy is to establish the procedures and processes for the submission and approval of academic action requests for academic programs seeking to be developed and existing programs for institutions governed by the Tennessee Board of Regents.

Policy/Guideline

I. Introduction

- A. T.C.A. § 49-8-101 et seq. authorized the establishment of the State University and Community College System of Tennessee. Among the powers given to the Tennessee Board of Regents (TBR) by this Act is the power "to prescribe curricula and requirements for diplomas and degrees."
- B. Institutions have the authority to create new courses, terminate existing courses, determine course content or design, and carry out curriculum revisions less extensive than those the Board has reserved to itself or otherwise delegated. Courses approved within the Tennessee Transfer Pathways and approved General Education Requirements may not be amended without approval of the respective state committees. 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, Attachment B (A1.0), and A1:1: New Academic Programs. These THEC policies should serve as a resource for the development of all Letters of Application and Implementation Portfolios..
- C. Institutions are encouraged to collaborate rather than duplicate existing academic programs.
- D. A Letter of Notification is required from all TBR universities and community colleges for new degree programs or certificates with 24 semester credit hours (SCH) or more and must be submitted to the Vice Chancellor for Academic Affairs, and to the Vice Chancellor for Community Colleges for community college programs Within thirty days of receipt, the

institution will be notified if they are authorized to develop a Letter of Application for the development of a new degree program.

- E. The THEC delegates authority to the TBR to approve Letters of Application and to grant final approval for new community college programs (Associates Degrees and Certificates)
- F. The TBR criteria for review and accountability for all academic programs regardless of institutional level will follow the THEC standards established by the THEC Policies A1:0: New Academic Programs - Approval Process, and A1:1: New Academic Programs. All TBR community college programs listed on the THEC Inventory of Academic Programs will be subject to Post Approval Monitoring for the first three years after implementation and annual productivity evaluations of programs in operation more than three years. Universities are monitored for five year after implementation with annual productivity evaluations. Universities and community colleges will participate in all components of the THEC Performance Funding Quality Assurance Program.

II. Process

A. Academic Actions That Must Be Taken to the Board

- 1. Beyond those delegated responsibilities, the Board reserves to itself the authority to review and approve all proposed academic actions pertaining to the establishment of new high quality academic degree programs.

B. Academic Actions Approved by the Board through Delegated Authority

- 1. With the exception of new degree programs at all institutions, certificates of less than 24 hours and other academic actions may be approved by the Board through delegated authority to the Chancellor.
- 2. Summaries of these proposed academic actions will be reported monthly or as needed, to the Board, with a 30-day period for Board review.
- 3. Board members may contact the Vice Chancellor for Academic Affairs with questions or concerns, regarding university academic actions, or the Vice Chancellor for Community Colleges with questions or concerns regarding community college academic actions, and

if desired, can require that the action be brought before the full Board at its next quarterly meeting.

4. Institutions shall provide, to the Vice Chancellor for Academic Affairs all university and community college requests for academic action related to the following, and to the Vice Chancellor for Community Colleges all community college requests for academic action related to the following:
 - a. Establishment of any college credit-bearing Certificate which is listed in the academic inventory or that will be included in the institution's Catalog or other recruitment materials and activities. . There are four types of certificates listed on the official Academic Program Inventory: 1) Academic, 2) Technical, 3) Undergraduate, and 4) Graduate. . A Certificate which is not college credit-bearing, i.e., an "institutional certificate" refers to only certificates awarding continuing education credit, may be accepted for college credit if it meets the requirements established through the institution's prior learning assessment standards A certificate can be free-standing or embedded within a degree program. An embedded certificate requires the approval of the program of study by the Board. It must fully articulate with a degree and should have no new or no more than minimal costs required to implement.
 - b. Establishment of new concentrations or minors within an existing academic program.
 - c. Establishment of new academic units such as colleges, schools, departments, institutes, centers within existing academic units, bureaus, etc., (see TBR Guideline A-040, and THEC Policy A1:3, New Units and A1:4, Off-Campus Instruction).
 - d. Revision of any admission, retention, or graduation policy (both institutional and program specific).
 - e. Substantive revision of the curriculum of an existing academic program. (Substantive refers to changes impacting 9 or more semester credit hours at the community college level, 18 or more semester credit hours at the undergraduate level, 9 or more semester credit hours at the graduate level, and 50% or more of the semester credit

hours in a certificate program, from the last submission to the Board, and includes course rubrics, titles, descriptions, or content).

- f. Consolidation of existing academic programs within the same discipline regardless of degree designation for purposes of performance funding calculations only.
- g. Consolidation of existing academic programs for purposes of performance funding calculations only.
- h. Extension of an existing academic degree program in totality to an off-campus site.
- i. Termination, inactivation or reactivation of academic programs listed in the academic inventory. An inactivated program is automatically terminated and removed from the THEC inventory if not reactivated within a three year window after inactivation.
- j. Curriculum modifications including but not limited to a student success course that increase required hours for a degree to more than 60 for the associate degree and 120 for the baccalaureate degree, or more than the previously approved exceptions. Also, curriculum modifications that increase or decrease credit hours from what was previously approved for a certificate or increases or decreases an existing graduate program in excess of 6 credit hours must be submitted for Board approval.
- k. Conversion of an existing on-ground program to a fully online delivery format (with or without termination of the existing ground program)
- l. Separation of a concentration from an existing program to establish a free standing degree. Any concentration with a steady enrollment and graduation rate for at least three years may request to become a freestanding degree if the establishment of the concentration as a degree does not compromise the remaining degree and does not require new faculty resources.
- m. Separation of a concentration from an existing program to establish a free standing degree where the title of the concentration more accurately represents a degree recognized in the workplace, In this instance, the proposed degree seeks to be counted within the overall original degree rather than as an independent degree for performance funding calculations.

- n. Change of degree designation. Existing academic programs seeking to change or add additional degree designations per recommendation of the disciplinary accreditation body.
- o. Establishment of an articulation agreement between institutions

C. Academic Actions Requiring Only Notification to Vice Chancellor

1. Changes to existing academic programs not listed in the previous section, that require no new costs or minimal costs that the campus will fund through reallocation of existing resources or through sources such as grants and gifts, may be approved through an established process by the institution.
2. The Vice Chancellor for Academic Affairs must be informed of such changes impacting university and community college programs and the Vice Chancellor for Community Colleges must be informed of such changes impacting community college programs prior to implementation and may refer the request for academic action for Board approval if deemed appropriate due to costs or other potential concerns.
3. Such action includes, but is not limited to, changes such as the modification of the title of an academic program or unit.
4. Non-substantive curriculum revisions may be approved through the established institutional process and do not require notification or Board approval

Additional Actions Requiring Review by THEC. The THEC review and approval of off-campus extensions of existing academic programs is handled through the request for a code, i.e., site or center, and requires that submission of the appropriate form(s) available on the TBR and THEC websites.

III. Procedures

- A. Institutions wishing to effect academic changes that fall into any of the above categories will, therefore, comply with the following procedures as well as those contained in TBR Guideline A-010 and found on the TBR Academic Affairs website.
1. Approval Route of Requests for Academic Action
 - a. Requests from TBR universities for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Academic Affairs for review and approval by the Board. Requests from TBR community colleges for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Community Colleges for review and approval by the Board.
 - b. Subsequent to Board action, the Chancellor shall transmit to the Tennessee Higher Education Commission those academic action requests that require its approval along with the Board's recommendation.
 2. Schedule for the Submission and Approval of Academic Actions
 - a. The Board will consider academic actions on a monthly basis through the Thirty Day review process. New academic degree programs will be considered at each of its quarterly meetings.
 - b. All materials, whether for the 30 Day Review or Implementation Portfolios for new degrees, must be submitted sufficiently in advance to permit adequate review by the staff.
 - c. Implementation Portfolios must be submitted at least two months before the desired Board approval.
 3. Review by and Selection of Consultants
 - a. The TBR staff will engage qualified consultants to assist in the review of all Letters of Application for new degree programs as deemed appropriate by the Vice Chancellor for Academic Affairs for both graduate and undergraduate at the universities. All proposed graduate programs must utilize external consultants in the external review process. Undergraduate programs may elect to utilize a paper review rather than and external site visit at the recommendation of the TBR and the THEC and are exempt

from the external review if the program proposed in the Letter of Application is to be accredited by an external professional accrediting body. Community colleges will utilize their external advisory or industrial board or skills panel in the review process..

- b. Consultants will file a written report on the quality of the Letter of Application and Implementation Portfolio and respond to any other relevant questions or issues addressed to them by the TBR.
- c. Letters of Application and Implementation Portfolios must also comply with THEC policy A1:0 and A1:1. A site visit is required for new graduate degree programs.
- d. While it is the responsibility of the institution to nominate and support such consultants, the selection will be made by the TBR staff and the Vice Chancellor for Academic Affairs or the Vice Chancellor for Community Colleges, as appropriate, in consultation with the THEC.
- e. All costs associated with an external review are the responsibility of the institution submitting the Letter of Application and Implementation Portfolio.
- f. A Letter of Application remains valid for three years upon approval by the THEC. If an institution fails to implement a proposed program approved through an approved Implementation Portfolio within three years of the date the proposed program is approved by the THEC, the approval for implementation is terminated. The institution must resubmit through the entire approval process should implementation of the program be sought at a later date.

IV. General Criteria for Reviewing Academic Letters of Notification, Letter of Application, and Implementation Portfolios

- A. Requirements for Letters of Application are provided in the TBR Guideline A-010: Academic Program Letters of Notification, Letters of Application, and Implementation Portfolios. Forms are provided on the Academic Affairs website to aid in the development of a Letter of Application and Implementation Portfolio.
- B. Requirements are amended as need be to meet the demands of the workplace.

V. Sources of Specific Criteria

A. Listed below are illustrative sources of specific criteria that serve as bases for staff decisions relative to academic actions.

1. TBR Policy No. 2:01:00:00, Undergraduate Degree Requirements
2. TBR Policy No. 2:02:00:00, Associate Degree Programs
3. TBR Policy No. 2:01:00:03, Principles for Articulation in Vocational/Technical Education
4. TBR Guideline No. A-010, Academic Program Letters of Notification, Letters of Application, and Implementation Portfolios
5. TBR Guideline No. A-020, Inter-Institutional Relationships and Off-Campus Affairs
6. TBR Guideline No. A-040, Evaluation of Bureaus, Centers, and Institutes
7. TBR Action (December 1986) endorsing TCGS Criteria as standards for both pre- and post-approved review of Master's programs.
8. THEC Policy No. A1:0, New Program Review Criteria (November 2002)
9. THEC Policy No. A1:1, New Academic Programs (July 28, 2011)
10. THEC Policy A1:3, New Units

Sources

TBR Meeting, December 2, 1988; TBR Meeting, December 13, 2002; TBR Meeting, March 29, 2006; TBR Meeting, December 8, 2006; March 28, 2008; TBR Board Meeting December 2, 2010; TBR Board Meeting December 8, 2011; TBR Meeting March 28, 2014.

Related Policies

- Associate Degree Programs
- Principles for Articulation in Vocational/Technical Education
- Academic Program Letters of Notification, Letters of Application and Implementation Portfolios
- Criteria for the Evaluation of Bureaus, Centers, Institutes
- General Education Requirements and Degree Requirements
- Inter-Institutional Relationships & Off-Campus Offerings

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TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Recommended Revisions to Policy 4:01:05:60 - Identify Theft

DATE: March 27, 2015

PRESENTER: Dale Sims

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

Attached are recommended revisions to Policy 4:01:05:60 – Identify Theft Prevention. The revisions are housekeeping in nature.

Identity Theft Prevention: 4:01:05:60

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

The Tennessee Board of Regents, on behalf of its Institutions, adopts this Identity Theft Prevention Policy and enacts this program in an effort to detect, prevent and mitigate identity theft, and to help protect the Institutions, their faculty, staff, students and other applicable constituents from damages related to the loss or misuse of identifying information due to identity theft.

Definitions

- Covered account - includes:
 - Any account that involves or is designated to permit multiple payments or transactions;
or
 - Any other account maintained by the Institution for which there is a reasonably foreseeable risk of identity theft to students, faculty, staff or other applicable constituents, or for which there is a reasonably foreseeable risk to the safety or soundness of the Institution from identity theft, including financial, operational, compliance, reputation or litigation risks.

- Identifying information - is any name or number that may be used, alone or in conjunction with any other information, to identify a specific person, including but not limited to: name, address, telephone number, social security number, date of birth, government issued driver's license or identification number, alien registration number, government passport number,

employer or taxpayer identification number, student identification number, computer Internet Protocol address or routing code, credit card number or other credit card information.

- Identity theft - means a fraud committed or attempted using the identifying information of another person without authority.
- Red flag - is a pattern, practice or specific activity that indicates the possible existence of identity theft.

Policy/Guideline

I. Background

A. The risk to the institutions of the Tennessee Board of Regents (hereinafter referred to as "Institutions"), its faculty, staff, students and other applicable constituents from data loss and identity theft is of significant concern to the Board and its Institutions, and the Institutions should make reasonable efforts to detect, prevent, and mitigate identity theft.

B. Under this Policy the program will:

1. Identify patterns, practices or specific activities ("red flags") that could indicate the existence of identity theft with regard to new or existing covered accounts (see Definitions);
2. Detect red flags that are incorporated in the program;
3. Respond appropriately to any red flags that are detected under this program to prevent and mitigate identity theft;
4. Ensure periodic updating of the program, including reviewing the accounts that are covered and the identified red flags that are part of this program; and,
5. Promote compliance with state and federal laws and regulations regarding identity theft protection.

- C. The program shall, as appropriate, incorporate existing TBR and institutional policies and guidelines such as anti-fraud programs and information security programs that **establish** controls for reasonably foreseeable risks.

II. Identification of Red Flags

- A. The following examples of red flags are potential indicators of fraud or identity theft. The risk factors for identifying relevant red flags include the types of covered accounts offered or maintained; the methods provided to open or access covered accounts; and, previous experience with identity theft. Any time a red flag or a situation closely resembling a red flag is apparent, it should be investigated for verification.

- B. Alerts, notifications or warnings from a credit or consumer reporting agency. Examples of these red flags include the following:

1. A report of fraud or active duty alert in a credit or consumer report;
2. A notice of credit freeze from a credit or consumer reporting agency in response to a request for a credit or consumer report;
3. A notice of address discrepancy in response to a credit or consumer report request; and,
4. A credit or consumer report indicates a pattern of activity inconsistent with the history and usual pattern of activity of an applicant such as:
 - a. A recent and significant increase in the volume of inquiries;
 - b. An unusual number of recently established credit relationships;
 - c. A material change in the use of credit, especially with respect to recently established credit relationships; or,
 - d. An account that was closed for cause or identified for abuse of account privileges by a financial institution or creditor.

C. Suspicious documents. Examples of these red flags include the following:

1. Documents provided for identification that appears to have been altered, forged or are inauthentic.
2. The photograph or physical description on the identification document is not consistent with the appearance of the individual presenting the identification.
3. Other information on the identification is not consistent with information provided by the person opening a new covered account or individual presenting the identification.
4. Other information on the identification is not consistent with readily accessible information that is on file with the Institution, such as a signature card or a recent check.
5. An application appears to have been altered or forged, or gives the appearance of having been destroyed and reassembled.

D. Suspicious personal identifying information. Examples of these red flags include the following:

1. Personal identifying information provided is inconsistent when compared against other sources of information used by the Institution. For example:
 - a. The address does not match any address in the consumer report; or,
 - b. The Social Security number (SSN) has not been issued or is listed on the Social Security Administration's Death Master File.
2. Personal identifying information provided by the individual is not consistent with other personal identifying information provided by that individual. For example:
 - a. There is a lack of correlation between the SSN range and date of birth.

3. Personal identifying information provided is associated with known fraudulent activity. For example:
 - a. The address on an application is the same as the address provided on a fraudulent application; or,
 - b. The phone number on an application is the same as the number provided on a fraudulent application.
 4. Personal identifying information provided is of a type commonly associated with fraudulent activity. For example:
 - a. The address on an application is fictitious, a mail drop, or a prison; or
 - b. The phone number is invalid or is associated with a pager or answering service.
 5. The social security number provided is the same as that submitted by another person opening an account.
 6. The address or telephone number provided is the same as or similar to the address or telephone number submitted by that of another person.
 7. The individual opening the covered account fails to provide all required personal identifying information on an application or in response to notification that the application is incomplete.
 8. Personal identifying information provided is not consistent with personal identifying information that is on file with the Institution.
 9. When using security questions (mother's maiden name, pet's name, etc.), the person opening that covered account cannot provide authenticating information beyond that which generally would be available from a wallet or consumer report.
- E. Unusual use of, or suspicious activity related to, the covered account. Examples of these red flags include the following:

1. Shortly following the notice of a change of address for a covered account, the Institution receives a request for a new, additional, or replacement card, or for the addition of authorized users on the account.
2. A covered account is used in a manner that is not consistent with established patterns of activity on the account. There is, for example:
 - a. Nonpayment when there is no history of late or missed payments;
 - b. A material change in purchasing or usage patterns.
3. A covered account that has been inactive for a reasonably lengthy period of time is used (taking into consideration the type of account, the expected pattern of usage and other relevant factors).
4. Mail sent to the individual is returned repeatedly as undeliverable although transactions continue to be conducted in connection with the individual's covered account.
5. The Institution is notified that the individual is not receiving paper account statements.
6. The Institution is notified of unauthorized charges or transactions in connection with an individual's covered account.
7. The Institution receives notice from customers, victims of identity theft, law enforcement authorities, or other persons regarding possible identity theft in connection with covered accounts held by the Institution.
8. The Institution is notified by an employee or student, a victim of identity theft, a law enforcement authority, or any other person that it has opened a fraudulent account for a person engaged in identity theft.
9. A breach in the Institution's computer security system.

III. Detecting Red Flags

- A. Student enrollment. In order to detect red flags associated with the enrollment of a student, the Institution will take the following steps to obtain and verify the identity of the individual opening the account:
1. Require certain identifying information such as name, date of birth, academic records, home address or other identification; and,
 2. Verify the student's identity at the time of issuance of the student identification card through review of driver's license or other government-issued photo identification.
- B. Existing accounts. In order to detect red flags associated with an existing account, the Institution will take the following steps to monitor transactions on an account:
1. Verify the identification of students if they request Information;
 2. Verify the validity of requests to change billing addresses by mail or email, and provide the student a reasonable means of promptly reporting incorrect billing address changes; and,
 3. Verify changes in banking information given for billing and payment purposes.
- C. Consumer/Credit Report Requests. In order to detect red flags for an employment or volunteer position for which a credit or background report is sought, the Institution will take the following steps to assist in identifying address discrepancies:
1. Require written verification from any applicant that the address provided by the applicant is accurate at the time the request for the credit report is made to the consumer reporting agency; and
 2. In the event that notice of an address discrepancy is received, verify that the credit report pertains to the applicant for whom the requested report was made and report

to the consumer reporting agency an address for the applicant that the Institution has reasonably confirmed is accurate.

IV. Responding to Red Flags

- A. Once a red flag or potential red flag is detected, the Institution must act quickly with consideration of the risk posed by the red flag.
- B. The Institution should quickly gather all related documentation, write a description of the situation and present this information to the Program Administrator for determination.
- C. The Program Administrator (see Section VI) will complete additional authentication to determine whether the attempted transaction was fraudulent or authentic.
- D. The Institution may take the following steps as is deemed appropriate:
 - 1. Continue to monitor the covered account for evidence of identity theft;
 - 2. Contact the student or applicant for which a credit report was run;
 - 3. Change any passwords or other security devices that permit access to covered accounts;
 - 4. Close and reopen the account;
 - 5. Determine not to open a new covered account;
 - 6. Provide the student with a new student identification number;
 - 7. Notify law enforcement;
 - 8. Determine that no response is warranted under the particular circumstances;
 - 9. Cancel the transaction.

V. Protecting Personal Information

- A. In order to prevent the likelihood of identity theft occurring with respect to covered accounts, the Institutions may take the following steps with respect to its internal operating procedures:
1. Lock file cabinets, desk drawers, overhead cabinets, and any other storage space containing documents with covered account information when not in use.
 2. Lock storage rooms containing documents with covered account information and record retention areas at the end of each workday or when unsupervised.
 3. Clear desks, workstations, work areas, printers and fax machines, and common shared work areas of all documents containing covered account information when not in use.
 4. Documents or computer files containing covered account information will be destroyed in a secure manner. Institution records may only be destroyed in accordance with the Board's records retention guideline, TBR Guideline G-070 Disposal of Records.
 5. Ensure that office computers with access to covered account information are password protected.
 6. Ensure that computer virus protection is up to date.
 7. Avoid the use of social security numbers.
 8. Utilize encryption devices when transmitting covered account information.
- B. Institutional personnel are encouraged to use common sense judgment in securing covered account information to the proper extent.
- C. Furthermore, this section should be read in conjunction with the Family Education Rights and Privacy Act ("FERPA"), the Tennessee Public Records Act, and other applicable laws and policies.

- D. If an employee is uncertain of the sensitivity of a particular piece of information, he/she should contact his/her supervisor. The Office of the General Counsel may be contacted for advice.

VI. Program Administration

A. Oversight and Appointment of the Institutional Program Administrator

1. The Identity Theft Prevention Policy is the responsibility of the governing body, the Tennessee Board of Regents. Approval of the initial plan must be appropriately documented and maintained.
2. Each individual institution is required to tailor this program taking into consideration its size, complexity, and nature of its operation. Each institution will consider the types of accounts it offers and maintains, the methods it provides to open those accounts, the methods it provides to access its accounts and its previous experience with identity theft.
3. Operational responsibility of the program at each individual institution is delegated to a Program Administrator appointed by the President or Director and shall include but not be limited to;
 - a. The oversight, development, implementation and administration of the program;
 - b. Approval and implementation of needed changes to the program; and,
 - c. Staff training.
4. The Program Administrator is also responsible for ensuring that appropriate steps are taken for preventing and mitigating identity theft, for reviewing any staff reports regarding the detection of red flags, and for determining which steps should be taken in particular circumstances when red flags are suspected or detected.

5. A report to the Institution's President or Director should be made annually concerning institutional compliance with and effectiveness of the program, and the responsibility for such report may be placed with the Program Administrators. This report should address;
 - a. Service provider arrangements;
 - b. The effectiveness of the program in addressing the risk of identity theft;
 - c. Significant incidents of identity theft and the institution's response; and,
 - d. Any recommendations for material changes to the program.

B. Staff training

1. Staff training shall be conducted for all employees for whom it is reasonably foreseeable, as determined by the Program Administrator, **that** may come into contact with covered accounts or identifying information.

C. Periodic Updates to the Program

1. At periodic intervals established in the program, or as required, the program will be re-evaluated to determine whether all aspects of the program are up to date and applicable.
2. Consideration will be given to the Institution's;
 - a. Experiences with identity theft situations;
 - b. Changes in identity theft methods, detection methods or prevention methods; and,
 - c. Changes in the Institution's business arrangements with other entities.
3. Periodic reviews will include an assessment of which accounts are covered by the program.

- a. As part of the review, red flags may be revised, replaced or eliminated. Defining new red flags may also be appropriate.
4. Actions to take in the event that fraudulent activity is suspected or discovered may also require revision to the program.

D. Overview of service provider arrangements

1. It is the responsibility of the Institution to ensure that the activities of all service providers are conducted in accordance with reasonable policies and procedures designated to detect, prevent, and mitigate the risk of identity theft.
2. In the event the Institution engages a service provider to perform an activity in connection with one or more covered accounts, the Institution will take the following steps to ensure the service provider performs its activity in accordance with reasonable policies and procedures designed to detect, prevent and mitigate the risk of identity theft.
 - a. Require, by contract, that service providers have such policies and procedures in place; or,
 - b. Require, by contract, that service providers review the Institution's program and report any red flags to the Program Administrator.
 - (1) Specific language for inclusion in contracts can be found in TBR Guideline G-030 Contracts and Agreements.
3. A service provider that maintains its own identity theft prevention program, consistent with the guidance of the red flag rules and validated by appropriate due diligence, may be considered to be meeting these requirements.

Sources

March 26, 2009 Board meeting; June 19, 2009.



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Proposed Revisions to TBR Policy 5:01:03:03 –
Optional Retirement

DATE: March 27, 2015

PRESENTER: Vice Chancellor Dale Sims

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The major initiatives in the revisions were: change the name; include the Hybrid Plan information; combine the Optional Retirement Policy and Optional Retirement Guideline into one document to reduce redundancy and make it easier to find related information; and to remove the prohibition of exempt TCAT employees in the ORP plan.

Please Note: The TCRS Board of Directors has to approve the exempt TCAT employees participation in the ORP Plan. It will be an agenda item at their March meeting. By removing the prohibitive language, it will allow us to move forward without another approval of this policy, if it is approved at the TCRS March Board meeting. If it isn't approved, the TCRS Employer Handbook will still serve as the defining resource.

Optional Retirement Programs Retirement

Plans: 5:01:03:03

Policy Area

Personnel Policies
Applicable Divisions

Community Colleges, Universities, System Office
Purpose

The purpose of this policy is to ~~set the standards for a consistent process and treatment of employees regarding optional retirement programs across the TBR system~~ communicate the state-supported retirement programs available to employees of the Tennessee Board of Regents.

Policy

I. ~~Introduction~~

A. ~~The Tennessee Board of Regents has designated optional retirement programs for regular academic, executive, administrative, and professional employees of the Board of Regents' institutions, and has approved the contracts offered by optional retirement program vendors, as the contracts to be purchased under the optional retirement program, said designation and approval conditioned upon there being no change in the legislation authorizing the optional retirement program which would require the Board and/or the institutions in the System to incur any additional costs whatsoever in terms of the contributions made to or the benefits payable from said optional retirement program.~~

1. ~~Employees of the colleges of applied technology are not eligible to participate in the optional retirement programs.~~

B. ~~Prior to 1991, the State of Tennessee offered exempt staff in Tennessee's public colleges and universities the option of enrolling in either of two retirement programs.~~

C. The primary program—the Tennessee Consolidated Retirement System (TCRS)—was and remains the retirement program open to all employees of the State of Tennessee. The only secondary, or optional, program offered was through the Teachers Insurance and Annuity Association College Retirement Equities Fund, commonly called TIAA-CREF.

D. In 1991, the Tennessee General Assembly amended the State's statutes on retirement to permit the addition of two more optional companies from which eligible employees may choose in selecting a company, or companies, with which to invest their retirement contributions. Contracts with the new companies, Variable Annuity Life Insurance Company (VALIC), and Aetna Life Insurance and Annuity Company took effect on July 1, 1992.

E. Adoption of additional investment companies as part of the Optional Retirement Program is being done for the purpose of permitting eligible employees to diversify their retirement investments across a broader range of investment products. With the addition of the new companies, diversification can be achieved by:

1. Distributing future contributions among the optional companies and their various investment products, and/or by
2. Transferring funds already accumulated to one or more of the new companies.

II. Transfer Provisions

A. From the Tennessee Consolidated Retirement System to the Optional Retirement Program

1. Effective April 4, 2001, TCA § 8-35-403 was amended to permit an employee who is eligible to participate in the Optional Retirement Program (ORP) but who elected to participate in the Tennessee Consolidated Retirement System (TCRS) to transfer prospective membership from TCRS to the ORP.
 - a. This transfer will become effective the first day of the month following thirty (30) days written notice to TCRS and the employee's institution.
 - b. However, employees may not transfer membership from the ORP to TCRS.
 - c. An employee who elects to participate in the ORP is not eligible to participate in the TCRS while employed by an institution covered by the ORP.

2. When transferring membership, a member who has employee contributions in his TCRS account may transfer his individual account balance from TCRS to the ORP.
 - a. Such transfer of contributions constitutes a termination of membership in TCRS and a waiver of all rights and benefits under TCRS.
 - b. Since most individuals who made contributions to TCRS prior to July 1, 1981 would now be vested in TCRS and would have accrued a considerable amount of non-contributory service credit in TCRS, such transfers are extremely rare.
 - c. Employees who were hired after July 1, 1981 would be transferring membership only since all contributions had been made by the employer.
 3. When an employee is promoted from a non-exempt to an exempt position, the employee may transfer participation from TCRS to one of the optional retirement programs.
- B. From the Optional Retirement Program to the Tennessee Consolidated Retirement System
1. During the 2004 legislative session, the General Assembly passed legislation giving Optional Retirement Plan (ORP) members the opportunity to transfer membership to the Tennessee Consolidated Retirement System (TCRS). The legislation can be found in T.C.A. § 8-35-403(f). The specifics of this one-time opportunity are as follows:
 - a. The member must be a current state of Tennessee employee or higher education employee with five or more years of service in the ORP as of January 1, 2005.
 1. You must also be a current employee at the time of transfer in order to enroll in TCRS.
 2. Additionally, this opportunity will be extended in the future to employees who reach their fifth anniversary after January 1, 2005.
 3. Those members reaching the five year mark after January 1, 2005, will be given one year in which to make the transfer.
 - b. The member must not have received a cash withdrawal or other distribution from the ORP.

- c. ~~The transfer must include Tennessee ORP service. If you elect to transfer to TCRS, you waive all current and future rights to ORP benefits from Tennessee contributions. The decision is irrevocable.~~
 - d. ~~The cost of the transfer will be the greater of;
 - 1. ~~the ORP account balance; or~~
 - 2. ~~12.65% of the member's compensation during the ORP participation period plus 7.5% annual interest. It is likely that the ORP balance will not cover the cost of the transfer.~~~~
 - e. ~~The required payment must be made in lump sum by no later than December 31, 2005. There are various options for funding the payment including transferring your ORP account or other tax-deferred retirement accounts, or using personal savings.~~
 - 2. ~~This one-time opportunity to transfer is being offered to employees who may have been rushed into making a retirement plan selection on the first day of employment or who may have been forced to change retirement plans due to a change in job classification. Employees are under no obligation to transfer membership from ORP to TCRS.~~
- C. ~~Within the Optional Retirement Program~~
- 1. ~~After July 1, 1992, employees who participate in the ORP may direct employer contributions made on their behalf to one or more of the companies designated to provide annuity contracts under the state's ORP.
 - a. ~~Once funds are on deposit with a designated company, the participant may move those funds among the different investment accounts offered under that company's annuity contract, subject to the restrictions of the contract.~~
 - b. ~~The participant may authorize such internal transfers by telephone.~~~~
 - 2. ~~After July 1, 1992, employees may also transfer funds previously accumulated in the ORP among the companies designated to provide annuity contracts in Tennessee's Optional Retirement Program, subject to the restrictions of the products involved.
 - a. ~~After the participant completes the necessary applications, the funds will be transferred by check and reports will be provided to the participant's institution.~~~~

III. Provisions for Distribution of Contributions

- A. Effective April 4, 2001, TCA § 8-35-403 was amended to permit a participant who has separated from service and has an aggregate total of less than \$5,000 credited to his/her retirement account to receive a lump sum distribution of contributions upon the participant's written request and in a manner permitted by the companies holding the accounts.
1. This aggregate total shall be increased by one thousand dollars (\$1,000) on January 1, 2002 and on each January 1 thereafter until the aggregate total distribution equals fifteen thousand dollars (\$15,000).
- B. If a participant has separated from service and is receiving social security disability benefits from the social security administration due to the participant's disability, the participant may, upon his/her written request receive a lump sum distribution from the participant's accounts each year.
1. For the calendar year 2001, the aggregate total of each annual distribution from all of the participant's accounts shall not exceed fifteen thousand dollars (\$15,000).
2. This aggregate total shall be increased by one thousand dollars (\$1,000) each calendar year thereafter until the aggregate total annual distribution equals twenty-five thousand dollars (\$25,000).
3. Each annual distribution shall be made in any manner permitted by the companies holding the accounts but only upon receipt by the employer of documentation confirming the participant's continued receipt of social security disability benefits.
4. Once the participant attains the age requirement for receipt of old age and survivors benefits under Title II of the Federal Social Security Act (42 U.S.C. §401-425), the participant shall no longer be required to provide such documentation in order to receive an annual distribution pursuant to this subsection.
- C. Distribution of contributions shall require the completion of form(s) for both the participant's company/companies and the Tennessee Consolidated Retirement System. Verification of contributions and separation from service information shall be provided by the last employer; verification of an aggregate current balance of less than the current year's maximum (e.g.,

~~2001, \$5,000) shall be provided by the participant in the form of current quarterly statement(s). Both forms must be returned to the companies in order for the lump sum distribution to be processed.~~

~~D. The Chancellor is authorized to establish any and all guidelines, rules, or requirements necessary and proper for the implementation of the optional retirement programs for the System or at any individual institution.~~

I. Introduction

The Tennessee Board of Regents offers two state-supported retirement programs. The primary program, the Tennessee Consolidated Retirement System (TCRS), is open to all employees of the State of Tennessee and regular non-exempt Tennessee Board of Regents employees are provided benefits under this program. The secondary program, the Optional Retirement Program (ORP), is open to regular faculty and exempt staff employees. In addition, visiting lecturers are eligible to participate in the ORP. Regular faculty and exempt staff employees may choose to enroll in either the TCRS or the ORP.

Both retirement programs, the TCRS and the ORP, have a Legacy Plan and a Hybrid Plan and eligibility is based on date of hire. Employees hired on or before June 30, 2014 are eligible to participate in the Legacy Plan, which is a non-contributory plan. Employees hired on July 1, 2014 or later are eligible to participate in the Hybrid Plan, which is a contributory plan.

All rights to retirement plan benefits for employees of the Tennessee Board of Regents are governed by the laws and regulations established by the State of Tennessee and/or the federal government. For employees participating in the ORP, employee rights to plan benefits also are governed by the ORP vendors' regulations and the contract between the employee and the ORP vendor(s).

II. Eligibility

1. All regular full-time employees of the Tennessee Board of Regents and of institutions governed by the Tennessee Board of Regents shall be members of a state-supported retirement plan as a condition of employment, subject to eligibility provisions. For regular part-time employees, membership in a state-supported retirement plan is optional. Employees must continue to

participate in a retirement plan as long as they remain in a regular status (breaks in service, other than terminations, do not affect eligibility for participation). The following is a non-inclusive list of employees not eligible to participate in a state-supported retirement plan:

- students
- temporary employees
- medical residents
- interns and externs
- non-U.S. citizens who do not pay Social Security or Medicare taxes

III. Electing a Retirement Plan

1. An eligible employee who is not a member of the TCRS and has not accumulated creditable service thereunder as a member of a local retirement fund having rights under the TCRS, may elect membership in either the TCRS or ORP.
2. An eligible employee who is a member of the TCRS or of a local retirement fund having rights under the TCRS, and who is otherwise eligible to join the ORP, may elect to participate in the ORP in lieu of continuing contributions to and accumulating creditable service in the TCRS while employed at an institution with an ORP. Any employee who elects to cease membership in the TCRS and commence membership in the ORP are subject to the Transfer process in Section V. of this policy, which includes submitting written notice using the Election to Transfer Membership from TCRS to ORP form available at <http://www.treasury.state.tn.us/orp/PDFs/Forms/tr0275.pdf>. As stated on the form, an employee who transfers membership from the TCRS to the ORP will thereafter be ineligible to accumulate creditable service in the TCRS during such period or periods as he or she is employed by an institution with an ORP.
3. The Notice of Election to Participate in the ORP or TCRS Form shall be used by employees in designating an election. The completed form shall be kept on file by the institution's Human Resources Department.
 - If no election is made the employee shall be deemed to have elected the TCRS.
 - Employees electing the ORP must complete the ORP Premium Distribution Specification Form and the application material for the selected vendor(s).

IV. Contributions

Employees hired on or before June 30, 2014

1. For employees participating in the TCRS, employer contributions are calculated on the employee's eligible compensation amount and paid at the rate determined on a biennial basis

by the actuary. Shortly after each valuation, the TCRS will notify each institution of its new employer contribution rate and effective date.

2. For employees participating in the ORP, employer contributions will be paid at 10% of eligible compensation up to the social security wage base and 11% of eligible compensation above the social security wage base.

Employees hired on or after July 1, 2014

3. For employees participating in the TCRS, employer contributions are calculated on the employee's eligible compensation amount and paid to a defined benefit plan and 5% to a defined contribution plan. The employer contribution is determined by the actuary and subject to change. The mandatory employee contribution is 5% and paid to a defined benefit plan. Employees will also be auto-enrolled into the 401(k) plan at a contribution rate of 2%. The employee may opt out of the auto-enrolled 401(k) within 30 days of notification of enrollment from the 401(k) vendor. The employee may also change the 401(k) contribution amount at any time, including discontinuing (or opting out) of contributing to the 401(k). Employees shall receive up to a \$50 per month match in the 401(k) if enrolled.
4. For employees participating in the ORP, employer contributions will be paid at 9% of compensation and the mandatory employee contribution will be 5%. Employees will also be auto-enrolled into the 401(k) plan at a contribution rate of 2%. The employee may opt out of the auto-enrolled 401(k) within 30 days of notification of enrollment from the 401(k) vendor. The employee may also change the 401(k) contribution amount at any time, including discontinuing (or opting out) of contributing to the 401(k). Employees shall receive up to a \$50 per month match in the 401(k) if enrolled.

Annual limit

For employees hired after July 1, 1996, the annual limit for employer contributions to either retirement program (TCRS or ORP) made on behalf of employees will be subject to applicable federal and state limits. Additionally, for employees participating in the ORP, there is also an annual aggregate contribution limit for contributions to the ORP and all other tax deferred programs. This limit is defined on an annual basis by the IRS.

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V. Transfers

Transfers from the TCRS to the ORP

1. Effective April 4, 2001, TCA § 8-35-403 was amended to permit an employee who is eligible to participate in the ORP but who elected to participate in the TCRS to transfer membership from the TCRS to the ORP. The change will be effective the first day of the month following thirty (30) days written notice to TCRS and the employee's institution.
2. Any employee who elects to transfer funds in the ORP must execute the Election to Transfer Funds from TCRS to ORP form at least 30 days prior to the payroll date in which the change is to be effective.
3. Employees hired on or after July 1, 1981 through June 30, 2014 are non-contributory members. Contributions made by the employer are not transferable. Employees executing this action will transfer membership only since all contributions were made by the employer.
4. Employees hired prior to July 1, 1981 (when contributions to the TCRS were paid jointly by the institution and the employee) will transfer all employee contributions to the TCRS plus that portion of the employer's contribution made on behalf of the employee after July 1, 1981, plus any accrued interest are fully transferable to the ORP. Only contributions made by the employee (through payroll deduction) or contributions made by the employer on behalf of the employee under the non-contributory plan are transferable. Such transfer of contributions constitutes a termination of membership in TCRS and a waiver of all rights and benefits under TCRS.
5. Employees hired after July 1, 2014 (when contributions to the TCRS are paid jointly by the institution and the employee) will transfer all employee contributions made to the TCRS. Contributions made by the employer are not transferable.
6. Employees reclassified from a non-exempt to an exempt position may redirect contributions from the TCRS to the ORP.
 - Employees with a hire date after July 1, 1981 through June 30, 2014 will transfer membership only. Employer contributions are non-transferable.

- Employees with a hire date prior to July 1, 1981 or after July 1, 2014 will transfer all employee contributions plus any accrued interest to the ORP. Employer contributions are non-transferable.

Transfers from the ORP to the TCRS

1. Employees hired prior to January 1, 2005 were given a one-time opportunity to transfer membership from the ORP to the TCRS.
2. ORP members (hired after January 1, 2005) with five (5) years of full-time equivalent creditable service have a one-time transfer option to change from ORP to TCRS. The cost to change is an actuarially determined contributions percentage plus 7.5%.
3. This election to transfer from the ORP to the TCRS must be made and filed not later than the end of the calendar year following the year that five (5) years of service is achieved.

Transfers within the ORP

1. Employees who participate in the ORP may direct employer contributions made on their behalf to one or more of the vendors designated to provide annuity contracts under the State of Tennessee ORP.
2. Once funds are on deposit with a designated company, the participant may move those funds among the different investment accounts within the ORP vendor. The participant may authorize such internal transfers by telephone or via the vendor's website.

Vesting

1. Five years of full-time equivalent retirement creditable service must be accrued to be eligible for regular or ordinary disability retirement under the TCRS. No specific amount of creditable service is required for accidental disability under these plans.
2. ORP benefits are vested immediately, and lifetime distributions may be started at any time after separation, subject to IRS regulations.

Breaks in Service:

1. Returning employees with an original hire date prior to July 1, 2014 have the following options available:
 - Employees vested in the Legacy Plan (non-contributory) with a break in service may return to the Legacy Plan upon re-employment.
 - Employees not vested in the Legacy Plan (non-contributory) with a break in service of less than seven (7) years may return to the Legacy Plan upon re-employment.
 - Employees not vested in the Legacy Plan (non-contributory) with a break in service of seven (7) or more years must enroll in the Hybrid Plan (contributory).

Eligibility to Retire

Employees hired on or before June 30, 2014 and enrolled in the TCRS or the ORP Legacy Plan

1. For employees participating in the TCRS, the following apply:
 - Service retirement – Age 60 and vested or 30 years of service
 - Early retirement – Age 55 and vested or 25 years of service
2. For employees participating in the ORP, the following applies:
 - Benefits are vested immediately and lifetime distributions may be started at any time after separation from service, subject to IRS regulations

Employees hired on or after July 1, 2014 and enrolled in the TCRS or ORP Hybrid Plan

1. For employees participating in the TCRS, the following apply:
 - Service retirement – Age 65 and vested or Rule of 90 (age and service years total 90)
 - Early retirement – Age 55 and vested
2. For employees participating in the ORP, the following applies:
 - Benefits are vested immediately and lifetime distributions may be started at any time after separation from service, subject to IRS regulations
3. There is no mandatory retirement age for employees. The effective date of retirement for all employees, including faculty, is usually the day following the last day in an active pay status. Retirement dates for persons with academic year appointments will be generally December 31, May 31, June 30, or July 31; generally flex-year appointments end July 31. For persons teaching summer school, retirement will be delayed until the end of the month following completion of the assigned summer term.

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Separation from Service Prior to Retirement

TCRS

1. For TCRS members who separate from service prior to retirement, the following options are available:
 - a. Employees who separate and accept employment at another state agency shall have membership and contributions continued at the new agency.
 - b. Employees who have achieved vested service may leave funds intact until a benefit is requested at retirement.
 - c. Employees, upon separation from service, may apply for a refund of their accumulated employee contributions and interest. Employer contributions to the defined benefit portion of the Hybrid Plan are not refundable. By obtaining a refund, he or she gives up TCRS membership and all rights and benefits in the retirement system.

ORP

1. For ORP members who separate from service prior to retirement, the following apply:
 1. Employees who separate and accept employment at another participating institution may choose to have membership and contributions continued at the new institution.
 2. All funds contributed by the institution and funds contributed by the employee prior to July 1, 1981 and after July 1, 2014, remain intact and continue to accrue interest and dividends until retirement. An exception may apply for employees who have separated from service and have a de minimis amount less than \$15,000 in total accumulations in the ORP. Depending upon ORP company regulations, such employees may be eligible for a lump sum distribution, a rollover to an Individual Retirement Account, or a rollover to another qualified retirement plan as specified in section 401(a) of the Internal Revenue Code. Verification of an aggregate current balance of less than fifteen thousand dollars (\$15,000) (for de minimis distributions) shall be provided by the participant in the form of current quarterly statement(s). Both forms must be returned to the vendor(s) in order for the lump sum distribution to be processed.
 3. If a participant has separated from service and is receiving social security disability benefits from the social security administration due to the participant's disability, the participant may, upon his/her written request receive a lump sum distribution from the participant's account(s) each year. The following shall apply:

- The aggregate total of each annual distribution from all of the participant's accounts shall not exceed twenty-five thousand dollars (\$25,000).
- Each annual distribution shall be made in any manner permitted by the vendor(s) holding the accounts but only upon receipt by the institution of documentation confirming the participant's continued receipt of social security disability benefits. Once the participant attains the age requirement for receipt of old age and survivors benefits under Title II of the Federal Social Security Act, the participant shall no longer be required to provide such documentation in order to receive an annual distribution.

4. Distribution of contributions shall require the completion of forms for the participant's vendor(s).

5. Verification of contributions and separation from service information shall be provided by the last employer.

Re-employment of Retirees

1. Re-employment of retirees who are receiving retirement benefits from the TCRS or the ORP is monitored through the State Retirement System. Retirees must have a break in service for a minimum of sixty (60) days, unless an exception has been applied for and approved. All re-employed retirees must participate in Social Security.
2. When a retiree is re-employed, he/she will be required to complete the appropriate form. TCRS retirees must complete the Temporary Employment Report form and the institution shall submit the form to the TCRS. ORP retirees must complete the Optional Retirement Program (ORP) Part-time Re-employment Certification/Waiver form for the institution's files. New forms for re-employed TCRS and ORP retirees must be completed for each 12-month period and certify the following requirements have been met:
 - Retirees may be re-employed without a loss of retirement income up to but no longer than 120 working days or the equivalent (900 hours) within the 12-month period immediately following the date of re-employment.
 - Retirees may be re-employed as a teacher without a loss of retirement income for a maximum of 18 semester hours (24 quarter hours), providing the total salary paid to any such retiree for teaching during the 12-month period does not exceed his or her

pro rata share of the average salary being paid at the institution for the academic discipline concerned.

- A disability retiree may return to work for any state employer without loss of retirement benefits provided he or she does not earn more than the substantial gainful activity amount determined each calendar year by Social Security in the 12-month period from the date of re-employment and does not exceed 120 working days or the equivalent (900 hours).
- The entire compensation payable to the retiree for such work is not more than 60 percent of the annual full-time salary received by the member in the year immediately prior to retirement. This limit on salary increases by 5 percent for each year since the member's retirement.

3. Temporary Employment. Retirees are generally re-employed as temporary employees and are limited to 900 hours of work in a 12-month period.

4. Regular Full-time Employment. Retirees who are re-employed with an expected duration of 12-months or more must participate in retirement and must agree to waive any retirement benefits received from a State of Tennessee supported retirement plan during the period of regular employment.

5. Regular Part-time Employment. Retirees who are re-employed as regular part-time have the option to participate in a retirement plan. If the part-time employee chooses to participate in a retirement plan, any retirement benefits from a State of Tennessee supported plan must be waived during the period of regular employment.

Sources

TBR Meetings, March 4, 1977; June 26, 1981; March 19, 1982; September 30, 1983; December 14, 1984; June 26, 1992; December 9, 1994; March 15, 2002; March 18, 2005

(a) The provisions of this policy under which regular full-time executive administrative, and professional employees are eligible to participate in the optional retirement program became effective on July 1, 1983.

(b) Regular part-time employees became eligible for retirement system membership on July 1, 1984.

(c) On July 1, 1992, two additional companies were added in the optional retirement program. A total of three companies became available in the ORP.

Contact

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Retirement Plans: 5:01:03:03

Policy Area

Personnel Policies

Applicable Divisions

Community Colleges, Universities, System Office

Purpose

The purpose of this policy is to communicate the state-supported retirement programs available to employees of the Tennessee Board of Regents.

Policy

I. Introduction

The Tennessee Board of Regents offers two state-supported retirement programs. The primary program, the Tennessee Consolidated Retirement System (TCRS), is open to all employees of the State of Tennessee and regular non-exempt Tennessee Board of Regents employees are provided benefits under this program. The secondary program, the Optional Retirement Program (ORP), is open to regular faculty and exempt staff employees. In addition, visiting lecturers are eligible to participate in the ORP. Regular faculty and exempt staff employees may choose to enroll in either the TCRS or the ORP.

Both retirement programs, the TCRS and the ORP, have a Legacy Plan and a Hybrid Plan and eligibility is based on date of hire. Employees hired on or before June 30, 2014 are eligible to participate in the Legacy Plan, which is a non-contributory plan. Employees hired on July 1, 2014 or later are eligible to participate in the Hybrid Plan, which is a contributory plan.

All rights to retirement plan benefits for employees of the Tennessee Board of Regents are governed by the laws and regulations established by the State of Tennessee and/or the federal government. For employees participating in the ORP, employee rights to plan benefits also are governed by the ORP vendors' regulations and the contract between the employee and the ORP vendor(s).

II. Eligibility

1. All regular full-time employees of the Tennessee Board of Regents and of institutions governed by the Tennessee Board of Regents shall be members of a state-supported retirement plan as a condition of employment, subject to eligibility provisions. For regular part-time employees, membership in a state-supported retirement plan is optional. Employees must continue to participate in a retirement plan as long as they remain in a regular status (breaks in service, other than terminations, do not affect eligibility for participation). The following is a non-inclusive list of employees not eligible to participate in a state-supported retirement plan:

- students
- temporary employees
- medical residents
- interns and externs
- non-U.S. citizens who do not pay Social Security or Medicare taxes

III. Electing a Retirement Plan

1. An eligible employee who is not a member of the TCRS and has not accumulated creditable service thereunder as a member of a local retirement fund having rights under the TCRS, may elect membership in either the TCRS or ORP.
2. An eligible employee who is a member of the TCRS or of a local retirement fund having rights under the TCRS, and who is otherwise eligible to join the ORP, may elect to participate in the ORP in lieu of continuing contributions to and accumulating creditable service in the TCRS while employed at an institution with an ORP. Any employee who elects to cease membership in the TCRS and commence membership in the ORP are subject to the Transfer process in Section V. of this policy, which includes submitting written notice using the Election to Transfer Membership from TCRS to ORP form available at <http://www.treasury.state.tn.us/orp/PDFs/Forms/tr0275.pdf>. As stated on the form, an employee who transfers membership from the TCRS to the ORP will thereafter be ineligible to accumulate creditable service in the TCRS during such period or periods as he or she is employed by an institution with an ORP.
3. The Notice of Election to Participate in the ORP or TCRS Form shall be used by employees in designating an election. The completed form shall be kept on file by the institution's Human Resources Department.
 - If no election is made the employee shall be deemed to have elected the TCRS.
 - Employees electing the ORP must complete the ORP Premium Distribution Specification Form and the application material for the selected vendor(s).

IV. Contributions

Employees hired on or before June 30, 2014

1. For employees participating in the TCRS, employer contributions are calculated on the employee's eligible compensation amount and paid at the rate determined on a biennial basis by the actuary. Shortly after each valuation, the TCRS will notify each institution of its new employer contribution rate and effective date.
2. For employees participating in the ORP, employer contributions will be paid at 10% of eligible compensation up to the social security wage base and 11% of eligible compensation above the social security wage base.

Employees hired on or after July 1, 2014

3. For employees participating in the TCRS, employer contributions are calculated on the employee's eligible compensation amount and paid to a defined benefit plan and 5% to a defined contribution plan. The employer contribution is determined by the actuary and subject to change. The mandatory employee contribution is 5% and paid to a defined benefit plan. Employees will also be auto-enrolled into the 401(k) plan at a contribution rate of 2%. The employee may opt out of the auto-enrolled 401(k) within 30 days of notification of enrollment from the 401(k) vendor. The employee may also change the 401(k) contribution amount at any time, including discontinuing (or opting out) of contributing to the 401(k). Employees shall receive up to a \$50 per month match in the 401(k) if enrolled.
4. For employees participating in the ORP, employer contributions will be paid at 9% of compensation and the mandatory employee contribution will be 5%. Employees will also be auto-enrolled into the 401(k) plan at a contribution rate of 2%. The employee may opt out of the auto-enrolled 401(k) within 30 days of notification of enrollment from the 401(k) vendor. The employee may also change the 401(k) contribution amount at any time, including discontinuing (or opting out) of contributing to the 401(k). Employees shall receive up to a \$50 per month match in the 401(k) if enrolled.

Annual limit

For employees hired after July 1, 1996, the annual limit for employer contributions to either retirement program (TCRS or ORP) made on behalf of employees will be subject to applicable

federal and state limits. Additionally, for employees participating in the ORP, there is also an annual aggregate contribution limit for contributions to the ORP and all other tax deferred programs. This limit is defined on an annual basis by the IRS.

V. Transfers

Transfers from the TCRS to the ORP

1. Effective April 4, 2001, TCA § 8-35-403 was amended to permit an employee who is eligible to participate in the ORP but who elected to participate in the TCRS to transfer membership from the TCRS to the ORP. The change will be effective the first day of the month following thirty (30) days written notice to TCRS and the employee's institution.
2. Any employee who elects to transfer funds in the ORP must execute the Election to Transfer Funds from TCRS to ORP form at least 30 days prior to the payroll date in which the change is to be effective.
3. Employees hired on or after July 1, 1981 through June 30, 2014 are non-contributory members. Contributions made by the employer are not transferable. Employees executing this action will transfer membership only since all contributions were made by the employer.
4. Employees hired prior to July 1, 1981 (when contributions to the TCRS were paid jointly by the institution and the employee) will transfer all employee contributions to the TCRS plus that portion of the employer's contribution made on behalf of the employee after July 1, 1981, plus any accrued interest are fully transferable to the ORP. Only contributions made by the employee (through payroll deduction) or contributions made by the employer on behalf of the employee under the non-contributory plan are transferable. Such transfer of contributions constitutes a termination of membership in TCRS and a waiver of all rights and benefits under TCRS.
5. Employees hired after July 1, 2014 (when contributions to the TCRS are paid jointly by the institution and the employee) will transfer all employee contributions made to the TCRS. Contributions made by the employer are not transferable.
6. Employees reclassified from a non-exempt to an exempt position may redirect contributions from the TCRS to the ORP.

- Employees with a hire date after July 1, 1981 through June 30, 2014 will transfer membership only. Employer contributions are non-transferable.
- Employees with a hire date prior to July 1, 1981 or after July 1, 2014 will transfer all employee contributions plus any accrued interest to the ORP. Employer contributions are non-transferable.

Transfers from the ORP to the TCRS

1. Employees hired prior to January 1, 2005 were given a one-time opportunity to transfer membership from the ORP to the TCRS.
2. ORP members (hired after January 1, 2005) with five (5) years of full-time equivalent creditable service have a one-time transfer option to change from ORP to TCRS. The cost to change is an actuarially determined contributions percentage plus 7.5%.
3. This election to transfer from the ORP to the TCRS must be made and filed not later than the end of the calendar year following the year that five (5) years of service is achieved.

Transfers within the ORP

1. Employees who participate in the ORP may direct employer contributions made on their behalf to one or more of the vendors designated to provide annuity contracts under the State of Tennessee ORP.
2. Once funds are on deposit with a designated company, the participant may move those funds among the different investment accounts within the ORP vendor. The participant may authorize such internal transfers by telephone or via the vendor's website.

Vesting

1. Five years of full-time equivalent retirement creditable service must be accrued to be eligible for regular or ordinary disability retirement under the TCRS. No specific amount of creditable service is required for accidental disability under these plans.
2. ORP benefits are vested immediately, and lifetime distributions may be started at any time after separation, subject to IRS regulations.

Breaks in Service:

1. Returning employees with an original hire date prior to July 1, 2014 have the following options available:
 - Employees vested in the Legacy Plan (non-contributory) with a break in service may return to the Legacy Plan upon re-employment.
 - Employees not vested in the Legacy Plan (non-contributory) with a break in service of less than seven (7) years may return to the Legacy Plan upon re-employment.
 - Employees not vested in the Legacy Plan (non-contributory) with a break in service of seven (7) or more years must enroll in the Hybrid Plan (contributory).

Eligibility to Retire***Employees hired on or before June 30, 2014 and enrolled in the TCRS or the ORP Legacy Plan***

1. For employees participating in the TCRS, the following apply:
 - Service retirement – Age 60 and vested or 30 years of service
 - Early retirement – Age 55 and vested or 25 years of service
2. For employees participating in the ORP, the following applies:
 - Benefits are vested immediately and lifetime distributions may be started at any time after separation from service, subject to IRS regulations

Employees hired on or after July 1, 2014 and enrolled in the TCRS or ORP Hybrid Plan

1. For employees participating in the TCRS, the following apply:
 - Service retirement – Age 65 and vested or Rule of 90 (age and service years total 90)
 - Early retirement – Age 55 and vested
2. For employees participating in the ORP, the following applies:
 - Benefits are vested immediately and lifetime distributions may be started at any time after separation from service, subject to IRS regulations
3. There is no mandatory retirement age for employees. The effective date of retirement for all employees, including faculty, is usually the day following the last day in an active pay status. Retirement dates for persons with academic year appointments will be generally December 31,

May 31, June 30, or July 31; generally flex-year appointments end July 31. For persons teaching summer school, retirement will be delayed until the end of the month following completion of the assigned summer term.

Separation from Service Prior to Retirement

TCRS

1. For TCRS members who separate from service prior to retirement, the following options are available:
 - a. Employees who separate and accept employment at another state agency shall have membership and contributions continued at the new agency.
 - b. Employees who have achieved vested service may leave funds intact until a benefit is requested at retirement.
 - c. Employees, upon separation from service, may apply for a refund of their accumulated employee contributions and interest. Employer contributions to the defined benefit portion of the Hybrid Plan are not refundable. By obtaining a refund, he or she gives up TCRS membership and all rights and benefits in the retirement system.

ORP

1. For ORP members who separate from service prior to retirement, the following apply:
 1. Employees who separate and accept employment at another participating institution may choose to have membership and contributions continued at the new institution.
 2. All funds contributed by the institution and funds contributed by the employee prior to July 1, 1981 and after July 1, 2014, remain intact and continue to accrue interest and dividends until retirement. An exception may apply for employees who have separated from service and have a de minimis amount less than \$15,000 in total accumulations in the ORP. Depending upon ORP company regulations, such employees may be eligible for a lump sum distribution, a rollover to an Individual Retirement Account, or a rollover to another qualified retirement plan as specified in section 401(a) of the Internal Revenue Code. Verification of an aggregate current balance of less than fifteen thousand dollars (\$15,000) (for de minimis distributions) shall be provided by the participant in the form of current quarterly statement(s). Both forms must be returned to the vendor(s) in order for the lump sum distribution to be processed.

3. If a participant has separated from service and is receiving social security disability benefits from the social security administration due to the participant's disability, the participant may, upon his/her written request receive a lump sum distribution from the participant's account(s) each year. The following shall apply:
 - The aggregate total of each annual distribution from all of the participant's accounts shall not exceed twenty-five thousand dollars (\$25,000).
 - Each annual distribution shall be made in any manner permitted by the vendor(s) holding the accounts but only upon receipt by the institution of documentation confirming the participant's continued receipt of social security disability benefits. Once the participant attains the age requirement for receipt of old age and survivors benefits under Title II of the Federal Social Security Act, the participant shall no longer be required to provide such documentation in order to receive an annual distribution.
4. Distribution of contributions shall require the completion of forms for the participant's vendor(s).
5. Verification of contributions and separation from service information shall be provided by the last employer.

Re-employment of Retirees

1. Re-employment of retirees who are receiving retirement benefits from the TCRS or the ORP is monitored through the State Retirement System. Retirees must have a break in service for a minimum of sixty (60) days, unless an exception has been applied for and approved. All re-employed retirees must participate in Social Security.
2. When a retiree is re-employed, he/she will be required to complete the appropriate form. TCRS retirees must complete the Temporary Employment Report form and the institution shall submit the form to the TCRS. ORP retirees must complete the Optional Retirement Program (ORP) Part-time Re-employment Certification/Waiver form for the institution's files. New forms for re-employed TCRS and ORP retirees must be completed for each 12-month period and certify the following requirements have been met:

- Retirees may be re-employed without a loss of retirement income up to but no longer than 120 working days or the equivalent (900 hours) within the 12-month period immediately following the date of re-employment.
 - Retirees may be re-employed as a teacher without a loss of retirement income for a maximum of 18 semester hours (24 quarter hours), providing the total salary paid to any such retiree for teaching during the 12-month period does not exceed his or her pro rata share of the average salary being paid at the institution for the academic discipline concerned.
 - A disability retiree may return to work for any state employer without loss of retirement benefits provided he or she does not earn more than the substantial gainful activity amount determined each calendar year by Social Security in the 12-month period from the date of re-employment and does not exceed 120 working days or the equivalent (900 hours).
 - The entire compensation payable to the retiree for such work is not more than 60 percent of the annual full-time salary received by the member in the year immediately prior to retirement. This limit on salary increases by 5 percent for each year since the member's retirement.
3. *Temporary Employment.* Retirees are generally re-employed as temporary employees and are limited to 900 hours of work in a 12-month period.
4. *Regular Full-time Employment.* Retirees who are re-employed with an expected duration of 12-months or more must participate in retirement and must agree to waive any retirement benefits received from a State of Tennessee supported retirement plan during the period of regular employment.
5. *Regular Part-time Employment.* Retirees who are re-employed as regular part-time have the option to participate in a retirement plan. If the part-time employee chooses to participate in a retirement plan, any retirement benefits from a State of Tennessee supported plan must be waived during the period of regular employment.

Sources

TBR Meetings, March 4, 1977; June 26, 1981; March 19, 1982; September 30, 1983; December 14, 1984; June 26, 1992; December 9, 1994; March 15, 2002; March 18, 2005

(a) The provisions of this policy under which regular full-time executive administrative, and professional employees are eligible to participate in the optional retirement program became effective on July 1, 1983.

(b) Regular part-time employees became eligible for retirement system membership on July 1, 1984.

(c) On July 1, 1992, two additional companies were added in the optional retirement program. A total of three companies became available in the ORP.

Contact

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TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Proposed Revisions to TBR Policy 5:01:03:00 – Retirement Plans

DATE: March 27, 2015

PRESENTER: Vice Chancellor Dale Sims

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The major proposed changes to the Retirement Policy include: the addition of the return to employment provisions for retirees and updating language related to IRS and salary limits.

Retirement: 5:01:03:00

Policy/Guideline Area

Personnel Policies

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

The purpose of this policy is to set the standards for a consistent process and treatment of employees regarding retirement across the TBR system.

Policy/Guideline

- I. Retirement Policy
 - A. Except as otherwise provided herein, all regular full-time employees of the Tennessee Board of Regents and of institutions governed by the Tennessee Board of Regents shall be members of a state-supported retirement system, subject to the eligibility provisions of T.C.A. § 8-35-101 et seq.
 - B. Regular part-time employees are eligible to become members of a state-supported retirement system, but such membership is not mandatory.
 - C. Pursuant to T.C.A. § 8-35-403 et seq., any individual who is exempt from the Fair Labor Standards Act and who is employed in a state-sponsored institution of higher education may elect either membership in the retirement system or participation in the optional retirement program. Therefore, all regular academic, executive, administrative, and professional employees of the Board and institutions shall have the option of becoming members of either the Tennessee Consolidated Retirement System (TCRS) or the Optional Retirement Program (ORP).

1. Employees who are members of the TCRS are eligible to retire upon attainment of appropriate age and years of creditable service, or a combination thereof.
 2. Employees who are members of the ORP may retire at any time after separation from service, subject to IRS regulations.
- D. Any person who has served as the president of an institution under the Board of Regents for a period of not less than ten (10) years and has attained the age of sixty (60) while being employed by the Board may, upon approval of the Board, be retired as President Emeritus of the institution where he/she served a minimum of ten (10) years.
1. For presidents hired after September 1, 2002, this will be an honorary title earned through service with no material benefit other than the honor associated with its granting.
 2. Only for presidents hired prior to September 2002, an annual salary of twenty percent (20%) of his/her last year's salary, exclusive of perquisites, may be paid monthly from institution appropriations subject to the terms and conditions of T.C.A. § 8-36-714.
- E. For either retirement system (TCRS or ORP), the annual limit to employer contributions made on behalf of employees hired after July 1, 1996 will be subject to applicable federal and state limits. There is no contribution limit for employees hired before July 1, 1996.
- F. For employees enrolled in the ORP, there is also an annual aggregate contribution limit for contributions to the ORP and 401(k). This limit is defined on an annual basis.
- G. Temporary Employment. Any retired member of TCRS (except those receiving a disability retirement allowance) or ORP (except those who have never taken a withdrawal or distribution from his/her account) may return to service in a position covered by this system and continue to draw his/her retirement allowance under the following conditions:
1. The retiree must have a break in service for a minimum of sixty (60) days, unless an exception has been applied for and approved
 2. Retirees employed as teachers by an institution of higher education are limited to 24 quarter hours or 18 semester credit hours.

3. The entire compensation payable to the retiree for such work should not be more than 60 percent of the annual full-time salary received by the member in the year immediately prior to retirement. This limit on salary increases by 5 percent for each year since the member's retirement.

When a retiree begins temporary employment, he/she will be required to complete the appropriate form. TCRS retirees must complete the *Temporary Employment* form and the institution shall submit the form to the TCRS. The TCRS must be notified by letter when the retiree's temporary employment reaches the 120 day limit and/or when employment is terminated to avoid possible overpayment or suspension of the monthly benefit. ORP retirees must complete the *Optional Retirement Program (ORP) Part-time Reemployment Certification/Waiver* form for the institution's files. New forms for TCRS and ORP retirees must be completed for each 12-month

period. Sources

TBR Meetings, September 24, 1976; September 29, 1978; June 29, 1979; June 26, 1981; March 19, 1982; September 30, 1983; December 14, 1984; March 20, 1987; December 13, 1991; June 25, 1993; September 20, 2002; March 30, 2006;

Note:

(a) The provisions of this policy which constituted amendments or revisions adopted on September 29, 1978, became effective on January 1, 1979.

(b) The provisions of this policy which constituted amendments or revisions adopted on June 26, 1981, became effective on July 1, 1981.

(c) The provisions of this policy under which regular full-time executive, administrative, and professional employees are eligible to participate in the optional retirement program became effective on July 1, 1983.

(d) Regular part-time employees became eligible for retirement system membership on July 1, 1984.

Contact

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Retirement: 5:01:03:00

Policy/Guideline Area

Personnel Policies

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

The purpose of this policy is to set the standards for a consistent process and treatment of employees regarding retirement across the TBR system.

Policy/Guideline

I. Retirement Policy

- A. Except as otherwise provided herein, all regular full-time employees of the Tennessee Board of Regents and of institutions governed by the Tennessee Board of Regents shall be members of a state-supported retirement system, subject to the eligibility provisions of T.C.A. § 8-35-101 et seq.
- B. Regular part-time employees are eligible to become members of a state-supported retirement system, but such membership is not mandatory.
- C. Pursuant to T.C.A. § 8-35-403 et seq., any individual who is exempt from the Fair Labor Standards Act and who is employed in a state-sponsored institution of higher education may elect either membership in the retirement system or participation in the optional retirement program. Therefore, all Rregular academic, executive, administrative, and professional employees of the Board and institutions shall have the option of becoming members of either the Tennessee Consolidated Retirement System (TCRS) or ~~the Board of Regents the~~

Optional Retirement Program (ORP), pursuant to T.C.A. § 8-35-101 et seq., and policies and guidelines of the Board.

1. Employees who are members of the Tennessee Consolidated Retirement System TCRS are eligible to retire upon attainment of appropriate age age sixty (60) or upon completion of thirty (30) and years of creditable service, or a combination thereof.
 2. Employees who are members of the optional retirement program ORP may retire at any time permissible under the provisions of the annuity contracts purchased from the designated carrier of the program time after separation from service, subject to IRS regulations.
- D. Any person who has served as the president of an institution under the Board of Regents for a period of not less than ten (10) years and has attained the age of sixty (60) while being employed by the Board may, upon approval of the Board, be retired as President Emeritus of the institution where he/she served a minimum of ten (10) years.
1. For presidents hired after September 1, 2002, this will be an honorary title earned through service with no material benefit other than the honor associated with its granting.
 2. Only for presidents hired prior to September 2002, an annual salary of twenty percent (20%) of his/her last year's salary, exclusive of perquisites, may be paid monthly from institution appropriations subject to the terms and conditions of T.C.A. § 8-36-714.
- E. For either retirement system (TCRS or ORP), the annual limit to employer contributions made on behalf of employees employed after July 1, 1996 is \$240,000 hired after July 1, 1996 will be subject to applicable federal and state limits. There is no contribution limit for employees hired before July 1, 1996.
- F. For employees enrolled in the ORP, there is also an annual aggregate contribution limit for contributions to the ORP and 401(k). This limit is defined on an annual basis. There is no contribution limit for employees employed before July 1, 1996.
- G. Temporary Employment. Any retired member of TCRS (except those receiving a disability retirement allowance) or ORP (except those who have never taken a withdrawal or

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distribution from his/her account) may return to service in a position covered by this system and continue to draw his/her retirement allowance under the following conditions:

1. The retiree must have a break in service for a minimum of sixty (60) days, unless an exception has been applied for and approved.
2. Retirees employed as teachers by an institution of higher education are limited to 24 quarter hours or 18 semester credit hours.
3. The entire compensation payable to the retiree for such work should not be more than 60 percent of the annual full-time salary received by the member in the year immediately prior to retirement. This limit on salary increases by 5 percent for each year since the member's retirement.

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F. When a retiree begins temporary employment, he/she will be required to complete the appropriate form. TCRS retirees must complete the *Temporary Employment* form and the institution shall submit the form to the TCRS. The TCRS must be notified by letter when the retiree's temporary employment reaches the 120 day limit and/or when employment is terminated to avoid possible overpayment or suspension of the monthly benefit. ORP retirees must complete the *Optional Retirement Program (ORP) Part-time Reemployment Certification/Waiver* form for the institution's files. New forms for TCRS and ORP retirees must be completed for each 12-month period.

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4. Additionally, for employees enrolled in the ORP, there is also an annual aggregate contribution limit for contributions to the ORP and 401(k). This limit is defined on an annual basis.

Sources

TBR Meetings, September 24, 1976; September 29, 1978; June 29, 1979; June 26, 1981; March 19, 1982; September 30, 1983; December 14, 1984; March 20, 1987; December 13, 1991; June 25, 1993; September 20, 2002; March 30, 2006;

Note:

(a) The provisions of this policy which constituted amendments or revisions adopted on September 29, 1978, became effective on January 1, 1979.

(b) The provisions of this policy which constituted amendments or revisions adopted on June 26, 1981, became effective on July 1, 1981.

(c) The provisions of this policy under which regular full-time executive, administrative, and professional employees are eligible to participate in the optional retirement program became effective on July 1, 1983.

(d) Regular part-time employees became eligible for retirement system membership on July 1, 1984.

Contact

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TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Recommended Revisions to Policy 4:03:02:00 - Motor Vehicles

DATE: March 27, 2015

PRESENTER: Dale Sims

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

Attached is a recommended revision to Policy 4:03:02:00 – Motor Vehicles. Current policy provides that presidents, chancellor, vice chancellors, general counsel and TCAT directors may be assigned a motor vehicle for their use, with the terms of such use set forth in their respective employment agreements or letters. The recommended revision would authorize payment of an automobile allowance in lieu of assignment of an institutional motor vehicle.

Motor Vehicles: 4:03:02:00

Policy Area: Business and Finance Policies

Applicable Divisions: TCATs, Community Colleges, Universities, System Office

Purpose

The purpose of this policy is to establish the minimum regulations and procedures concerning the maintenance and operation of motor vehicles by institutions and employees of the institutions within the Tennessee Board of Regents System.

Definitions

- State vehicle or motor vehicle - any motor vehicle owned by the Board or an institution or college of applied technology in the System, or purchased or leased from state funds.
- Institution - any university, or community college, or college of applied technology within the Tennessee Board of Regents System, and the offices of the Board of Regents.
- Employee - any person employed full or part-time by an institution or any person serving as an 'official volunteer' at an institution. An 'official volunteer' is defined as a person whom the institution has properly registered with the Tennessee Board of Claims pursuant to Tenn. Code Ann. § 8-42-101(3)(B).

Policy

I. General Provisions

- A. Motor vehicles are maintained at institutions in the System to facilitate the official business of the System. It is the responsibility of all employees who use state vehicles to ensure the efficient and economical utilization of such vehicles.
- B. All state vehicles shall be used in accordance with the provisions of this policy.
- C. All state vehicles shall be marked in accordance with the current TBR Marking Plan as contained in Attachment A.

II. Presidents, Chancellor, Vice Chancellors, Legal Counsel, and TCAT Directors

- A. The presidents of the institutions, the Chancellor, Vice Chancellors, Legal Counsel, and TCAT Directors may be provided an assigned motor vehicles for their use or receive an automobile allowance. The terms of such use shall be set forth in their respective employment agreements or letters.

III. Motor Pools

- A. Each institution is authorized to maintain a central motor pool from which vehicles may be dispatched by employees for official business.
- B. When motor pool vehicles are maintained, an employee who needs to use a motor vehicle on state business shall use a pool dispatched vehicle if one is available, unless the employee elects and obtains authorization to use a personally-owned vehicle as provided in the Board's General Travel Policies and Procedures (No. 4:03:03:00).
- C. Motor pool vehicles shall be available for either trip assignments or special assignments.

1. Motor pool vehicles available for trip assignments will be centrally controlled by the institution and made available for specific trips and returned to the motor pool upon completion of trips and shall be used only for official business and not for personal use.
2. Special assignment of motor pool vehicles may be made to a division or a person when necessary for use on a regular basis.
3. Motor pool vehicles, including those used for trip assignments and special assignments may not be used for commuting purposes unless the employee:
 - a) *Is departing upon or returning from an official trip away from his or her headquarters or the employee needs the vehicle to conduct institution business after regular working hours or before his or her usual working hours on the next day; or*
 - b) *Has been recommended by the president or director and approved by the Chancellor to be authorized to use the vehicle for commuting purposes.*

IV. Authorized Operators and Passengers

- A. Only employees of an institution with proper departmental authorization may be authorized to operate a state vehicle for official business. Authorization to use a state vehicle shall be limited to official use within the scope of employment of the employee.
- B. All employees must have a valid driver's license prior to being authorized to operate a state vehicle.
- C. Passengers in state vehicles shall be limited to the following:
 1. Employees of the institution when within the scope of employment;
 2. Students of the institution engaged in institutional or school sponsored activities; and
 3. Other persons when it is necessary for them to accompany an employee on official business or as guests of the institution. The spouse and children of employees generally are not considered a guest of the institution unless their attendance is required at the event and they are listed on approved travel authorizations. This provision does not apply to those positions listed in Section II.A.

V. Penalties for Misuse of Vehicles

A. Employees who misuse vehicles will be subject to disciplinary sanctions, depending upon the magnitude of the misuse and the frequency with which it has occurred. Misuse includes any of the following:

1. Utilization of radar detection devices in state vehicles;
2. Violations of traffic laws; this includes exceeding posted speed limits, reckless driving, and illegal parking;
3. Careless operation that results in damage to the vehicle or injury to persons or property;
4. Use of a vehicle for personal business or unauthorized commuting purposes; or
5. Use of a vehicle contrary to the provisions of this policy.

B. The president or director of the institution, or the Chancellor should determine the penalty appropriate for each violation; and in addition may require the employee to pay for damages to the vehicle caused by misuse.

VI. Notice of Liability and Penalties for Misuse

A. A notice of liability and penalties for misuse of motor vehicles (Exhibit 1) shall be posted at the site where vehicles are normally checked out, and be contained in each vehicle for the benefit of drivers.

VII. Exceptions

A. Any exception to this policy must be approved in writing by the Chancellor.

Attachment A

1. Marking Plan for State Vehicles


1. The provisions of the marking plan for licensed vehicles are as follows:

1. All institutions will develop and/or affix their own individual decal containing a minimum surface area of sixty square inches to all licensed vehicles.
2. The identifying emblem will be displayed on the passenger and driver's door unless otherwise stated. Some vans will be marked on the side at mid-panel height, and some institutions will further identify the vehicle as security, maintenance, etc.
3. Vehicles assigned to the chancellor, vice chancellors, legal counsel, presidents, and directors will carry regular series license plates and no decal identification.

2. These provisions will remain in full effect until revoked or altered in writing by the Chancellor of the Tennessee Board of Regents.

Source: Memorandum dated February 28, 1986, from Chancellor Thomas J. Garland to the State Commissioners of Finance and Administration and General Services

Exhibits

-  [Exhibit 1 - Notice of Liability and Penalties for Misuse \(pdf/30.98 KB\)](#)

Sources

TBR Meetings, June 29, 1979; June 27, 1980; September 30, 1983; June 29, 1984; June 27, 1986; June 24, 1988; September 21, 1990; March 18, 2005; June 29, 2007; Board Meeting, September 26, 2014.

Related Policies

- [General Travel](#)

Contact

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TENNESSEE BOARD OF REGENTS

MEETING: Board Meeting

SUBJECT: Revisions to TBR Policy 3:03:01:00

DATE: March 27, 2015

PRESENTER: Mary G. Moody, General Counsel

ACTION REQUIRED: Approval of Policy Revision

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The TBR General Student Housing Policy currently requires that institutional housing policies be submitted to the Board of Regents for approval. This process is burdensome and slow. At its December meeting, the Board expressed an interest in moving this approval process from the Board to appropriate TBR staff. The proposed policy revision moves the approval of institutional housing policies from the Board of Regents to the TBR Offices of General Counsel and Academic Affairs.

TBR staff recommends its approval.

Student Residence Regulations

General Student Housing Policy: 3-03-01-00

Policy/Guideline Area

Student Policies

Applicable Divisions

Universities

Policy/Guideline

- I. General Requirements
 - A. Each institution that operates student housing facilities shall adopt a policy consistent with this system-wide policy.
 - B. Each institution is authorized to enact additional provisions that are appropriate to their facilities and operations, and are consistent with the provisions of the system policy.
 - C. Each institution shall submit its proposed student housing policy to the Board of Regents **Office of Academic Affairs and Office of General Counsel** for approval. After initial approval any subsequent revision shall be submitted to the Board **of Regents Office of Academic Affairs** for approval, ~~unless otherwise permitted by this policy.~~
 - D. Each institutional policy shall set forth the eligibility requirements for residence in student housing facilities. Institutional policies may establish requirements that are specifically applicable to the varying types of housing operated by the institution.
 - E. If an institution mandates that students reside in a student residence facility, the institution's policy shall set forth the parameters of that requirement in terms of academic progression and/or age.
 - F. Each student residing in a student residence facility shall sign a TBR standard contract applicable to the type of facility he or she occupies.



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting
SUBJECT: Otis Floyd Scholarship
DATE: March 27, 2015
PRESENTER: Vice Chancellor Tristan Denley
ACTION REQUIRED: Roll Call Vote
STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

On December 14, 1995, the Committee on Academic Policies and Programs approved guidelines and criteria for the awarding of the Otis L. Floyd Scholarship. The scholarship was established in memory of Chancellor Otis L. Floyd from proceeds derived from the sale of the former Chancellor's residence. The initial scholarship was a renewable award covering the cost of in-state tuition and fees; room and board, or in the case of a commuter student, a \$1,500 stipend; and an annual book allowance of \$500.

As the award has been administered during the past 20 years, reducing the amount of available funds, the return on investment has also decreased. As such, the current balance of the scholarship is \$16,731 and annually accrues approximately \$360 in interest.

In order to retain a viable scholarship opportunity under current financial conditions, the Office of Academic Affairs request authority to adjust the scholarship amount and selection criteria until such time as the account no longer has funds to administer.

Otis L. Floyd Scholarship

Intent of Scholarship: In December 1995, the Committee on Academic Policies and Programs approved the establishment of the Otis L. Floyd Scholarship. The Otis L. Floyd Scholarship was established in memory of Chancellor Otis L. Floyd from proceeds derived from the sale of the former Chancellor's residence. The scholarship is awarded annually to a Tennessee student who, during high school, had distinguished himself/herself by a record of dedicated community service and strong academic achievement and who is committed to pursuing a career in public service. The Scholarship provided funds to cover the cost of in-state tuition and fees; room and board, or in the case of a commuter student, a \$1,500 annual allowance; a stipend of \$500 per year; and an annual book allowance of \$500.

Current scholarship criteria:

- Incoming freshmen student at a community college or university
- Current Tennessee resident
- Minimum high school GPA of 3.5 (as verified by a copy of the high school transcript)
- Minimum composite ACT score at the 90th percentile or above
- Evidence of involvement in leadership and community service activities (applicants will submit a portfolio of no more than 7 pages with evidence that reflects the student's creative potential)
- One-page essay that addresses personal and career aspirations

Current selection process:

1. Award is given in alternate years to a student enrolled at a TBR university and at a TBR two-year institution.
2. Each TBR university and two-year institution may in alternate years nominate one member of their entering freshman class to be considered for the award.
3. Recipients are selected by a distinguished panel appointed by the Chancellor.
4. Deadline for consideration is April 1, and the award will be announced by May 1.

Requirements for renewal:

This scholarship is renewable for up to a maximum of four (4) years (8 semesters or until a bachelor's degree is completed at a TBR institution, whichever comes first). Recipients at two-year institutions may continue to receive the scholarship for a third and fourth year upon transfer to a TBR university. In order to renew the scholarship, the student must:

- Maintain a minimum cumulative grade point average of 3.0
- Carry a minimum course load of 12 credit hours per semester, and
- Provide satisfactory evidence of involvement in institutional and/or community service activities. (Student will provide documentation when applying for renewal.)

****The total benefit cannot exceed the cost of education as determined by the attending institution. Total benefits will include aid received from all sources including Tennessee Lottery scholarship, federal grants, and private scholarships. It is the responsibility of the home institution to verify eligibility based on criteria identified above.***

Attachment A

Current Scoring Sheet

Category I	High School Grade Point Average	Points Available	Points Awarded
	3.9	25 pts.	
	3.8	24 pts.	
	3.7	23 pts.	
	3.6	22 pts.	
Category II	ACT Composite Score	Points Available	Points Awarded
	28 or above	25 pts.	
	27	24 pts.	
	26	23 pts.	
Category III	Documentation of Community Service Activities (maximum 25 pts)		
Category IV	Personal Essay (maximum 25 pts)		
Reviewer Comments			

Proposed Changes:

Intent of Scholarship: In December 1995, the Committee on Academic Policies and Programs approved the establishment of the Otis L. Floyd Scholarship. The Otis L. Floyd Scholarship was established in memory of Chancellor Otis L. Floyd from proceeds derived from the sale of the former Chancellor’s residence. The scholarship is awarded annually to a Tennessee student who, during their first year of College, has distinguished himself/herself by a record of dedicated community/campus service and strong academic achievement and who is committed to pursuing a career in public service as demonstrated through a one-page essay on career aspirations. The Scholarship will provide a renewable award for full-time students (enrolled in a minimum of 15 credit hours) of \$500 to use for living expenses and books. Part-time students (enrolled in a minimum of 6 credit hours) will receive a 50% award amount.

Proposed scholarship criteria:

- Second year students at a community college or university (defined as a student who is enrolled for a second academic year)
- Current Tennessee resident and/or Permanent U.S. Citizen
- Completed FAFSA on file with the home institution
- Minimum GPA of 3.0 (as verified by a copy of the transcript)
- Enrollment in a minimum of 6 credit hours for a prorated amount of the scholarship or 15 credit hours for the full scholarship amount.
- Evidence of involvement in leadership and community service activities (applicants will submit a portfolio of no more than 7 pages with at least one letter of support from a faculty or professional staff member at the home institution)
- One-page essay that addresses personal and career aspirations

Proposed selection process:

1. Award is given in alternate years to a student enrolled at a TBR university and at a TBR two-year institution (Odd numbered year – University; Even numbered year – Community College).
2. Each TBR university and two-year institution may in alternate years nominate one member of their current second year students to be considered for the award.
3. Recipients are selected by a distinguished panel appointed by the Chancellor.
4. Deadline for consideration is April 1, and the award will be announced by May 1.

Proposed Scoring Sheet

Category I	1 st Year College GPA	Points Available	Points Awarded
	3.9	50 pts.	
	3.8	49 pts.	
	3.7	48 pts.	
	3.6	47 pts.	
Category II	Documentation of Community Service Activities (maximum 25 pts)		
Category III	Personal Essay (maximum 25 pts)		
Reviewer Comments			

Proposed requirements for renewal:

This scholarship is renewable for up to a maximum of three (3) years (6 semesters or until a bachelor’s degree is completed at a TBR institution, whichever comes first). Recipients at two-year institutions may continue to receive the scholarship for a third and fourth year upon transfer to a TBR university. In order to renew the scholarship, the student must:

- Maintain a minimum cumulative grade point average of 3.0
- Carry a minimum course load of 15 credit hours per semester for the full scholarship amount, and
- Provide satisfactory evidence of involvement in institutional and/or community service activities. (Student will provide documentation when applying for renewal.)

It is the responsibility of the home institution to verify eligibility based on criteria identified above.

Administration of the Scholarship:

The TBR System Office will send notification to the recipients and copy the Financial Aid Director at the home institution. Notification from the System Office will only occur during the first year of the award.

In subsequent years, the Financial Aid office at the home institution should notify the student of the continuance of this scholarship. If the student transfers from a community college to a four-year institution, the original institution will notify the transfer institution of the student’s participation in the scholarship program. The Financial Aid Office will verify the recipient meets the cumulative grade point average and course load requirement. A copy of the student’s involvement in institutional/community activities will be forwarded to the TBR Office of Academic Affairs for review with a recommendation on either the continuance or discontinuance of the award for following year.

Payment will be made to the Institution by August 1 for the upcoming fall term. The institution will then cut a check to the student for the appropriate award amount. This will be done on a per semester basis contingent upon registration in a minimum of 15 credit hours (for full scholarship awards) with a cumulative grade point average of 3.0 or higher.

	Odd Numbered Year	Even Numbered Year	Odd Numbered Year	Even Numbered Year	Odd Numbered Year
Community College Award		Maximum = \$1,000 year	Maximum = \$1,000 year	Maximum = \$1,000 year	Conclusion of Award
University Award	Maximum = \$1,000 year	Maximum = \$1,000 year	Maximum = \$1,000 year	Conclusion of Award	Award Starts Again

- Current amount in account = \$16,649.92
- Total amount awarded in 5 year cycle = \$6,000; Interest earned in 5 year cycle = \$1,800
- Account will be drawn down \$4,200 in five years.
- Four, five-year cycles can be funded (20 years) under the revised funding model.



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting
SUBJECT: Overview of Governor's Budget
DATE: March 27, 2015
PRESENTER: Dale Sims
ACTION REQUIRED: No Action Needed
STAFF'S RECOMMENDATION: Accept Report

BACKGROUND INFORMATION:

On February 9, 2015 Governor Haslam presented his budget recommendations for fiscal 2015-16 to the General Assembly. The attached summary identifies items related to TBR and its institutions.



TENNESSEE BOARD OF REGENTS
Office of Business & Finance

1415 Murfreesboro Road, Suite 346 | Nashville, TN 37217-2833 | Phone 615.366.3921 | Fax 615.366.2246 | www.tbr.edu

MEMORANDUM

TO: Chancellor John Morgan
FROM: Dale Sims ^{DS}
DATE: February 10, 2015
RE: **Governor's FY 2015-16 Budget Recommendations**

On Monday evening Governor Haslam presented his FY 2015-16 budget recommendations to the General Assembly. I have attached copies of related materials to this memorandum for your review. Listed below are some items pertinent to higher education and Tennessee Board of Regents institutions.

Operating Funds

As outlined in the table below, the Governor has recommended additional total funding of \$34.6 million for the TBR. Of this amount, \$32.8 million is recurring in nature and \$1.9 million is non-recurring. These funds are provided for the following purposes:

Recurring Funds

- \$19.4 million in new operating funds. Of this amount:
 - \$18.2 million is to recognize improvements in educational outcomes at TBR universities, community colleges, and colleges of applied technology. These education outcomes include items such as the number of degrees and certificates awarded, student retention and progression points, research and service efforts, workforce training activities, and graduation rates. This represents full funding of THEC's recommendation for TBR institutions.
 - \$1.2 million is provided to recognize general operating cost increases for non-formula units, such as the medical school at ETSU, research and cooperative education units at TSU, and the TBR System Office.
- \$11.0 million to create a salary increase funding pool. This amount represents the state share of a 1.5% salary increase. The full cost is approximately \$17.5 million, making institutions responsible for funding the remainder of this cost (approximately \$6.5 million). As an informational note,

funding has been recommended to provide a 3.0% salary pool for state government and a 4.0% increase for k-12 teachers.

- Funding of \$2.4 million for an anticipated January 1, 2016, increase in the employer share of premiums for employees participating in the state health insurance program.

Non Recurring Funds

- \$868,000 to provide matching funds for TBR employees participating in the State’s 401(k) retirement savings program.
- \$1.0 million to support the University of Memphis’ operations at its Lambuth Campus. This is the last year of a five-year commitment and is in recognition of the need to supplement funding for this campus as it grows to self-sufficiency.

	Recurring Items				Non-Recurring Items			Grand Total
	Outcome & Operating	Salary Funds	Group Ins. Eff. 1/1/16	Subtotal Recurring	401(k) Match	UoM Lambuth	Subtotal Non-Recurring	
Universities	\$ 10,057,400	\$ 5,968,200	\$ 1,436,900	\$ 17,462,500	\$ 457,900	\$ 1,000,000	\$ 1,457,900	\$ 18,920,400
Community Colleges	\$ 6,457,200	\$ 3,315,400	\$ 730,700	\$ 10,503,300	\$ 312,200	\$ -	\$ 312,200	\$ 10,815,500
TCATS	\$ 1,673,900	\$ 676,500	\$ 136,300	\$ 2,486,700	\$ 61,000	\$ -	\$ 61,000	\$ 2,547,700
Subtotal Academic Units	\$ 18,188,500	\$ 9,960,100	\$ 2,303,900	\$ 30,452,500	\$ 831,100	\$ 1,000,000	\$ 1,831,100	\$ 32,283,600
Medical Units	\$ 726,600	\$ 803,100	\$ 65,500	\$ 1,595,200	\$ 28,500	\$ -	\$ 28,500	\$ 1,623,700
Research Units	\$ 126,900	\$ 51,100	\$ -	\$ 178,000	\$ 300	\$ -	\$ 300	\$ 178,300
Subtotal Special Units	\$ 853,500	\$ 854,200	\$ 65,500	\$ 1,773,200	\$ 28,800	\$ -	\$ 28,800	\$ 1,802,000
Central Office	\$ 106,300	\$ 203,900	\$ 21,500	\$ 331,700	\$ 8,100	\$ -	\$ 8,100	\$ 339,800
Access & Diversity	\$ 208,100	\$ -	\$ -	\$ 208,100	\$ -	\$ -	\$ -	\$ 208,100
Subtotal Other	\$ 314,400	\$ 203,900	\$ 21,500	\$ 539,800	\$ 8,100	\$ -	\$ 8,100	\$ 547,900
Grand Total	\$ 19,356,400	\$ 11,018,200	\$ 2,390,900	\$ 32,765,500	\$ 868,000	\$ 1,000,000	\$ 1,868,000	\$ 34,633,500

Capital Outlay

The Governor recommended \$89.8 million in capital funding for the TBR System as outlined in the table below.

	<u>State Cash & Bonds</u>	<u>Non-State Matching Funds</u>	<u>Total</u>
Maintenance	\$ 24,980,000	\$ -	\$ 24,980,000
Capital Outlay			
TCAT: Master Plan Improvements	\$ 23,370,000	\$ 430,000	\$ 23,800,000
APSU: Fine Arts Bldg. Expansion & Impr.	\$ 15,000,000	\$ 5,300,500	\$ 20,300,500
JSCC: New Health Sciences Facilities	\$ 16,200,000	\$ 800,000	\$ 17,000,000
ETSU: Fine Arts Classroom Building	\$ 28,000,000	\$ 11,150,000	\$ 39,150,000
Subtotal - Capital Outlay	<u>\$ 82,570,000</u>	<u>\$ 17,680,500</u>	<u>\$ 100,250,500</u>
Planning Projects			
None Recommended by TBR	\$ -	\$ -	\$ -
Subtotal - Planning	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Grand Total - TBR	<u>\$ 107,550,000</u>	<u>\$ 17,680,500</u>	<u>\$ 125,230,500</u>

- The Governor’s capital outlay recommendations provide construction funding for the TBR’s four highest capital project priorities.
- Of the capital maintenance funding of approximately \$25.0 million, \$800,000 is designated to fund ADA projects throughout the System and \$1.0 million is designated to fund management services provide by the System’s Office of Facilities Development. The remainder of the funding recommended captures 21 of the System’s high priority capital maintenance projects.

Other Items of Interest

While not recommended for appropriation directly to the TBR or its institutions, several other items of interest were included within the Governor’s recommendations, including:

- Tennessee Student Assistance Awards - \$10 million to supplement funding for need-based financial aid.
- Adult Learner Initiative - \$2.45 million to fund initiatives that encourage adult learners with some college experience, but no degree, to attain a post-secondary credential. These initiatives include a statewide marketing campaign, a one-stop portal offering an array of student-centered capabilities, and technical assistance to local areas seeking to assist adult learners.
- Community College Initiatives - \$3.05 million to fund initiatives for community colleges including Achieving the Dream, Seamless Alignment and Integrated Learning Support (SAILS), and the Tennessee Promise Bridge Program.
- Veterans Education - \$1.0 million to provide competitive funding opportunities for higher education institutions to develop focused initiatives to encourage the success of veterans in community colleges and universities.
- Reconnect for Community Colleges - \$1.5 million to fund a one-time scholarship program to incentivize adults to return to school to complete their degree.

- Tuition & Fee Discount Programs - Currently, various groups of state employees, teachers, retirees, and dependents qualify for statutorily granted discounts or waivers of tuition at public higher education institutions. Currently, institutions receive reimbursement for these waivers or discount equal to approximately 20% of the total cost of the program. The recommended budget proposes to reduce funding for this program by \$75,500.
- Centers of Excellence & Emphasis - Distributed by THEC, these monies provide funds to universities in both the UT and TBR Systems (Centers of Excellence) and to community colleges (Centers of Emphasis) to supplement specific disciplines that are deemed excellent or demonstrate the potential to be excellent. Budget recommendations propose the following changes in funding:

	Budget Reduction	Budget Increase	Net Change
Centers of Excellence	\$ (570,000)	\$ 215,600	\$ (354,400)
Centers of Emphasis	\$ (41,100)	\$ 15,500	\$ (25,600)
Total	\$ (611,100)	\$ 231,100	\$ (380,000)

Budget Document and Related Materials. The following is a link to the on-line Budget Document (542 pages) as well as references to TBR sections of the Budget Document.

- <http://www.tn.gov/finance/bud/documents/2016BudgetDocumentVol1.pdf>
- Pages xxi - xxviii: Budget Highlights outlining overall budget plan. Higher Education budget items are summarized on pages xxiii - xxiv.
- Pages A135 – A157: Capital Budget recommendations. Recommendations for TBR can be found on the following pages:
 - Capital outlay projects: A138
 - Capital maintenance projects: A140-141
 - Disclosed projects (funded by TSSBA bonds & other sources): A143 - A144
- Pages B85 – B87: Recommended additional operating funds for TBR.
- Page B116 – B125: Recommended total budgets for TBR.

Text of the Governor’s State of the State Address:

- <http://www.tn.gov/stateofthestate/files/2015/020915%20State%20of%20the%20State%20Address%20-%20FINAL.pdf>

Staff will continue to analyze the budget document and keep you informed as additional information concerning the budget becomes available.

DS:pm

cc: TBR Senior Staff



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Meeting
SUBJECT:	Legislative Update
DATE:	March 27, 2015
PRESENTER:	David Gregory
ACTION REQUIRED:	No Action Needed
STAFF'S RECOMMENDATION:	Not Applicable

BACKGROUND INFORMATION:

The first session of the 109th Tennessee General Assembly convened on January 13, 2015 in Nashville. The TBR Office of Administration has drafted legislation on behalf of the system and tracks legislation which, if passed, could impact our system and our member institutions. This report highlights several key pieces of legislation that are significant this session.



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting
SUBJECT: Report on Academic Initiatives
DATE: March 27, 2015
PRESENTER: Vice Chancellor Tristan Denley
ACTION REQUIRED: No Action Needed
STAFF'S RECOMMENDATION:

BACKGROUND INFORMATION:

Over the last year there has been a concentrated effort across the system to examine the effectiveness of restructuring remediation in reading, writing and mathematics for incoming students. Vice Chancellor Tristan Denley will provide an update on the latest data concerning this co-requisite remediation approach and future system implementation plans.



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Approval of the Recommendation for Director at the Tennessee College of Applied Technology - Crump
DATE:	March 27, 2015
PRESENTER:	Chancellor John G. Morgan
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Due to the transfer of Arrita Summers from the position of Director at the Tennessee College of Applied Technology – Crump, a search was opened in January 2015. A search committee was selected to recommend the best possible candidate. The committee consisted of one Board of Regents’ member and representatives from faculty, staff, students, the lead institution, and the center’s general advisory committee. The position was advertised, applications were reviewed, and candidates were selected for interview. Following the interviews, the Chancellor consulted with the Vice Chancellor for the Tennessee Colleges of Applied Technology and the Board of Regents member on the Advisory Committee for the purpose of making the recommendation of the best candidate to the Board.

Mr. Stephen V. Milligan is being recommended as the next Director of the Tennessee College of Applied Technology - Crump. His resume is attached.

Stephen V. Milligan

stephen.milligan@tcatpulaski.edu

P.O. Box 147
Clifton, TN 38425

Cell: 731.607.6959
Work: 931.424.2420

PROFESSIONAL EXPERIENCE

Tennessee College of Applied Technology – Pulaski, TN
Assistant Director

2013-Present

- Serve in a supervisory capacity for all TCAT-Pulaski operations under the direction of the Director including 8 off-campus sites
- Provide executive leadership in the absence of the Director for 1104 students (fall 2014) and 34 faculty members and staff
- Represent TCAT-Pulaski to industrial, educational, governmental and private sector partners
- Assist in preparation of budgets and financial operations of TCAT-Pulaski
- Observe and evaluate 18 full-time instructional staff and 14 instructional programs
- Determine industry training needs and develop courses to meet those needs
- Recruit, hire, and supervise part-time faculty to teach special industry courses
- Determine costs and prepare contracts for special industry training
- Support and enforce Tennessee Board of Regents and TCAT-Pulaski's mission, policies, rules and regulations
- Assist with curriculum review and development
- Develop dual enrollment opportunities for high school students at 8 locations
- Assist in student recruitment, retention and placement activities
- Serve as liaison with Council on Occupational Education (COE) and monitor institutional compliance with agency policies and rules
- Grants Coordinator
 - Identify grant opportunities and prepare grant applications
 - Provide grant oversight and coordinate execution of grant programs
 - Prepared over \$1.5 million in grant applications
 - Awarded over \$490,000 in grant funding
- Partnered with South Central Tennessee Workforce Alliance and Gattis Leadership to write 2014 Labor and Education Alignment Program (LEAP) grant, "Closing Gaps through Partnerships."
 - Funding requested: \$1,000,000
 - Funding awarded: \$970,000
- Serve on LEAP Grant Project Steering Committee
- Title IX Coordinator (Sex Discrimination and Sexual Harassment), ensure compliance with Title IX Acts and Regulations
- Serve as the Affirmative Action / Equity Officer for TCAT Pulaski
- Appointed campus Disability Services Coordinator
- Established and serve as the advisor for the National Technical Honor Society

Professional Organizations

American Technical Education Association
CompTIA Academy
SkillsUSA

American Welding Society
HVAC Excellence
Tennessee Achieves/Tennessee Promise

Professional Development

2014 TCAT Leadership Academy Graduate

Tennessee Colleges of Applied Technology

Columbia State Community College – Columbia, TN

1997-2013

Director, Clifton Campus

- Provided leadership and administrative oversight for 7 staff and multiple campus activities
- Prepared budget request for operating, facility maintenance and technology access fee and managed budget for the campus
- Developed and implemented campus strategic plan to achieve goals of college and Tennessee Board of Regents strategic plans
- Managed student conduct and enforced college policy and procedures
- Advised and counseled students concerning admissions, registration, financial aid, career choices and transfer institutions
- Recruited students and marketed courses and programs by generating word-of-mouth advertising, writing press releases and public service announcements, and cultivating close working relationships with local media including hometown newspapers and radio to develop human interest stories featuring students and campus activities
- Planned and implemented orientation and advising program at campus
- Organized, planned and executed special campus events including career fairs, college fairs, community cultural events, health and wellness seminars, student preview days, summer camps for middle and high school students
- Partnered with Educational Leadership department at Middle Tennessee State University to establish a Clifton program providing Masters and Educational Specialist degrees
- Collaborated with local school systems to provide off-campus courses at area high schools including Collinwood High School, Decatur County – Riverside High School, Perry County High School and Wayne County High School
- Raised \$215,000 through annual golf tournament, private gift solicitations, and business and industry donations to operate Clifton Campus scholarship program
- Partnered with Workforce Development division to secure \$25,000 grant through USDA Rural Development to develop and implement Rural Entrepreneurship Coaching Program in Hickman, Lewis, Perry and Wayne counties
- Adjunct Faculty Member: Business and Technology Division, taught Career Success and Business Ethics classes

Served on the following Columbia State Community College Committees:

Campus Building, Grounds and Safety Committee

Constituency Leaders Council

Columbia State Foundation Board

Curriculum Committee

Deceased Employees Memorial Committee

Distance Education Committee

Diversity Committee

Learning Resource Center Committee

Columbia State Community College Committees continued:

Professional Staff Organization, Chair Tennessee Alliance for Continuing Higher Education
Tennessee College Access & Success Network

Northwest Envirocon, Inc. – Muscle Shoals, AL

Area Manager, 1995-1997 Operations Manager, 1993-1995 Industrial Hygienist, 1991-1993

- Recruited, hired, trained, supervised and evaluated full-time staff of industrial hygienists, environmental technicians and asbestos and lead abatement workers
 - Managed technical operations; scheduling materials and manpower resources and implementing cost reduction and quality improvement programs
 - Analyzed revenue and profit statements to create budgets and develop short and long-term financial planning and measure cost
 - Organized strategic planning team to increase existing business, create new markets and develop new products and services
 - Investigated and resolved customer needs and conflict issues
 - Marketed services to business and industry and prepared sales proposals
 - Implemented and maintained Eastern Region Quality Assurance / Quality Control requirements for ISO 9002 registration
 - Worked Northwest Shoals Community College to develop course requirements for an Associate's degree program in industrial hygiene
 - Developed and implemented safety and health training programs for industrial, commercial, and governmental clients
 - Taught OSHA mandated training courses
 - Provided safety and health oversight of construction contractors during routine maintenance, renovation, demolition, and new construction projects.
 - Evaluated workforce exposures to various physical and environmental contaminants at industrial and commercial facilities
-

COMMUNITY LEADERSHIP

- Clifton Industrial Board; Secretary-Treasurer, 2001-2003
- Clifton Rotary Club; President, 2000-2002, Paul Harris Fellow, Member, 1998 – 2013
- Giles County Workforce Development Committee; 2013-present
- Greater Clifton Area Chamber of Commerce and Visitor's Bureau; President, 2008-2009, 2001-2003, Board Member, 2007-2008
- Hardin County Regional Health Center (DBA Lifespan Health); Secretary, 2010 – present, Board Member, 2006 - present
- Horseshoe Riverbend Festival Planning Committee; Publicity and Advertising Committee Chair; 1999 - 2013
- Janet J. Smith Foundation; President, 2012 - present
- Tennessee Promise Mentor; 2014 - present
- Wayne County Career and Technical Education Advisory Committee; Chair, 2006-2013, Member, 2005 – 2013

Community Leadership continued:

- Wayne County Chamber of Commerce; Secretary/Treasurer, 2011, Vice-President, 2009, Board Member, 2005 - 2011
 - Wayne County Imagination Library; 2004 – 2013
 - Wayne County Economic and Community Development Board; 2004 – 2013
-

EDUCATION

- Ed.D.** Tennessee State University, Nashville, Tennessee
Administration and Supervision, Higher Education Administration
Candidate for Doctoral Degree, anticipated graduation date fall 2015
- Ed.S.** Middle Tennessee State University, Murfreesboro, Tennessee
Administration and Supervision, Higher Education Administration, 2008
- M.B.A.** University of North Alabama, Florence, Alabama
Business Administration, 1995
- B.S.** University of North Alabama, Florence, Alabama
Industrial Hygiene, 1991



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Proposed Program Terminations, Modifications, and New Technical Program Implementations
DATE:	March 27, 2015
PRESENTER:	Vice Chancellor James D. King
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Program Proposals Requiring Board Approval:

Six (6) program proposals and one (1) program modification are being presented for the Board's review and approval. These proposals will allow the Tennessee Colleges of Applied Technology to be more responsive to the needs of students, businesses, and industries. The proposals are:

- Implementation of a Welding Technology Program at TCAT Livingston. (See Implementation Proposal #1)
- Implementation of a Medical Office Information Technology Program at Morristown. (See Implementation Proposal #2)
- Implementation of a Health Information Management Program at TCAT Jackson. (See Implementation Proposal #3)
- Implementation of a Digital Graphics Design Program at TCAT Dickson's Clarksville and main campuses. (See Implementation Proposal #4)
- Implementation of a Truck Driving Program at TCAT Crossville. (See Implementation Proposal #5)
- Implementation of a Mechatronics Program at TCAT Dickson. (See Implementation Proposal #6)
- Modification of the HVAC Technology Program at TCAT Murfreesboro. (Program Modification Proposal #1)

Academic Proposals Requiring Only Notification to Vice Chancellor:

Six (6) academic actions were submitted by TCAT institutions to the Vice Chancellor for approval based on section C of the TBR Policy: 2:01:02:00, requiring only notification to the Vice Chancellor. Appropriate documentation to support need was provided. The proposals are as follows:

TCAT	Summary of Proposal	New Costs/Funding Source	Approval/ Implementation Date
Livingston	Inactivate the Electronics program due to low enrollment, completion rates, and low placement. Teach out will continue until all current students have completed the program.	None Instructor retiring in 2016	April 2015
Dickson	Inactivate the Solar Photovoltaic Technology program due to low enrollment.	Solar Photovoltaic Technology instructor will be utilized to teach the Mechatronics Program	September 2015 or upon completion of the final graduate.
Ripley	Change the Personnel Computer Support dual enrollment classes at the Bells Campus to Introduction to Computer Technology.	None	January 2014
Knoxville	Adopting new awards to reflect the statewide Computer Information Technology program.	None	January 2014
Knoxville	Adding a 4 th trimester certificate: Advanced PLCs/Robotics in Industrial Maintenance/Mechatronics.	None	May 2015
Pulaski	Expand the current LPN class offering to two classes.	Increase Faculty (1 full-time and 1 part-time)	July 2015

PROGRAM IMPLEMENTATION PROPOSAL – 1

INSTITUTION: Tennessee College of Applied Technology - Livingston

PROPOSAL: The Tennessee College of Applied Technology – Livingston (TCAT Livingston) proposes to offer a full time Welding Technology program.

The program will be 12 months in length (1296 clock hours).

EFFECTIVE DATE: April 2015 or upon COE approval.

OBJECTIVES: The primary purpose of the program is to provide students with the basic and advanced techniques of welding procedures and processes common to industry. The students will learn welding techniques for acetylene, arc welding, TIG welding, and MIG welding. Students will learn how to weld in different positions such as flat, vertical, horizontal, and overhead positions.

NEED: O*Net Online resource states that the outlook for welders, cutters, solders, brazers, and fitters have a bright outlook for the future. The Career One Stop projects for Tennessee the percentage of change for Welders, Cutters, Solders, and Brazers is a positive 18%. Based on the employment projections for 2012-2022, welding is one of the fastest growing occupations with a growth rate of 3.2 percent.

PROJECTED ENROLLMENT:	YEAR	ENROLLMENT	COMPLETERS
	1	12	9
	2	12	10
	3	12	10

PROJECTED COSTS \$ 40,000 Yearly Supply Budget

NEW FACULTY NEEDED: No new faculty will be needed.

FACILITIES: Existing classroom space will be used.

ACTION REQUIRED: Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 2

INSTITUTION:	Tennessee Colleges of Applied Technology- Morristown		
PROPOSAL:	To establish a Medical Office Information Technology program in Sevier County. The program will be approximately five months (632 clock hours) in length. The program will award a Medical Office Information Technology diploma.		
EFFECTIVE DATE:	Fall 2015 or upon COE approval.		
OBJECTIVES:	The primary purpose of this program is to prepare students for a multi- skilled career in the medical field with the knowledge of insurance codes, medical billing practices, electronic health record's and medical office administrative skills. Students will be required to have a 200 hour externship.		
NEED:	According to the Tennessee Department of Labor and Workforce Development website, the outlook for all allied health fields is favorable through 2020.		
PROJECTED ENROLLMENT:	YEAR	ENROLLMENT	COMPLETERS
	1	33	32
	2	38	32
	3	40	32
PROJECTED COSTS:	\$ 30,500 yearly for facility, utilities, and building maintenance \$ 40,000 plus benefits for faculty salary		
NEW FACULTY NEEDED:	One new instructor will be hired for this program.		
FACILITIES:	If approved, the program will be in a shared facility between Walter State Community College and East Tennessee State University in Sevier County.		
ACTION REQUIRED:	Staff recommends approval.		

PROGRAM IMPLEMENTATION PROPOSAL – 3

INSTITUTION: Tennessee College of Applied College – Jackson

PROPOSAL: The Tennessee College of Applied Technology-Jackson proposes to implement a Health Information Management program.

The program will be 1296 clock hours (12 months) in length and will award a Health Information Specialist Diploma.

EFFECTIVE DATE: September 2015 or upon COE approval.

OBJECTIVES: The primary purpose of this program is to prepare students to develop the skills and knowledge needed to secure jobs in today’s rapidly changing medical field. Students have the opportunity to study and experience “hands-on” training with today’s advanced electronic health records software and develop the computer skills needed for the modern medical office. Students will learn medical coding and insurance billing as well as basic medical office skills

NEED: Due to the expanding wide use of electronic health records (EHR), the Bureau of Labor Statistics projects this profession will experience a 20% job growth between 2008 and 2018, which is considerably faster than the average for all occupations.

PROJECTED ENROLLMENT:	YEAR	ENROLLMENT	COMPLETERS
	1	15	13
	2	18	16
	3	22	19

PROJECTED COSTS: \$10,000 Supplies and Equipment

NEW FACULTY NEEDED: No new faculty will be needed. One instructor will teach the Administrative Office Technology and Health Information Management Program.

FACILITIES: No new space is needed; program will be offered at the Humboldt Higher Education Center.

ACTION REQUIRED: Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 4

- INSTITUTION:** Tennessee College of Applied College – Dickson
- PROPOSAL:** To establish a Digital Graphics Design Program at the Dickson and Clarksville extension campuses. The program will be 1728 clock hours (16 months) in length.
- Certificates will be offered for Graphic Arts Technician and Graphics Layout Technician. Diplomas will be offered for Digital Illustrator and Digital Graphics Design.
- EFFECTIVE DATE:** May 2015 or upon COE approval.
- OBJECTIVES:** The Digital Graphics Design Program will train students for the diverse field of graphic design. Students will learn how to design and produce anything which is printed in hard copy or virtual copy, to include newsletters, posters, advertisements, company logos, illustrations and web pages.
- NEED:** In 2012, the number of graphic designers employed in the Dickson/Montgomery County workforce area was 340. In January, 2015, there were 88 job openings in Tennessee for graphic designers.
- The United States Department of Labor Bureau and Labor Statistics states that the mean annual wage for graphic designers was \$44,150 in 2012.
- PROJECTED ENROLLMENT:**
- | YEAR | ENROLLMENT | COMPLETERS |
|------|------------|------------|
| 1 | 8 | 6 |
| 2 | 10 | 8 |
| 3 | 10 | 8 |
- PROJECTED COSTS:** The program will be offered in conjunction with the existing Administrative Office Technology programs; therefore, no new equipment costs are required. Technology access fees will be used for software expenses.
- NEW FACULTY NEEDED:** None. The current Administrative Office Technology instructors will teach the Digital Graphics Design Program.

FACILITIES:

Classroom space will be allocated at the Dickson and Clarksville extension campuses of the Tennessee College of Applied Technology – Dickson.

ACTION REQUIRED:

Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 5

INSTITUTION:	Tennessee College of Applied Technology - Crossville		
PROPOSAL:	The Tennessee College of Applied Technology – Crossville proposes to offer a full time Truck Driving Program. The program will be seven weeks in length (210 clock hours). Three weeks will be classroom training with four weeks in on the road training.		
EFFECTIVE DATE:	May 2015 or upon COE approval.		
OBJECTIVES:	This program prepares students to pass the Commercial Driver's License (CDL) test and includes instruction in Department of Transportation (DOT) regulations, as well as, logging procedures required by DOT and the trucking industry. The course provides actual experience in backing, driving on secondary roads, interstate roads, highways, and city streets. Culmination of the training will allow the student an opportunity to test for a Class A CDL.		
NEED:	Commercial truck drivers are in high demand. The occupational outlook handbook estimates there are 1.7 million jobs requiring commercial truck drivers and an annual growth rate of 11%. Annual starting salary for commercial truck drivers will range from \$38,200 to \$45,000.		
PROJECTED ENROLLMENT:	YEAR	ENROLLMENT	COMPLETERS
	1	30	25
	2	35	30
	3	40	35
PROJECTED COSTS:	\$ 80,000 yearly for salaries \$10,000 Startup cost \$ 7,500 Supply Budget		
NEW FACULTY NEEDED:	All instructors will be contracted from industry partners. They will possess all the necessary requirements to teach a Truck Driving Program, they will hold CDL licenses, and meet the standards set forth by the trucking industry.		
FACILITIES:	Existing classroom space will be used.		
ACTION REQUIRED:	Staff recommends approval.		

PROGRAM IMPLEMENTATION PROPOSAL – 6

INSTITUTION:	Tennessee College of Applied College – Dickson		
PROPOSAL:	The Tennessee College of Applied Technology-Dickson proposes to implement a Mechatronics program at the Dickson campus. The program will be 2160 clock hours (20 months) in length.		
EFFECTIVE DATE:	September 2015 or upon COE approval.		
OBJECTIVES:	<p>Students earning the Mechatronics diploma will be trained extensively in manufacturing processes with emphasis on accuracy and productivity utilizing skills in pneumatics, hydraulics, robotics, computer controls and preventive maintenance. Instructors emphasize proactive maintenance rather than reactive maintenance.</p> <p>The Mechatronics program is currently offered at the Clarksville extension campus. In order to meet the needs of expanding Dickson County industries, the program will also be offered at the Dickson campus. Offering the Mechatronics program at both sites will allow for greater accessibility for students and will increase the number of quality trained employees in the area.</p>		
NEED:	According to the Nashville MSA, Nashville has experienced an increase of 2,200 jobs in advanced manufacturing of durable goods with wages averaging \$17.81. Manufacturing jobs remain a high demand area for employers.		
PROJECTED ENROLLMENT:	YEAR	ENROLLMENT	COMPLETERS
	1	10	8
	2	15	12
	3	20	16
PROJECTED COSTS:	Due to program sharing equipment and supplies, no new program costs.		
NEW FACULTY NEEDED:	IMT instructor will teach both programs. Once need increases, a new instructor will be hired.		
FACILITIES:	Current facilities will be used.		
ACTION REQUIRED:	Staff recommends approval.		

PROGRAM MODIFICATION PROPOSAL – 1

INSTITUTION: Tennessee College of Applied Technology – Murfreesboro

PROPOSAL: The Tennessee College of Applied Technology-Murfreesboro proposes to modify the HVAC program by reducing the program length to 1296 clock hours (12 months). The remaining curriculum will not change.

EFFECTIVE DATE: May 2015 or upon COE approval

OBJECTIVE: The change is being requested by the program’s advisory board and will allow students to enter the workforce faster and remain qualified.

IMPACT OF CHANGE: FISCAL – None
PERSONNEL - None
CLIENTELE – None
SPACE - None
EQUIPMENT – None

ACTION REQUIRED: Staff recommends approval.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Approval of New Degree Programs
DATE:	March 27, 2015
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Middle Tennessee State University

Master of Arts (MALA) in Liberal Arts

Middle Tennessee State University proposes to offer a 30 SCH interdisciplinary degree offering a thesis and non-thesis option to teach cultural, historical, philosophical, geographical, linguistic, artistic, social, and political perspectives that broaden the interests of students and encourage a thirst for knowledge clearly supports the core values of a liberal education. The proposed degree supports the University's mission to generate, preserve, and disseminate knowledge and innovation, and especially its efforts to foster life-long learning, personal development, and success in a student-centered environment.

Middle Tennessee State University Master of Arts (MLS) in Library Science

Middle Tennessee State University proposes to offer a 36 SCH fully on-line degree. This proposed degree will build upon the existing concentration in Library Science under the M.Ed. in Administration and Supervision program--will be centered on MTSU preparing a new generation of professionals whose primary role is to instruct their clients in information literacy and advocate for libraries in the 21st century.

ACADEMIC PROPOSAL SUMMARY

March 2015 TBR Quarterly Meeting

INSTITUTIONS: Middle Tennessee State University (MTSU)

PROPOSAL: Establish a new Master of Arts in Liberal Arts

EFFECTIVE DATE: Fall 2015

PURPOSE:

The proposed Master of Arts degree in Liberal Arts (MALA) is an interdisciplinary, 30-hour program offering a thesis and non-thesis option. The proposed degree meets many of the criteria found in the mission statement of the College of Liberal Arts. As stated, “a Liberal Arts education provides a foundation for developing autonomy in learning while imparting the intellectual and cognitive skills that will allow students to live effectively in a changing global society, develop their understanding of historical and cultural legacies as a paradigm for observation and assessment of the contemporary world, hone skills that allow them to think logically, critically, and creatively, and communicate their ideas clearly and precisely.” As a graduate program centered on interdisciplinary work, the MALA will build on this foundation through the variety of disciplines, skills, and broadly-based learning opportunities offered to students in the program.

INSTITUTIONAL PRIORITY (Justify why this is a priority and why at this time)

This proposed program is in keeping with the **State Master Plan for Higher Education** (The Public Agenda for Tennessee Higher Education, 2010-2015) to “embrace and defend the core values of a liberal education” (p.6). The proposed degree dovetails with University efforts to reach out to targeted groups with grants and programs offering professional development opportunities for K-12 teachers, Summer College for MTSU alumni, and a growing number of resources for military veterans. It meets a regional need in keeping with the MTSU’s Academic Master Plan (AMP) for 2007-17, under Goal #1, “Enhance Academic Quality,” which clearly states that “Middle Tennessee State University will increase student academic attainment and encourage students to engage in life-long learning.” As a graduate program aimed for the most part at adult learners who have or have had careers, seek personal and/or professional development and who have an interest in liberal arts studies, the proposed MALA supports this AMP goal and for “targeted programs for non-traditional students,” including K-12 teachers for whom a graduate degree would move them up the career ladder, or retired persons and military veterans, many of whom already have bachelor’s degrees but would like to continue their interest in life-long learning in a graduate program.

CURRICULUM: The proposed program requires completion of 30 semester credit hours distributed as follows:

General Education	0
Major Field Core	15
Guided Electives	12
Other: Capstone or Thesis	3
	<hr/>
	30 SCH

5 new courses of 15 SCH

NEED:

Unlike most other graduate programs, the proposed MALA is not designed to provide specific skills and knowledge as preparation for a particular workplace position. Yet its graduates still hold a strong attraction for prospective employers. According to the THEC supply/demand analysis, almost 75% of master's degree graduates in Liberal Arts and Sciences are employed in Tennessee soon after completing the degree. In addition, the proposed MALA offers the opportunity for interested students not only to acquire a broad range of skills but also to increase their content knowledge of a subject or enhance their personal development. Some students will use this graduate degree to move forward in careers, particularly those holding teaching positions at the K-12 level while others will advance to doctoral programs or become attractive hires in a wide range of occupations.

IMPACT:

The target population is composed of people who would not likely enroll in a traditional master's program, it is unlikely that the Master's in Liberal Arts would take away from another program. In addition, survey results indicate that potential students are attracted to the interdisciplinary nature of this proposed program that will be the only one of its kind offered at a public institution in middle Tennessee. It is likely that most of these students, once enrolled, will complete this program. Yet it is also possible that some of the MALA students will choose to move to a traditional master's program within the institution that will allow them to focus on a particular subject. In this case, the MALA program would actually help existing degree programs or concentrations.

PROJECTED STUDENT ENROLLMENT:

Year	Full-Time Headcount	Part-time Headcount	Total Year Headcount	FTE	Graduates
1	1	6	7	4	--
2	2	10	12	7	1
3	2	14	16	9	6
4	3	20	23	13	8
5	4	22	26	15	12

MTSU estimates the majority of students regularly enrolling on a part-time basis because of the nature of the program and the targeted audience. Full-time students are projected to enroll in 9 credits per semester, and part-time students will average 4.5 credits per semester.

PLANS FOR ACCREDITATION:

There is no separate accrediting body for master's programs in liberal arts. This proposed master's program will be evaluated according to Southern Association of Colleges and Schools standards and procedures and will undergo program review every seven years through the MTSU Graduate Council.

ORGANIZATIONAL STRUCTURE:

As an interdisciplinary program, it will be housed not in a department but rather in the office of the Dean of Liberal Arts.

PROJECTED NEW COSTS AND REVENUE:

The sole costs associate with the degree are for marketing and to cover the service of the Program Coordinator due to reassigned time. An adjunct faculty member will be hired to fulfil these responsibilities.

STAFF RECOMMENDATION:

As part of the TBR-THEC endorsed program approval process, an expert in the field was invited to the campus to serve as an external reviewer. Dr. Stuart Charme, Professor of Religion and philosophy, of Rutgers University-Camden conducted the external review on November 5-6,

2015. He stated “The MALA program proposed by MTSU represents a positive and welcome addition to the campus’ graduate programs. It is reasonable to anticipate sufficient regional interest and enrollment in the program to warrant this degree...the proposed model is well-designed and consistent with comparable programs in peer institutions.”

The proposal has been reviewed by the staff of the Office of Academic Affairs. Board approval is recommended.

THEC Financial Estimate Form
Middle Tennessee State University
Master of Arts in Liberal Arts
Attachment A

Five-year projections are required for baccalaureate and post-baccalaureate programs and certificates. Three-year projections are required for associate degrees and undergraduate certificates. Projections should include cost of living increases per year.

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
I. Expenditures					
A. One-time Expenditures					
New/Renovated Space	\$ -	\$ -	\$ -	\$ -	\$ -
Equipment	-	-	-	-	-
Library	-	-	-	-	-
Consultants	-	-	-	-	-
Travel	-	-	-	-	-
Other	<u>1,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Sub-Total One-time	<u>\$ 1,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
B. Recurring Expenditures					
Personnel					
Administration					
Salary	\$ 9,200	\$ 9,200	\$ 9,200	\$ 9,200	\$ 9,200
Benefits	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Sub-Total Administration	<u>9,200</u>	<u>9,200</u>	<u>9,200</u>	<u>9,200</u>	<u>9,200</u>
Faculty					
Salary	\$ 4,200	\$ 4,200	\$ 4,200	\$ 4,200	\$ 4,200
Benefits	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Sub-Total Faculty	<u>\$ 4,200</u>	<u>\$ 4,200</u>	<u>\$ 4,200</u>	<u>\$ 4,200</u>	<u>\$ 4,200</u>
Support Staff					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Sub-Total Support Staff	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Graduate Assistants					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Tuition and Fees* (See Below)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Sub-Total Graduate Assistants	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Operating					
Travel	\$ -	\$ -	\$ -	\$ -	\$ -
Printing	-	-	-	-	-
Equipment	-	-	-	-	-
Other	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>
Sub-Total Operating	<u>\$ 2,500</u>	<u>\$ 2,500</u>	<u>\$ 2,500</u>	<u>\$ 2,500</u>	<u>\$ 2,500</u>
Total Recurring	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>
TOTAL EXPENDITURES	<u>\$ 16,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>
(A+B)					

*If tuition and fees for Graduate Assistants are included, please provide the following information.

Base Tuition and Fees Rate	\$ -	\$ -	\$ -	\$ -	\$ -
Number of Graduate Assistants	-	-	-	-	-

II. Revenue

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Tuition and Fees ¹	33,696	58,968	75,816	109,512	126,360
Institutional Reallocations ²	(16,796)	(43,068)	(59,916)	(93,612)	(110,460)
Federal Grants ³	-	-	-	-	-
Private Grants or Gifts ⁴	-	-	-	-	-
Other ⁵	-	-	-	-	-
BALANCED BUDGET LINE	<u>\$ 16,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>	<u>\$ 15,900</u>

Notes:

- In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.

Tuition revenue will be generated beginning in year 1. Tuition revenue (all years) is calculated using 2013 rates.

Year one: 1 FT @ \$8,424 = \$8,424 + 6 PT @ \$4,212 = \$25,272 = \$33,696

Year two: 2 FT @ \$8,424 = \$16,848 + 10 PT @ \$4,212 = \$42,120 = \$58,968

Year three: 2 FT @ \$8,424 = \$16,848 + 14 PT @ \$4,212 = \$58,968 = \$75,816

Year four: 3 FT @ \$8,424 = \$25,272 + 20 PT @ \$4,212 = \$84,240 = \$109,512

Year five: 4 FT @ \$8,424 = \$33,696 + 22 PT @ \$4,212 = \$92,664 = \$126,360

- Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.

No institutional reallocations will be used to support this degree.

- Please provide the source(s) of the Federal Grant including the granting department and CFDA number.

No Federal grants will be used to support this degree.

- Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).

N/A

- Please provide information regarding other sources of the funding.

NOTE: "Other" under One-time Expenditures is to support initial start-up and promotion costs.

NOTE: Administrative Expenses include course reassignment (1 per semester) + \$5000 summer stipend for Program Director

NOTE: "Other" recurring expenses includes \$1000 to support recruitment and \$1500 for program-related expenses per annum.

NOTE: "Faculty Salaries" refers to the fractional stipend (1/5th of an adjunct salary of \$2,100/semester) that each guest instructor will receive for her/his portion of instruction in the Foundations courses.

ACADEMIC PROPOSAL SUMMARY

March 2015 TBR Quarterly Meeting

INSTITUTIONS: Middle Tennessee State University (MTSU)

PROPOSAL: Establish a new Master of Library Science (MLS)

EFFECTIVE DATE: Fall 2016

PURPOSE:

The development of this proposed fully on-line M.L.S. degree--which would build upon the existing concentration in Library Science under the M.Ed. in Administration and Supervision program--will be centered on MTSU preparing a new generation of professionals whose primary role is to instruct their clients in information literacy and advocate for libraries in the 21st century.

INSTITUTIONAL PRIORITY (Justify why this is a priority and why at this time)

The existing concentration in Library Science has been successful—with an average of 41 students enrolled for each of the last five years and 26 graduates in the 2012-13 academic year. Additionally, there is significant interest in the degree (among our graduates and others) and demand for qualified librarians. At the same time, the lack of an M.L.S. degree offered by a TBR institution has limited the state's ability to produce the librarians it requires.

CURRICULUM: The proposed program requires completion of 36 semester credit hours distributed as follows:

<u>Curriculum Component</u>	<u>Hours Required</u>
Major Field Core (courses required of all students in program)	12
Guided Electives	15
Field Experience	6
Other (specify, i.e.) Capstone	<u>3</u>
TOTAL:	36

No. of new courses: 4 with 12 credit hours

NEED:

The THEC “Academic Program Supply and Occupational Demand Projections: 2008-2018” shows an average of 82 master’s graduates over the period 2000-2008 and projects an average for the period 2008-2018 of 120 graduates. The demand side of the equation projects an average of 116 annual openings for librarians with a master’s degree for a slight oversupply. The Bureau of Labor Statistics projects a 14.4% growth in the number of jobs available in the “Education, training, and library occupations” field for 2008-2018 but fails to take into account the impact of retirements or the changing definition of librarians as teachers of information literacy in determining its statistics (<http://www.bls.gov/opub/mlr/2009/11/art5full.pdf>). There were 245 academic library openings listed in the April 22, 2014 Chronicle of Higher Education as well as 1,843 national listings for librarian jobs in the Indeed.com jobsite (April 22, 2014, <http://www.indeed.com/jobs?q=Librarian>).

IMPACT:

The shortage of graduates with the degree has proven to be a problem in the United States. Within Tennessee, PreK-12 public school students continue to score below the national average in mathematics and reading. “Results continue to show the need for improvement in reading.” (NAEP, 2014). Despite the attempts of governmental agencies, private organizations, and elected officials to reverse this decline, the data suggest that additional measures must be taken to achieve educational parity for all. School librarians play a key role in literacies in PreK-12 education (AASL. (2008). *School Libraries Work!*). The Organization for Economic Development’s 2013 study assessed The Survey of Adult Skills (PIAAC) assesses the proficiency of adults from age 16 onwards in literacy, numeracy and problem solving in technology-rich environments across nations. The United States was mediocre in the standings. The authors conclude that ‘lifelong learning’ beyond the classroom is mandatory for success. Proficient librarians can impact literacy in many ways. This degree is designed to address the increasing demand for highly qualified librarians in Tennessee, the surrounding region, and throughout the nation.

PLANS FOR ACCREDITATION:

The program will request candidacy status from the ALA as soon as possible after approval by TBR and THEC. Candidacy status initiates the two-year review process required for accreditation (with the possibility of a one-year extension if there are difficulties in scheduling the accreditation visit). We anticipate program accreditation in 2017-2018.

PROJECTED STUDENT ENROLLMENT:

Year	Full-Time Headcount	Part-time Headcount	Total Year Headcount	FTE	Graduates
1	10	38	48	29	12
2	10	45	55	32.5	14
3	11	50	61	36	16
4	12	50	62	37	18
5	12	50	62	37	20

Based on the progress of students currently enrolled in our concentration in Library Science, the vast majority of students will take two classes per semester for the fall, spring, and summer semesters, with an occasional semester of three classes. We realize that initial enrollment in a program without accreditation will not be attractive to many candidates. There are students who will seek the degree since their aspirations for public or school librarianship will not be affected by a lack of ALA accreditation. The school librarian licensure candidates should continue to support the enrollment numbers as they do now.

ORGANIZATIONAL STRUCTURE:

The program will be housed within the College of Education Department of Educational Leadership.

PROJECTED NEW COSTS AND REVENUE:

The current concentration in Library Science consists of a single tenure-track faculty member in addition to another full-time faculty member and adjunct faculty to cover the remaining program needs. In order to staff the additional courses needed for the M.L.S. as well as to meet ALA accreditation standards, MTSU will hire an additional tenure-track faculty member in year one. The new faculty member will be hired at the senior Ph. D. level. Additional costs include the cost of preparation for and accreditation of the proposed program.

STAFF RECOMMENDATION:

As part of the TBR-THEC endorsed program approval process, an expert in the field was invited to the campus to serve as an external reviewer. Dr. Nora Byrd, Professor and Director of Graduate Studies, of the University of North Carolina-Greensboro conducted the external review on January 11-12, 2015. She stated “I recommend approval ...it would provide a path for the generalist librarian focus that will serve first public libraries and eventually all libraries in Tennessee.”

The proposal has been reviewed by the staff of the Office of Academic Affairs. Board approval is recommended.

THEC Financial Estimate Form
Middle Tennessee State University
Master of Library Science in Library Science
Attachment A

Five-year projections are required for baccalaureate and post-baccalaureate programs and certificates. Three-year projections are required for associate degrees and undergraduate certificates. Projections should include cost of living increases per year.

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
I. Expenditures					
A. One-time Expenditures					
New/Renovated Space	\$ -	\$ -	\$ -	\$ -	\$ -
Equipment	-	-	-	-	-
Library	-	-	-	-	-
Consultants	-	-	-	-	-
Travel	-	-	-	-	-
Other	18,000	1,923	923	5,000	923
Sub-Total One-time	<u>\$ 18,000</u>	<u>\$ 1,923</u>	<u>\$ 923</u>	<u>\$ 5,000</u>	<u>\$ 923</u>
B. Recurring Expenditures					
Personnel					
Administration					
Salary	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000
Benefits	-	-	-	-	-
Sub-Total Administration	<u>5,000</u>	<u>5,000</u>	<u>5,000</u>	<u>5,000</u>	<u>5,000</u>
Faculty					
Salary	\$ 197,489	\$ 203,099	\$ 208,877	\$ 214,828	\$ 220,958
Benefits	61,706	63,557	65,464	67,428	69,451
Sub-Total Faculty	<u>\$ 259,195</u>	<u>\$ 266,656</u>	<u>\$ 274,341</u>	<u>\$ 282,256</u>	<u>\$ 290,409</u>
Support Staff					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Sub-Total Support Staff	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Graduate Assistants					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Tuition and Fees* (See Bel	-	-	-	-	-
Sub-Total Graduate Assistants	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Operating					
Travel	\$ -	\$ -	\$ -	\$ -	\$ -
Printing	-	-	-	-	-
Equipment	-	-	-	-	-
Other	15,000	17,500	17,500	12,500	12,500
Sub-Total Operating	<u>\$ 15,000</u>	<u>\$ 17,500</u>	<u>\$ 17,500</u>	<u>\$ 12,500</u>	<u>\$ 12,500</u>
Total Recurring	<u><u>\$ 279,195</u></u>	<u><u>\$ 289,156</u></u>	<u><u>\$ 296,841</u></u>	<u><u>\$ 299,756</u></u>	<u><u>\$ 307,909</u></u>

TOTAL EXPENDITURES (A+B)	<u><u>\$ 297,195</u></u>	<u><u>\$ 291,079</u></u>	<u><u>\$ 297,764</u></u>	<u><u>\$ 304,756</u></u>	<u><u>\$ 308,832</u></u>
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*If tuition and fees for Graduate Assistants are included, please provide the following information.

Base Tuition and Fees Rate	\$ -	\$ -	\$ -	\$ -	\$ -
Number of Graduate Assistants	-	-	-	-	-

II. Revenue

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Tuition and Fees ¹	311,004	362,880	414,162	436,560	449,616
Institutional Reallocations ²	(23,809)	(71,801)	(116,398)	(131,804)	(140,784)
Federal Grants ³	-	-	-	-	-
Private Grants or Gifts ⁴	-	-	-	-	-
Other ⁵	<u>10,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
BALANCED BUDGET LINE	<u><u>\$ 297,195</u></u>	<u><u>\$ 291,079</u></u>	<u><u>\$ 297,764</u></u>	<u><u>\$ 304,756</u></u>	<u><u>\$ 308,832</u></u>

Notes:

1. In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.

Tuition revenue begins in year 1 and is calculated using 2014 tuition & fees rates and including a 3% inflation factor

Year 1: (10 FT x 9 SCH x 2 sem x \$489) + (38 PT x 6 SCH x 2 sem x \$489) = \$311,004

Year 2: (10 FT x 9 SCH x 2 sem x \$504) + (45 PT x 6 SCH x 2 sem x \$504) = \$362,880

Year 3: (11 FT x 9 SCH x 2 sem x \$519) + (50 PT x 6 SCH x 2 sem x \$519) = \$414,162

Year 4: (12 FT x 9 SCH x 2 sem x \$535) + (50 PT x 6 SCH x 2 sem x \$535) = \$436,560

Year 5: (12 FT x 9 SCH x 2 sem x \$551) + (50 PT x 6 SCH x 2 sem x \$551) = \$449,616

2. Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.

No additional reallocations are required to establish this degree.

3. Please provide the source(s) of the Federal Grant including the granting department and CFDA number.

No Federal Grants are associated with this degree proposal.

4. Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).

No other grants or gifts are associated with this degree proposal.

5. Please provide information regarding other sources of the funding.

Revenue - Other includes \$10,000 in year one - transfer of funds from University College (online fees) for online course development.

NOTES:

One Time Expenditures: Year 1 includes \$5,000 for recruitment and promotion expenses.

One-Time Expenditures: Year 1 includes \$10,000 for online course development. (4 courses @ \$2,500 per course)

One Time Expenditures: Years 1-5 includes application and annual maintenance fees for ALA precandidacy, candidacy & accreditation

Recurring Expenditures (Personnel-Administration): Years 1-5 include \$5,000 for summer stipend for program director.

Recurring Expenditures (Personnel-Faculty): Years 1-5 include salary of current full & part-time faculty plus new hire beginning in year 1

Recurring Expenditures (Operating-other): Years 1 -5 include \$10,000 to support enhanced library resources.

Recurring Expenditures (Operating-other): Years 2 -5 include \$2,500 to support ongoing recruitment and program promotion.

Recurring Expenditures (Operating-other): Years 1-3 include \$5,000 to support professional development / accreditation activities.



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Approval of the March 10, 2015 Minutes of the Special Called Meeting of the Finance and Business Operations Committee

DATE: March 27, 2015

PRESENTER: Regent Gregory Duckett

ACTION REQUIRED: Roll Call Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The Board will review and consider for approval the minutes of the March 10, 2015 special called meeting of the Finance and Business Operations Committee which include disclosure amendments to the 2015-16 capital budget request, a recommendation on mandatory and incidental fee requests which would become effective Fall 2015, and out of state tuition requests.

**REPORT OF THE
COMMITTEE ON FINANCE AND BUSINESS OPERATIONS
SPECIAL CALLED MEETING**

March 10, 2015

The Committee on Finance and Business Operations met in a special called session on March 10, 2015, at 1 p.m. Central Daylight Time.

A quorum was present and the meeting was called to order by Chairman Duckett.

The first agenda item was consideration of the proposed disclosure amendment to the 2015-16 capital budget request. The disclosure amendment would add 37 project disclosures in the amount of \$114,760,000 to the 2015-16 capital budget request. After discussion, Regent Freeman moved to approve the disclosure amendment with a second by Regent Thomas. The motion passed by roll call vote. The approved disclosure amendment is included as an attachment to the official copy of this report.

The next agenda item was consideration of staff recommendations for mandatory and incidental fee requests which would become effective Fall 2015.

Regent Duckett recognized Vice Chancellor Sims who summarized the items recommended by staff. After discussion among Committee members, Regent Thomas moved to approve the staff recommendations with a second by Regent Smith. The motion passed unanimously by roll call vote. A list of the approved fees is included as an attachment to the official copy of this report.

The final agenda item was review of the following out of state tuition requests:

- Recruitment Focus Area Plan
- Recruitment Focus Area Plans for Middle Tennessee State University and the University of Memphis
- Tennessee State University's Scholar and Scholar Plus plans

All plans include the provision that the reduced out-of-state tuition for eligible participants will equal or exceed the state subsidy per pupil

institutions currently receive for in-state students. After discussion by Committee members, Regent Freeman moved to approve all four plans with a second by Regent Griscom. The motion passed by roll call vote. The approved out of state tuition requests are included as an attachment to the official copy of this report

There was one new business item added to the agenda regarding the uniform dual enrollment maintenance fee. It was requested that the chancellor be given authorization to grant exceptions to the \$166 per hour fee based upon existing contractual relationships between TBR institutions and local school systems or local governments. Regent Freeman moved to approve the request and Regent Smith provided a second. The motion carried by roll call vote.

There being no further business to come before the Committee, the meeting adjourned.

Respectfully submitted,

COMMITTEE ON FINANCE
AND BUSINESS OPERATIONS

Gregory Duckett, Chair



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Meeting

SUBJECT: Nashville State Community College
Naming of an existing Building

DATE: March 27, 2015

PRESENTER: Chancellor John G. Morgan

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approve

BACKGROUND INFORMATION:

On February 13, 2015, Dr. George Van Allen, President of Nashville State Community College, submitted a request to name an existing building the "Ellen Weed Building."

Ellen J. Weed has served as Vice President for Academic Affairs at Nashville State Community College in Nashville, Tennessee for twenty years. She has worked within the Tennessee Board of Regents System for more than 30 years, with experience at the community college, university, and governing board levels.

Prior to assuming administration positions, she spent ten years teaching Sociology at Luther College in Decorah, Iowa and Austin Peay State University in Clarksville, Tennessee. She has been actively involved in regional accreditation activities through the Commission on Colleges of the Southern Association of Colleges and Schools, servicing on more than 40 committees. In 2002 she received a Meritorious Service Award from the Commission on Colleges. Ellen earned her B.A., M.A., and PhD degrees from the University of Michigan.

The Nashville State Community College naming committee met on March 3, 2015. They voted to approve this naming and the request is in compliance with TBR Policy 4:02:05:01 - Naming Buildings and Facilities and Building Plaques.



TENNESSEE BOARD OF REGENTS

Office of the Chancellor

1415 Murfreesboro Road, Suite 340 | Nashville, TN 37217-2833 | Phone 615.366.4403 | Fax 615.366.3922 | www.tbr.edu

March 4, 2015

Dr. George Van Allen, President
Nashville State Community College
120 White Bridge Road
Nashville, Tennessee 37209-4515

Dear President Van Allen:

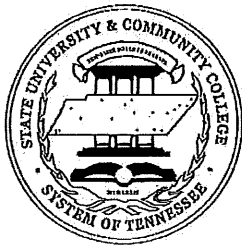
This letter is to confirm receipt of your February 13, 2015, request that the College's faculty office building at the Nashville State Community College be known as "Ellen Weed Building." I will place this recommendation on the agenda for the June 21st Board meeting under New Business.

happily!

Sincerely,

John G. Morgan
Chancellor

JGM/KF

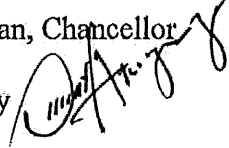


Tennessee Board of Regents

1415 Murfreesboro Road – Suite 664 – Nashville, Tennessee 37217-2833
Telephone (615) 366-4430 FAX (615) 366-0784

MEMORANDUM

TO: John G. Morgan, Chancellor

FROM: David Gregory 

SUBJECT: Nashville State Community College

DATE: March 4, 2015

I have reviewed President Van Allen's letter dated February 13, 2015, requesting the College's faculty office building at the Nashville State Community College be known as "Ellen Weed Building."

Dr. Ellen Weed has over 30 years of service to Tennessee Board of Regents System. Her administrative roles within the system are with the community college, university, and governing board levels. In 2002 she received a Meritorious Service Award from the Commission on Colleges.

The naming committee met and approved this naming on March 3, 2015. The request is in compliance with TBR Policy 4:02:05:01 Naming Buildings and Facilities and Building Plaques.

I recommend that this request be approved.

Attachments



Nashville State
Community College

February 13, 2015

John G. Morgan, Chancellor
Tennessee Board of Regents
1415 Murfreesboro Road
Nashville, TN 37217

Dear Chancellor Morgan:

Pursuant to Policy 4:02:05:01, please accept my recommendation and attach your support to naming the College's faculty office building in recognition of Ellen Weed's service to the Tennessee Board of Regents. My recommendation is based on her good work and long tenure, and follows the endorsement of the College's Faculty Senate and approval of the Executive Committee. The Executive Committee, which is composed of the elected officers of the faculty, staff, and administration, voted unanimously in favor of doing so, after a motion by the President of the Faculty Senate and a second by the President of the Student Government Association. The Committee's action calls for the, now, unnamed facility to be labeled the Ellen Weed Building. A brief biography follows for any who may not be familiar with Dr. Weed's many roles and years within TBR.

Ellen J. Weed has served as Vice President for Academic Affairs at Nashville State Community College in Nashville, Tennessee for twenty years. She has worked within the Tennessee Board of Regents system for more than 30 years, with experience at the community college, university, and governing board levels. From 1984 – 1988 and 2000 – 2003, she was an Assistant Vice Chancellor for Academic Affairs on the Board of Regents staff. Prior to assuming administrative positions, she spent ten years teaching Sociology at Luther College in Decorah, Iowa and Austin Peay State University in Clarksville, Tennessee. She has been actively involved in regional accreditation activities through the Commission on Colleges of the Southern Association of Colleges and Schools, serving on more than 40 committees. In 2002 she received a Meritorious Service Award from the Commission on Colleges. Ellen earned her B.A., M. A., and Ph.D. degrees from the University of Michigan.

Sincerely,



George H. Van Allen
President

cc: Dr. Ellen Weed

EXECUTIVE COMMITTEE MEETING MINUTES
March 3, 2015

The Executive Committee met as scheduled. Members present were: Lauren Bell, Mary Cross, Ronald Davis, Kelvin Elston, Lisa Fletcher, Evelyn Hadley, Janusz Polanowski, Flora Setayesh, and George Van Allen.

The following actions were taken:

- Minutes of the February 3, 2015, meeting were approved.
- Naming of Building Honoring Dr. Ellen Weed
 - Motion made by Ronald Davis, Vice President of Academic Affairs, and seconded by Evelyn Hadley, Chair-Administrative Assembly. Motion passed unanimously.
- Revisions to NSCC Professional Development Guidelines and Procedures:
 - Motion made by Kelvin Elston, Chair-Faculty Senate, and seconded by Flora Setayesh, Executive Assistant to the President. Motion passed unanimously.

The following items were discussed:

- Professional Development
- Online Course Proposal and Redesign
- Faculty Job Description
- Cookeville
- Madison and East Davidson County Campuses
- Outcomes Formula
- Advertising and Novelty Items
- Huron Efficiency Project (TBR Study)
- TBR Completion Academy
- 2015-16 Budget

Reports for Assemblies/Faculty Senate/Student Life Council

- Staff Assembly: No report
- Administrative Assembly: Two initiatives in progress: 1) Charitable Giving Project for Safe Haven Family Shelter, and 2) Professional Development Project is planned for May 14.
- Faculty Senate: No report
- Student Life Council: No report

Adjourned: 3:10 p.m.
Respectfully submitted,
Judy Cook

Approved
FLA
3/3/15