

Board of Trustees Meeting March 23, 2017 Bell Hall 260

MINUTES

AGENDA ITEM 1-ROLL CALL, CALL TO ORDER, OPENING COMMENTS

The Tennessee Tech Board of Trustees met in regular session for its inaugural meeting on March 23, 2017, in Bell Hall 260. President Phil Oldham, upon request from Gov. Bill Haslam, called the meeting to order at 1:32 p.m.

President Oldham asked Kae Carpenter, University Counsel, to call the roll. The following members were present:

- Dr. Barbara Fleming
- Dr. Melissa Geist
- Ms. Trudy Harper
- Mr. Tom Jones
- Mr. Millard Oakley
- Mr. Purna Saggurti
- Mr. Johnny Stites
- Ms. Teresa Vanhooser
- Capt. Barry Wilmore

Members of the public were also in attendance.

AGENDA ITEM 2-REVIEW AND ADOPT THE BYLAWS

Ms. Carpenter presented an overview of the Board bylaws.

Mr. Oakley moved to consider the bylaws as a group and Capt. Wilmore seconded the motion. After an opportunity for discussion and there being none, the motion carried unanimously.

Mr. Oakley moved to adopt the bylaws and Capt. Wilmore seconded the motion. After an opportunity for discussion and there being none, Ms. Carpenter took a roll call vote and the motion carried unanimously.

AGENDA ITEM 3-ELECT THE BOARD OFFICERS

President Oldham opened the floor for nominations for chair. Mr. Oakley nominated Mr. Jones and Mr. Saggurti seconded the nomination. With no other nominations nor discussion, Mr. Jones was unanimously elected as chair.

Chair Jones opened the floor for nominations for vice chair. Ms. Vanhooser nominated Ms. Harper and Mr. Stites seconded the nomination. With no other nominations nor discussion, Ms. Harper was unanimously elected as vice chair.

AGENDA ITEM 4-APPROVAL OF BOARD POLICIES

Ms. Carpenter presented an overview of Board Policies 001-006.

Mr. Stites moved to consider the policies as a group and Capt. Wilmore seconded the motion. After an opportunity for discussion and there being none, the motion carried unanimously.

Mr. Saggurti moved to adopt the policies and Mr. Stites seconded the motion.

Ms. Harper inquired about implementation of Policy 002, which provides that the Board affirms the President, and asked if the Board needed to take an action to that affect either at this meeting or at the next meeting, if more appropriate. Chair Jones replied that affirmation of the President would take place under Other Business. Ms. Carpenter affirmed that it would be appropriate to affirm the President under Other Business of the current meeting.

There being no additional discussion, Ms. Carpenter took a roll call vote and the motion carried unanimously.

AGENDA ITEM 5-SELECTION OF STUDENT TRUSTEE

Chair Jones asked the three student nominees, Bobby Adams, Micayla Holton, and Nick Russell, to each make brief comments as to why s/he should be selected as the student trustee. At the end of the presentations, Mr. Stites nominated Mr. Russell and Ms. Vanhooser seconded the motion. After an opportunity for discussion and there being none, Mr. Russell was unanimously elected as the student trustee.

Dr. Fleming moved to establish a Student Advisory Council to include the three student nominees. Chair Jones stated that Mr. Russell will serve as chair of the Council but will receive input from Mr. Adams and Ms. Holton. Chair Jones asked each of the three students if it was her/his intention to be on campus for the relevant term and each affirmed that s/he so intended. At the end of the discussion, the Board members unanimously approved the formation of the Student Advisory Council.

At 2:00 p.m., Chair Jones requested a short recess to prepare for a special guest and to allow Mr. Russell to take his seat with the other trustees.

At 2:05 p.m., Chair Jones called the meeting back to order and Governor Bill Haslam joined the meeting. Governor Haslam thanked Board members, Majority Leader Ryan Williams, and others for their efforts in bringing about this historic occasion. Governor Haslam stated that it was difficult to estimate the impact that Tennessee Tech has but 90 percent of the Putnam County School teachers and 25 percent of the staff at Cookeville Regional Medical Center have degrees from Tennessee Tech. Governor Haslam also noted tht Tennessee Tech has taken graduates to space and to Wall Street. The Governor asked the trustees to ask themselves "What can I do to make this a better university?" and he also reminded them that Tennessee Tech is still part of the higher education system in Tennessee.

At the end of Governor Haslam's comments, the Board resumed its regular business.

AGENDA ITEM 6-APPOINTMENT OF COMMITTEE MEMBERS

Chair Jones stated that the committees, established by Board Policy 005, consist of the following committees: Academic/Student Affairs/Research/Advancement/Athletics (hereafter "Academic & Student Affairs"); Audit/Compliance/Finance/Compensation/Facilities (hereafter "Audit & Business"); and the Executive Committee.

In accordance with the bylaws and because of Mr. Stites' previous Tennessee Board of Regents experience, Chair Jones suggested Mr. Stites serve as the at-large member of the Executive Committee.

Dr. Fleming nominated Mr. Stites for the Executive Committee at-large member and Mr. Saggurti seconded the motion.

Chair Jones noted that committee appointments do not require a Board vote and are made at the discretion of the Chair. Chair Jones asked Dr. Fleming to chair the Academic & Student Affairs Committee and Ms. Vanhooser to chair the Audit & Business Committee. Dr. Fleming and Ms. Vanhooser both agreed to do so. Chair Jones then asked Capt. Wilmore, Dr. Geist and Mr. Russell to serve on the Academic & Student Affairs Committee and Mr. Oakley and Mr. Saggurti to serve on the Audit & Business Committee. All agreed to do so.

Chair Jones asked President Oldham if staff support could be provided for the committees. President Oldham confirmed that staff support would be made available to the committees.

Mr. Stites stated that the Board may want to add a clause in the mission of one of the committees or possibly establish a governance committee to monitor that the Board is doing the best job it can do. Chair Jones stated Mr. Stites' suggestion would be addressed at the first meeting of the Executive Committee. Ms. Harper stated that it may be appropriate for the Executive Committee to assume this responsibility.

AGENDA ITEM 7-RATIFICATION OF BOARD SECRETARY

Chair Jones asked President Oldham to provide qualifications for Kae Carpenter to serve as Board Secretary. After Dr. Oldham provided a brief summary of Ms. Carpenter's qualifications, Mr. Saggurti moved to ratify Ms. Carpenter as the Board Secretary and Mr. Stites seconded the motion. After an opportunity for discussion and there being none, the motion carried unanimously.

AGENDA ITEM 8-BOARD ACKNOWLEDGEMENT

Greg Holt, Compliance Officer, presented information related to Tennessee Tech's responsibilities as a participant in federal student aid programs, including the Board's need to acknowledge the Tennessee Tech's continued responsibilities as set forth in its Program Participation Agreement.

Mr. Oakley moved that the Board acknowledge Tennessee Tech's continued responsibilities under the Program Participation Agreement and request the Chair to advise the U.S. Department of Education of the same. Mr. Stites seconded the motion. After an opportunity for discussion and there being none, the motion carried unanimously.

AGENDA ITEM 9-PRESIDENT'S REPORT

President Oldham explained that his report would provide a high-altitude overview but it was his intent to host a retreat over the summer and go into more detail. He presented several slides to share the following information:

- 2011-2015 FTE Enrollment and Headcount-showed slight downward trends across Tennessee. Six out of nine universities have seen this trend; some loss was due to TN Promise. Tennessee Tech has recently seen a rise in first-time freshmen and transfer students:
- Tuition and Fees-compared to state peer institutions, Tennessee Tech has the lowest resident tuition and fees. Tennessee Tech wants to make education at Tennessee Tech very affordable;
- State Appropriations-fiscal year appropriations at Tennessee Tech are lower and growing more slowly than at most peer institutions since enactment of the Complete College Tennessee Act of 2010;
- State Appropriations Per Student FTE-even on a per student FTE basis, state appropriations were lowest among peer institutions in FY15/16;
- Retention Rates—have remained steady in the past three years and are within range of other Tennessee peer institutions. Tennessee Tech is near the top in public institutions in Tennessee. Last fall, Tennessee Tech reached a record high retention of 79 percent. In the past five years, retention has risen about 10 percent (from 70 percent to 79 percent);
- Six-year Graduation Rates—Tennessee Tech ranks second highest among state peer institutions, after UT-Knoxville;

- Student to Faculty Ratio-consistently decreasing over the past five years; currently at 19:1. This past year, Tennessee Tech was probably closer to 18:1, which was the initial goal four years ago;
- Top Return on Investment-Tennessee Tech continues to be rated as a top return on student investment for both public and private schools in Tennessee. This is based on cost of attendance and earning potential of graduates;
- Recent 10-year Reaffirmation with SACSCOC-Tennessee Tech scored a perfect score with no recommendations. This places Tennessee Tech in the top five to ten percent of all institutions that go through this review cycle.

Dr. Oldham stated that despite the fact that indicators are very positive, the challenges of a competitive higher education marketplace are real and need to continue to move forward.

President Oldham asked Dr. Claire Stinson, Vice President of Planning & Finance, to provide an overview of Tennessee Tech's financial health. Dr. Stinson reported that Tennessee Tech has audited financial statements conducted by the State of Tennessee, Division of State Audit, Financial Compliance Health. Tennessee Tech received an unmodified opinion for FY2016. The financial statement is based on strategic risk questions, composite financial index, primary reserve ratio (liquidity), viability ratio, return on net assets ratio, and net operating revenues ratio. Dr. Stinson presented the current financial state of Tennessee Tech. In the October revised budget: a) Recurring operating revenues supported recurring operation expenses. b) A two percent reserved fund balance was budgeted. In the May estimated budget: a) Reserves will need to be tapped to cover an unanticipated overage in scholarship awards – approximately \$2 million in FY2017. b) Permanent budget reductions of \$3.4 million in to be effective with FY2018 have been implemented to rebalance the budget. Challenges going forward include: a) Enrollment b) Outcomes Based Formula and c) Reserves.

Dr. Stinson stated that May estimated expenditures (FY2017) and July Proposed Expenditures (FY2018) will be presented to the Board for approval at the next meeting. Dr. Stinson also indicated that the challenges going forward include enrollment, outcomes based formula, and reserves.

Mr. Stites inquired if Tennessee Tech gets dollars from the state for planned/preventative maintenance Renewal & Replacement (R&R) funds over the life of the new buildings or is that something for which Tennessee Tech is responsible. Per Dr. Stinson, with the new student Recreation and Fitness Center, Tennessee Tech will maintain R&R funds for that particular building but will not get state maintenance dollars for that. For the new laboratory science building, which is a state-funded academic building, Tennessee Tech will be able to request maintenance funds through the state budget process but have to request those on an as-needed basis, in competition with any other needs on campus.

Mr. Stites inquired if Tennessee Tech had considered requesting enough funds to endow the maintenance over the life of the building. Dr. Stinson indicated that the answer was "no"; Tennessee Tech maintained R&R funds for major equipment such as the Banner ERP system and for telecommunications computer hardware, but does not maintain R&R funds for non-auxiliary, non-student financed buildings.

Mr. Saggurti inquired about Tennessee Tech's total debt. Dr. Stinson replied that amount is about \$60 million, primarily in auxiliaries in Housing-mostly on two new dorms and renovations of other dorms. Dr. Stinson also indicated that Tennessee Tech has debt for a couple of energy performance projects and will have debt for construction of the new student Rec Center.

Mr. Saggurti inquired if Tennessee Tech has an excess cash balance. Dr. Stinson replied that it does have some cash reserves not dedicated to the building process.

Capt. Wilmore inquired about the amount of reserves Tennessee Tech has. Dr. Stinson replied that it has about \$80 million in reserves currently.

Dr. Geist inquired about the \$2 million for which Tennessee Tech will tap into reserves this current year and how that plays into the overall budget cuts Tennessee Tech is facing. Dr. Stinson stated that the \$2 million is the amount of the scholarship awards problem that Tennessee Tech is dealing with this current fiscal year because the scholarship awards were \$2 million over what Tennessee Tech had budgeted for the fiscal year. Dr. Stinson stated the budget cuts covered the impact of scholarship awards going forward. Scholarship awards for Fall 2017 have already been made and the cost is another \$1.4 million, for a total of \$3.4 million, due to the fact that scholarships are awarded for eight semesters.

AGENDA ITEM 10-APPROVAL OF PLANNING AND FINANCE POLICIES

Dr. Stinson presented an overview of Planning & Finance Policies 501, 501.1, 511.1, 511.2, 511.3 and 520.

Chair Jones requested a motion to approve the policies as a group, a second motion to approve the policies, and a roll call vote for the second motion. Ms. Vanhooser moved to approve the policies as a group and Mr. Saggurti seconded the motion.

Ms. Harper requested an explanation for the references to the Administrative Council and the University Assembly and Dr. Stinson explained their roles on campus. Dr. Geist inquired if the budget to evaluate current financial status is presented to the same governing bodies of which Ms. Harper inquired. Dr. Stinson explained that the budget report is presented to the Budget Advisory Committee. At the close of the discussion, the motion carried unanimously.

Mr. Saggurti moved to adopt the policies and Mr. Stites seconded the motion. After an opportunity for discussion and there being none, Ms. Carpenter took a roll call vote and the motion carried unanimously.

AGENDA ITEM 11-APPROVAL OF NON-MANDATORY FEES

Dr. Stinson presented the following proposed 2017-2018 fee changes for select non-mandatory fees: Specialized Academic Course Fees (SACF), Miscellaneous Course Fees, Parking Permits, and Housing Fees.

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President Oldham explained that not all students are required to pay these fees because they are program specific and determined by whether they live on campus, whether or not they need a parking permit, etc.; the fees are returned to the academic units and help increase the quality of specific program instruction so that students benefit directly.

Mr. Saggurti inquired if the fees are lab fees and Dr. Oldham replied they could be considered as lab fees in the sciences area (e.g., for a Chemistry major, the Chemistry fee is mandatory.) Capt. Wilmore inquired if any of the fees are first-time fees and Dr. Stinson replied that a few are. Mr. Russell pointed out that these fees are per credit hour. Chair Jones asked if some of these fees are to help compensate for the budget shortfall and Dr. Stinson replied that they would help the different academic units cope with their reductions in resources. Dr. Stinson reiterated that all funds generated by the fees go toward instructional or student success; the funds cannot be used for the academic department's office or administrative functions. Dr. Stinson stated that the fees are specifically student-oriented and can be used for cost of instruction (e.g., chemicals used in Chemistry labs), transportation costs for Earth Sciences field courses, and also for student success needs (tutoring, etc.) in the College of Education.

Ms. Harper inquired what the rate of tuition per hour is and Dr. Stinson stated that amount is \$293 per credit hour. Mr. Stites questioned whether the fees information would be included in the Board's packets. Chair Jones replied that more detailed information was available in the Diligent board book. Dr. Oldham reiterated that the information is available in the Diligent board book and the mandatory fees reflect increases from \$5 to \$25. Dr. Stinson explained that there are also residential hall fees and the fee increase is proposed because residence halls must cover their own costs, service their own debt and establish R&R maintenance funds due to the fact that they are an auxiliary enterprise. Dr. Geist asked if a statement can be added that these fees must always be used as intended for each specifically designated area. Dr. Stinson replied that this is already part of the process.

Dr. Stinson also stated that Tennessee Tech has proposed miscellaneous course fees related to online MBA courses, master's of professional studies, professional science master's, and a golf fee. The costs are in line and will remain in line with what other schools are charging. Dr. Stinson also presented information on parking fee increases, stating that these fees pay for construction and maintenance of parking lots, and also provide a shuttle service for the students.

Mr. Saggurti requested clarification about information in the presentation, namely the note stating that 'student parking permit rates are reduced by \$50/year because of the campus access fee, which is applied to student parking permits only'. Dr. Stinson replied that the campus access fee gives students access to the fitness center, resources at the library, athletic events and some parking; it is a mandatory fee. Capt. Wilmore inquired of Dr. Stinson if she had an average of what all students pay per semester for all expenses. Dr. Stinson stated that this amount is approximately \$4500, including tuition but the increase would vary from student to student, depending on the student's major, etc. Dr. Stinson stated that the average cost for an Agriculture student taking 12 hours of Agriculture classes would be an increase of

about \$384 for next semester. These fees would become effective "Fall 2018" and would also include some tuition increases.

Mr. Russell stated that since tuition increases have been capped at three percent, it seemed schools were increasing non-mandatory fees five to ten percent each year to cover cost increases not covered by tuition increases. Mr. Russell ask if there was any way to project what amount of money is needed in mandatory fees to cover costs to allow for financial health and project forward to predict increases needed each year.

Mr. Russell also stated that although it was stated that the monies were going to student success, in Engineering, these monies were going toward renovating labs and asked what kind of metrics Tennessee Tech used to measure whether the fee increases were actually increasing student success appreciably. Dr. Stinson replied that Tennessee Tech was looking at those on the program level, departmental level, college level, university level, and also looking at retention and graduation rates to determine if student success initiatives were effective. Mr. Russell stated it would be useful if Tennessee Tech could say that over the last few years it had increased the fee by five percent yearly and had seen 'this kind' of student success increase in whatever metric Tennessee Tech was driving to. Mr. Russell stated that otherwise, it is difficult to justify the fee increase without metrics.

Chair Jones asked if, in general, with all fees, tuition, etc., how Tennessee Tech compared with other institutions, like UT-Knoxville or other Tennessee institutions. Dr. Oldham replied that Tennessee Tech was at about 60 percent of the cost to the student relative to UT-Knoxville and was comparable to other state institutions in terms of tuition. Dr. Oldham also stated that Tennessee Tech was at the lower end of that curve.

Dr. Oldham stated that in terms of overall affordability, Tennessee Tech was still at a very affordable level and after scholarships and fees waivers, the out-of-pocket expenses were quite low with about a 40 percent discount rate. Dr. Oldham said half of Tennessee Tech students graduated debt free. Dr. Oldham indicated that the average amount of student loans at graduation was about \$16-17,000, which is about half the national average and the three-year default rate was about five percent, which is among the lowest in the nation. Dr. Oldham stated that all global indicators were that Tennessee Tech was very affordable in terms of education and is attempting the difficult balance act of balancing the quality issues against affordability. Dr. Oldham noted that it was important to graduate students that have the resources they need to be successful; Tennessee Tech wants to make it as easy and light a load as possible, but that is an ongoing challenge.

Chair Jones called for a motion to accept all non-mandatory fees including specialized academic course fees, miscellaneous course fees, parking permit fees, and housing fees as a group. Mr. Saggurti so moved and Mr. Stites seconded the motion.

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¹ Dr. Stinson stated that the fees would become effective "Fall 2018" but intended to say "Fall 2017."

Capt. Wilmore asked if it was appropriate to say that the overall increase for one semester would be five to eight percent depending on a student's major. Dr. Oldham replied that assuming a three to four percent general tuition increase, that would be correct. Dr. Geist explained that to faculty, these fee increases would mean the difference between having a ratio of 10:1 as opposed to 6:1 in a first-semester nursing hospital clinical or a 250:1 ratio as opposed to a much smaller number of students in an entry-level chemistry class. Dr. Geist stated that the faculty try to deliver personalized, high-quality instruction to the students, take that endeavor seriously, and want to make sure that when students leave Tennessee Tech, they are flying. Dr. Stinson added that Tennessee Tech students receive just over \$20 million in state lottery scholarships to help pay their fees.

At the request of the Chair, Ms. Carpenter took a roll call vote. The motion carried with one "nay" vote from Capt. Wilmore.

Dr. Geist inquired when the last non-mandatory fee increase occurred and Dr. Stinson replied that the last fee increase was three years ago.

Governor Haslam stated "This is exactly what we hoped this Board would do and could not do before, with the larger organization: the Board fighting for the students and their families, the faculty explaining what it looks like in real life, and the President and the administration presenting the overall view."

Dr. Fleming commended Dr. Oldham by saying that she felt he had done a good job under difficult circumstances.

AGENDA ITEM 12-APPROVAL OF ACADEMIC AFFAIRS POLICIES

Dr. Ghorashi presented an overview of Academic Affairs policies 224, 225, 226 and 227.

Chair Jones recommended that the policies be considered as a group and Mr. Stites so moved. Mr. Saggurti seconded the motion.

Mr. Stites asked that Tennessee Tech make sure the students it is sending out to the workplace match up to what the workplace needs. Mr. Stites indicated that Tennessee Tech should consider a program that redirects unsuccessfully Tennessee Tech students to other institutions such as community colleges or Tennessee Colleges of Applied Technology (hereafter "TCAT"). Mr. Stites recommended that Tennessee Tech look at a procedure to redirect these students in an appropriate academic direction and help them find where they need to be. Mr. Saggurti stated that the Board might need the help of the Executive Director of the Tennessee Higher Education Commission, Mike Krause, to think through that statewide. Chair Jones stated that this issue could be brought back up at a later date.

At the close of the discussion, the motion carried unanimously.

AGENDA ITEM 13-APPROVAL OF ACADEMIC AFFAIRS MATTERS

Dr. Ghorashi presented a proposal for establishment of a new online M.S. degree in Accountancy in the College of Business. This program would increase Tennesseans' access to graduate accounting education.

Ms. Harper moved approval of the new program and Mr. Saggurti seconded the motion.

Mr. Stites inquired if the proposal was driven by the request of industry. Mr. Stites stated that it did not matter how many programs Tennessee Tech offered if there were not jobs for those students when they graduated. Tom Payne, Dean of the College of Business, replied that industry today is demanding more and more of graduates and this new program certainly was the result of an industry need to have not only degreed accountants, but also accountants that are moving toward completion of their Certified Public Accountant licenses. Dean Payne stated that the proposed program would move students through that professional licensure and makes the program available not only to accounting students and alumni but also to others across the state.

At the close of the discussion, the motion carried unanimously.

Dr. Ghorashi also presented a proposed change in Graduate Admission Policy for M.A. degree in the Department of Counseling and Psychology. Dr. Ghorashi stated that the proposed change in admission policy would be better aligned with Tennessee Tech's "Fast Track" program.

Ms. Vanhooser moved to approve the change and Dr. Geist seconded the motion. After an opportunity for discussion and there being none, the motion carried unanimously.

AFFIRMATION OF THE PRESIDENT

Chair Jones presented an item not on the agenda. Chair Jones stated that one of the Board's primary roles is to work through the President because the President is the Board's chief employee. He stated that he would not be on the Board if he did not have complete faith, respect and admiration for the leadership President Oldham has shown to Tennessee Tech and he is proud to be on the Board for that reason. Chair Jones noted that though the Board was not required to ratify the President's appointment, it seemed an omission to not make that statement of support at the Board's first meeting.

Chair Jones asked that the Board entertain a motion to affirm President Oldham as President of Tennessee Tech followed by a roll call vote. Mr. Saggurti so moved and Ms. Harper seconded the motion.

Mr. Stites stated that the vote was intended to be a clear affirmation of support for President Oldham and a statement that the Board strongly supports what President Oldham is doing for Tennessee Tech; he wanted there to be no misunderstanding. Ms. Harper stated that she would not be serving on the Board if Phil Oldham was not President and if the Governor had not asked her to serve. She also stated that her support for Tennessee Tech is driven currently by Dr. Oldham's leadership.

At the request of the Chair, Ms. Carpenter took a roll call vote. The motion carried unanimously.

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As Mr. Saggurti voiced his vote, he also thanked President Oldham.

AGENDA ITEM 14 - APPROVAL OF MEETING DATES

The Board set June 14 and 15, 2017, for its next regular meeting. Chair Jones proposed either having an Executive Committee meeting in the near future or asking the staff to identify additional possible dates.

AGENDA ITEM 15 - OTHER BUSINESS

Chair Jones asked if there was any other business and thanked Governor Haslam for providing this opportunity to Tennessee Tech. Governor Haslam thanked the Board again for the exchange over fees and tuition and reiterated that he hoped it would be a model for what will happen in the future. He stated he was leaving the meeting more excited than ever about Tennessee Tech.

AGENDA ITEM 16 - ADJOURNMENT

There being no further business, the meeting adjourned at 3:45 p.m.

Respectfully Submitted,
Kae Carpenter, Secretary



Agenda Item Summary

Date: June 15, 2017				
Division: Secretary of the Board				
Agenda Item: Revision to Board Policy 005 (Board Committees)				
Review	\boxtimes '	Action		No action required

PRESENTER: Kae

PURPOSE & KEY POINTS:

Policy 005 (Board Committees) is revised in several places, such as removing the following drafting errors:

- 1. The provision naming the President and Secretary ex officio members of committees; and
- 2. The provision that requires the Audit and Business Committee to review faculty promotion decisions.

The policy is revised to include working titles for

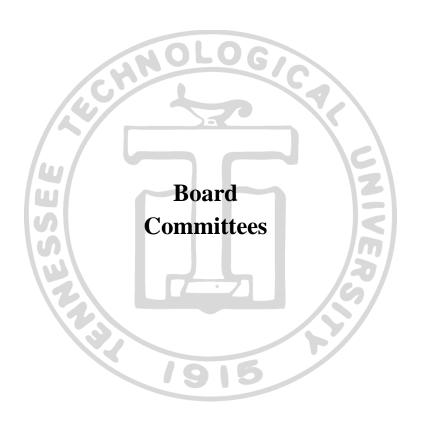
- 1. Academic/Student Affairs/Research/Advancement/Athletics ("Academic & Student Affairs Committee'); and
- 2. Audit/Compliance/Finance/Compensation/Facilities Committee ("Audit & Business Committee')

A provision is added to the Audit & Business Committee's duties to include oversight of information technology's major plans and strategies.

The duties of the Executive Committee are revised to include recommendations and actions, as allowed, related to the selection, retention, evaluation, compensation, benefits, etc. related to the President.

The duties of the Executive Committee are revised to include a review of the effectiveness of the Board, per Mr. Stites' and Ms. Harper's suggestions at the March 23, 2017, meeting.

Tennessee Technological University Policy No. 005



Effective Date: March 23, 2017

Policy No: 005

Policy Name: Board Committees

Policy Subject: Establishes committees and describes their structure and

responsibilities

I. Purpose

This policy establishes the committees of the Tennessee Tech Board and describes their structure and responsibilities.

II. Review

This policy will be reviewed every four year or whenever circumstances require review, whichever is earlier, by the Board or a committee designated by the Chair. In the case of the latter, recommendations for revision will be presented to the Board at a regular or special meeting.

III. Committees

A. Standing committees

- 1. The standing committees of the Board shall be
 - a. Academic/Student Affairs/Research/Advancement/Athletics
 - **b.** Audit/Compliance/Finance/Compensation/Facilities
 - c. Executive
- 2. The authority of the standing committees shall be subject to action by the entire Board, except as otherwise provided by law. The committees' actions must be authorized and approved by the Board before becoming effective unless the Board delegates to the committee the authority to act on its own behalf.

B. Structure of the committees

- 1. Each standing committee shall have at least three voting members who shall each serve a two-year term and may be reappointed to consecutive terms.
- 2. Each standing committee shall have a chair who shall serve a two-year term and may be reappointed to consecutive terms.
- **3.** The Board Chair shall appoint members and chairs of the standing committees, with the exception of the Executive Committee.

- **4.**—The Board Chair shall serve as an ex officio member of all standing committees, entitled to vote.
- 6-5. Each committee shall have a Tennessee Tech administrator to assist with its work.

C. Special committees

The Board Chair or Vice Chair may appoint special committees for specific assignments. Membership may be as determined appropriate. The chair of a special committee shall be designated by the Board Chair at the time the special committee is appointed. Matters assigned to a special committee shall be subject to action and approval by a designated standing committee or the Board before becoming effective.

IV. Matters Related to Committee Meetings

- A. The Executive Committee shall meet as often as necessary to carry out its responsibilities. All other standing committees shall meet at the call of the Board Chair or committee chair.
- **B.** Meetings may be called by the Board Chair, the President, or the committee chair.

C. Notice of meeting and agenda

- When feasible, committee members shall receive at least five days' notice of
 meetings to include the purpose of the meeting. The notice may be delivered by
 any reasonable means.
- When feasible, a copy of the agenda and related materials shall accompany notice of the meeting.
- **3.** Matters not appearing on the agenda of a standing or special committee meeting may be considered only upon an affirmative vote of the entire committee.
- **4.** Standing committee chairs may designate items to be included on a consent agenda for the committee; provided that the following items may not be placed on a committee consent agenda:
 - **a.** Amendment of the bylaws;
 - **b.** The annual operating budget, including student tuition and fee proposals for which Board approval is required;
 - c. Funding requests for capital outlay and capital maintenance projects;

- **d.** Revenue or institutionally funded capital projects; and
- e. Any other item on which a roll call vote will be required in the full Board meeting.
- **D.** A majority of the voting members of each standing or special committee shall constitute a quorum for the transaction of business. In the absence of a quorum, those attending may adjourn the meeting until a quorum is present.
- E. Minutes shall be made of all standing and special committee meetings and provided to the Board Chair, the President, and the Secretary to the Board. The minutes shall be maintained as the official record of such meetings.
- **F.** All meetings of standing and special committees shall be open to the public except as authorized by a statutorily or judicially recognized exception to the Tennessee Open Meetings Act, T.C.A. §8-44-101 et seq.

V. Committee Duties

A. Academic/Student Affairs/Research/Advancement/Athletics Committee ("Academic & Student Affairs Committee")

The committee shall oversee the quality of academic programs and services and student life consistent with Tennessee Tech's mission. The committee shall make recommendations to the Board relating to:

- Approval of proposals for new academic programs and the significant revision of existing programs;
- **2.** Ensuring and protecting, within the context of faculty-shared governance, Tennessee Tech's educational quality and its academic programs;
- 3. Approval of admission, progression, retention, and graduation standards;
- 4. Institutional accreditations, program accreditations, and program reviews;
- **5.** Promoting the welfare of students attending Tennessee Tech;
- **6.** Review and approve policies related to academic and student affairs consistent with TTU Board Policy 003 (Board Delegation of Authority);
- 7. Oversight of programs seeking to extend Tennessee Tech's scientific, technological, commercialization, and educational expertise to communities, counties, agencies, and organizations in the state, nationally, and globally;
- 8. Review the operation of the Tennessee Tech's intercollegiate athletics programs and

assist the Board in carrying out its responsibility of those programs;

- **9.** Exercise oversight of Tennessee Tech programs related to private gifts, alumni support, public relations, and communications and marketing;
- 10. Review and approval of policies related to research, advancement, and athletics matters consistent with TTU Board Policy 003 (Board Delegation of Authority); and
- 11. Other areas as directed by the Board.

B. Audit/Compliance/Finance/Compensation/Facilities Committee <u>("Audit & Business Committee")</u>

- The committee shall have the authority to direct Tennessee Tech's management to initiate and address specific audit and compliance issues within the mandate of the committee. It may conduct, authorize, or facilitate any audit or investigation appropriate to fulfill its oversight responsibilities.
- 2. The committee shall adopt and maintain a charter consistent with state law and any Tennessee Comptroller of the Treasury's requirements. The committee shall submit the charter and any subsequent revisions to the Board for approval.
- The committee is responsible for and shall make recommendations to the Board related to:
 - a. Audit engagements with the Tennessee Comptroller's Office including the integrity of financial statements and compliance with legal and regulatory requirements;
 - **b.** Audit engagements with external auditors;
 - c. Internal audit activities;
 - d. Internal audit administration;
 - Internal controls and compliance with laws, regulations, and other requirements;
 - **f.** Risk and control assessments;
 - g. Fraud, waste, and abuse prevention, detection, and reporting;
 - Review and approval of policies related to audit and compliance matters, consistent with TTU Board Policy 003 (Board Delegation of Authority);

- Monitoring Tennessee Tech's financial performance and reporting to the Board;
- Reviewing and recommending annual and long-range operating, capital, and maintenance budgets;
- k. Reviewing and recommending rates for student tuition and fees;
- 1. Overseeing financial reporting and related disclosures;
- m. Recommending adoption or modification of capital improvement plans and the facilities master plan, advocating for new structures, and rehabilitating or removing older structures;
- Recommending appropriate action with regard to the acquisition and disposition of real property;
- Acting on matters related to personnel, including faculty and staff compensation and, tenure; , and promotion;
- •-p. Reviewing or acting on matters related to information technology planning and strategy, including significant technology investments;
- Prg. Reviewing and approving policies related to finance, compensation and facilities, consistent with TTU Board Policy 003 (Board Delegation of Authority);
- **q-r.** Reviewing and approving policies related to audit and compliance matters, consistent with TTU Board Policy 003 (Board Delegation of Authority); and
- F.S. Other areas as directed by the Board.

C. Executive Committee

- 1. The Executive Committee shall be composed of the Chair and Vice Chair of the Board, and one at-large voting member elected by the Board. The Chair of the Board shall be the chair of this committee.
- 2. The Executive Committee may act for the Board between regular Board meetings on urgent matters except the following, which shall be reserved to the Board:
 - **a.** Presidential selection, evaluation, and termination;

- **b.** Amendments to the Board bylaws;
- **c.** Sale or disposition of real estate;
- d. Tenure decisions;
- e. Maintenance fees, tuition, and other student fees;
- f. Capital budget request prepared for submission to the Tennessee Higher Education Commission for consideration for inclusion in the Governor's budget proposal;
- g. Adoption of the annual budget; and
- a. Conferral of degrees.
- **3.** The Executive Committee shall ensure the integrity of the Board and is responsible for:
 - a. Establishing and maintaining standards of Board conduct by monitoring compliance with TTU Policy 001 (Board Code of Ethics and Conduct and Conflict of Interest);
 - b. Making recommendations or taking action, as allowed, relating to the selection, retention, evaluation, termination, compensation, benefits, and performance management of Tennessee Tech's president.
 - **b.c.** Assessing the performance <u>and effectiveness</u> of the Board and Board members;
 - **e.d.** Ensuring an effective orientation and ongoing professional development for Board members;
 - **d.c.** Periodically reviewing and ensuring compliance with the Board bylaws and other Board policies, recommending amendments when appropriate;
 - e.f. Reviewing the committee structure of the Board for continued effectiveness;
 - f.g. Overseeing the work of the other standing committees; and
 - g.h. Other areas as directed by the Board.

3. Interpretation

The Board Chair or his/her designee has the final authority to interpret the terms of this policy.

4. Citation of Authority for Policy

T.C.A. § 49-8-201(f)(8)(B)

Approved by Board of Trustees: March 23, 2017
Revised by Board of Trustees: March 23, 2017



Agenda Item Summary

Date: June 15, 2017					
Division: Secretary of the Board					
Agenda Item: Delegation of Limited Authority to Secretary to Make Technical Changes in Policies and Rules					
Review	Action	No action required			
PRESENTER: Kae					

PURPOSE & KEY POINTS:

Policies and rules, in particular, often need technical changes such as correcting typographical errors, changing titles of reviewers, etc. By delegating authority to the Secretary to make these changes, the Board will not have to review them.



Agenda Item Summary

Date: June 15, 2017					
Division: University Counsel					
Agenda Item: Review of New Board Policy 007 (Free Speech on Campus)					
Review	Action	No action required			
PRESENTED: Kan					

PURPOSE & KEY POINTS:

Policy 007 is in response to new legislation (The Campus Free Speech Protection Act", 2017 Public Acts, Chapter 336), which requires the Board to adopt a policy that provides certain protections related to speech on campus. The provisions in this draft policy are drawn almost verbatim from the statute.

The draft policy bars Tennessee Tech from, inter alia, limiting where students can protest, establishing permitting requirements for student free speech activities, charging students fees for increased security because of the content of the speech, and preventing students and faculty from inviting guest speakers. The policy also delegates authority to the President to revise or draft other policies consistent with Policy 007.

Tennessee Technological University Policy No. 007



Effective Date: January 1, 2018

Policy No.: 007

Policy Name: Free Speech on Campus

Policy Subject: Affirmation of Principles of Free Speech

I. Purpose

The purpose of this policy is to affirm the principles of free speech on Tennessee Tech's campus.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the University Counsel with recommendations for revision presented to the Board of Trustees.

III. Definitions

- A. "Constitutional time, place and manner restrictions"—restrictions on the time, place, and manner of free speech that do not violate the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution that are reasonable, content- and viewpoint-neutral, narrowly tailored to satisfy a significant institutional interest, and leave open ample alternative channels for the communication of the information or message of its intended audience.
- B. "Faculty" or "Faculty Member"—any person, whether or not the person is compensated by Tennessee Tech, and regardless of political affiliation, who is tasked with providing scholarship, academic research or teaching. For the purposes of this policy, "faculty" includes tenured and non-tenured professors, adjunct professors, visiting professors, lecturers, graduate student instructors and those in comparable positions, however titled. For the purposes of this policy, "faculty" does not include persons whose primary responsibilities are administrative or managerial.
- C. "Free Speech"—speech, expression, or assemblies protected by the First Amendment of the United States Constitution or Article I, Section 19 of the Tennessee Constitution, verbal or written, including but not limited to, all forms of peaceful assembly, protests, demonstrations, rallies, vigils, marches, public speaking, distribution of printed materials, carrying signs, displays, or circulating petitions. "Free speech" does not include the promotion, sale, or distribution of any product or service.

D. "Student"—

1. An individual currently enrolled in a course of study at Tennessee Tech: and

2. An organization that is comprised entirely of individuals currently enrolled in a course of study at Tennessee Tech and is registered with Tennessee Tech pursuant to TTU Policy 315 (Student Organizations).

IV. Policy

- A. Tennessee Tech affirms that Students have a fundamental right to Free Speech.
- B. Tennessee Tech is committed to giving Students the broadest possible latitude to speak, write, listen, challenge, learn, and discuss any issue, subject to limitations set forth in this policy or in state or federal law.
- C. Tennessee Tech is committed to maintaining a campus as a marketplace of ideas for all Students and all Faculty in which the free exchange of ideas is not to be suppressed because the ideas put forth are thought by some or even by most members of Tennessee Tech's community to be offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed.
- D. Students and Faculty are allowed to make judgments about ideas for themselves and to act on those judgments not be seeking to suppress Free Speech, but by openly and vigorously contesting the ideas they oppose.
- E. It is not Tennessee Tech's role to attempt to shield individuals from Free Speech, including ideas and opinions they find offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrongheaded.
- F. Although Tennessee Tech greatly values civility and mutual respect, Tennessee Tech will not use concerns about civility and mutual respect as justification for closing off the discussion of ideas, however offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed those ideas may be to some Students or Faculty.
- G. Although all Students and all Faculty are free to state their own views about and contest the views expressed on campus, and to state their own views on Tennessee Tech's campus they may not substantially obstruct or otherwise substantially interfere with the freedom of others to express views they reject or even loathe. To this end, Tennessee Tech promotes a lively and fearless freedom of debate and deliberation an protects that freedom.
- H. Tennessee Tech is committed to providing an atmosphere that is most conducive to speculation, experimentation, and creation by all Students and all Faculty, who are always free to inquire, to study, and to evaluate, and to gain new understanding.

- I. The primary responsibility of Faculty is to engage in an honest, courageous, and persistent effort to search out and communicate the truth that lies in the areas of their competence.
- J. Although Faculty are free in the classroom to discuss subjects within areas of their competence, Faculty shall be cautious in expressing personal views in the classroom and shall be careful not to introduce controversial matters that have no relationship to the subject taught, and especially matters in which they have no special competence or training and in which, therefore, Faculty's views cannot claim the authority accorded the statements they make about subjects within areas of their competence; provided, no Faculty will face adverse employment action for classroom speech, unless it is not reasonably germane to the subject matter of the class as broadly construed, and comprises a substantial portion of classroom instruction.
- K. Tennessee Tech will maintain the generally accessible, open, outdoor areas of its campus as traditional public for a for Free Speech by Students.
- L. Tennessee Tech will not restrict Students' Free Speech only to particular areas of the campus,
- M. Tennessee Tech will not deny student activity fee funding to a student organization based on the viewpoints that the student organization advocates.
- N. Tennessee Tech will not establish permitting requirements that prohibit students' spontaneous outdoor assemblies or students' outdoor distribution of literature but will allow members of the Tennessee Tech community to reserve certain outdoor space in advance, consistent with TTU Policy 121 (Access To and Use of Campus Property and Facilities).
- O. Tennessee Tech will not charge Students security fees or costs based on the content of their speech, the content of guest speakers invited by students, or the anticipated reaction or opposition of listeners to speech.
- P. Tennessee Tech will allow all Students and all Faculty to invite guest speakers to campus to engage in Free Speech regardless of the views of guest speakers.
- Q. Tennessee Tech will not disinvite a speaker invited by a Student, student organization, or Faculty Member because the speaker's anticipated speech may be considered offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed by Students, Faculty, administrators, government officials, or members of the public.

V. Effect of Policy

- A. Nothing in this policy shall require Tennessee Tech to fund costs associated with student speech or expression.
- B. Nothing in this policy shall be construed as prohibiting Tennessee Tech from imposing measures that do not violate the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution such as:
 - 1. Constitutional time, place, and manner restrictions;
 - 2. Reasonable and viewpoint-neutral restrictions in nonpublic forums;
 - 3. Restricting the use Tennessee Tech's property to protect the free speech rights of students and faculty and preserve the uses of the property for the advancement of Tennessee Tech's mission;
 - 4. Prohibiting or limiting speech, expression, or assemblies that are not protected by the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution; or
 - 5. Content restrictions on speech that are reasonably related to a legitimate pedagogical purpose, such as rules enacted by Faculty.

VI. Implementation

The Board delegates authority to the President to revise or implement policies and procedures consistent with the policy.

VII. Interpretation

The Board Chair or his/her designee has the final authority to interpret the terms of this policy.

VIII. Citation of Authority for Policy

2017 Public Acts, Chapter 336

IX. Approved by:



PUBLIC CHAPTER NO. 336

SENATE BILL NO. 723

By Overbey, Tracy, Bailey, Bowling, Briggs, Crowe, Gresham, Kelsey, Niceley, Stevens, Yager

Substituted for: House Bill No. 538

By Smith, McCormick, Lamberth, Harry Brooks, Mark White, DeBerry, Dunn, Williams, Moody, Kane, Coley, Ragan, Rogers, Daniel, Terry, Powers

AN ACT to amend Tennessee Code Annotated, Title 49, relative to education.

BE IT ENACTED BY THE GENERAL ASSEMBLY OF THE STATE OF TENNESSEE:

SECTION 1. Tennessee Code Annotated, Title 49, Chapter 7, is amended by adding Sections 2 through 9 of this act as a new part.

SECTION 2. This part shall be known and may be cited as the "Campus Free Speech Protection Act."

SECTION 3. The requirements of this part shall apply to every public institution of higher education in this state.

SECTION 4. (a) The general assembly finds and declares that public institutions of higher education in Tennessee are not immune from the sweep of the First Amendment to the United States Constitution or Article I, Section 19, of the Tennessee Constitution, which guarantees freedom of speech and expression.

- (b) It is the intent of the general assembly that the public institutions of higher education embrace a commitment to the freedom of speech and expression for all students and all faculty.
- (c) It is further the intent of the general assembly that public institutions of higher education, including their faculty, shall not require students or other faculty to adopt or to indicate their adherence to beliefs or orthodoxies on any particular political, philosophical, religious, social, or other such subject, although institutions may require students and faculty to conform their conduct to the requirements of law and policy.
- (d) It is further the intent of the general assembly that public institutions of higher education not stifle freedom of speech and expression by implementing vague or overbroad speech codes, establishing free speech zones, imposing unconstitutional prior restraints on speech, or disinviting speakers based on the anticipated reaction or opposition of others to the content of speech.

SECTION 5. As used in this part, unless the context requires otherwise:

- (1) "Constitutional time, place, and manner restrictions" means restrictions on the time, place, and manner of free speech that do not violate the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution that are reasonable, content- and viewpoint-neutral, narrowly tailored to satisfy a significant institutional interest, and leave open ample alternative channels for the communication of the information or message to its intended audience;
- (2) "Faculty" or "faculty member" means any person, whether or not the person is compensated by a public institution of higher education, and regardless of political affiliation, who is tasked with providing scholarship, academic research, or teaching. For purposes of this part, the term "faculty" shall include tenured and non-tenured professors, adjunct

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professors, visiting professors, lecturers, graduate student instructors, and those in comparable positions, however titled. For purposes of this part, the term "faculty" shall not include persons whose primary responsibilities are administrative or managerial;

- (3) "Free speech" means speech, expression, or assemblies protected by the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution, verbal or written, including, but not limited to, all forms of peaceful assembly, protests, demonstrations, rallies, vigils, marches, public speaking, distribution of printed materials, carrying signs, displays, or circulating petitions. "Free speech" does not include the promotion, sale, or distribution of any product or service;
 - (4) "Institution" means an institution of public higher education in this state; and
 - (5) "Student" means:
 - (A) An individual currently enrolled in a course of study at the institution; and
 - (B) An organization that is comprised entirely of individuals currently enrolled in a course of study at the institution, that is registered with an institution pursuant to institutional rules.

SECTION 6. (a) The governing body of every institution shall adopt a policy that affirms the following principles of free speech, which are the public policy of this state:

- (1) Students have a fundamental constitutional right to free speech;
- (2) An institution shall be committed to giving students the broadest possible latitude to speak, write, listen, challenge, learn, and discuss any issue, subject to Section 9;
- (3) An institution shall be committed to maintaining a campus as a marketplace of ideas for all students and all faculty in which the free exchange of ideas is not to be suppressed because the ideas put forth are thought by some or even by most members of the institution's community to be offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrongheaded:
- (4) It is for an institution's individual students and faculty to make judgments about ideas for themselves, and to act on those judgments not by seeking to suppress free speech, but by openly and vigorously contesting the ideas that they oppose;
- (5) It is not the proper role of an institution to attempt to shield individuals from free speech, including ideas and opinions they find offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed;
- (6) Although an institution should greatly value civility and mutual respect, concerns about civility and mutual respect shall never be used by an institution as a justification for closing off the discussion of ideas, however offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrongheaded those ideas may be to some students or faculty;
- (7) Although all students and all faculty are free to state their own views about and contest the views expressed on campus, and to state their own views about and contest speakers who are invited to express their views on the institution's campus, they may not substantially obstruct or otherwise substantially interfere with the freedom of others to express views they reject or even loathe. To this end, an institution has a responsibility to promote a lively and fearless freedom of debate and deliberation and protect that freedom:
- (8) An institution shall be committed to providing an atmosphere that is most conducive to speculation, experimentation, and creation by all students and all faculty, who shall always remain free to inquire, to study and to evaluate, and to gain new understanding;
- (9) The primary responsibility of faculty is to engage an honest, courageous, and persistent effort to search out and communicate the truth that lies in the areas of their competence;

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- (10) Although faculty are free in the classroom to discuss subjects within areas of their competence, faculty shall be cautious in expressing personal views in the classroom and shall be careful not to introduce controversial matters that have no relationship to the subject taught, and especially matters in which they have no special competence or training and in which, therefore, faculty's views cannot claim the authority accorded statements they make about subjects within areas of their competence; provided, that no faculty will face adverse employment action for classroom speech, unless it is not reasonably germane to the subject matter of the class as broadly construed, and comprises a substantial portion of classroom instruction;
- (11) An institution shall maintain the generally accessible, open, outdoor areas of its campus as traditional public forums for free speech by students;
- (12) An institution shall not restrict students' free speech only to particular areas of the campus, sometimes known as "free speech zones";
- (13) An institution shall not deny student activity fee funding to a student organization based on the viewpoints that the student organization advocates;
- (14) An institution shall not establish permitting requirements that prohibit spontaneous outdoor assemblies or outdoor distribution of literature, although an institution may maintain a policy that grants members of the college or university community the right to reserve certain outdoor spaces in advance;
- (15) An institution shall not charge students security fees based on the content of their speech, the content of the speech of guest speakers invited by students, or the anticipated reaction or opposition of listeners to speech;
- (16) An institution shall allow all students and all faculty to invite guest speakers to campus to engage in free speech regardless of the views of guest speakers; and
- (17) An institution shall not disinvite a speaker invited by a student, student organization, or faculty member because the speaker's anticipated speech may be considered offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed by students, faculty, administrators, government officials, or members of the public.
- (b) The policy adopted pursuant to subsection (a) shall be made available to students and faculty annually through one or more of the following methods:
 - (1) Published annually in the institution's student handbook and faculty handbook, whether paper or electronic;
 - (2) Made available to students and faculty by way of a prominent notice on the institution's internet site other than through the electronic publication of the policy in the student handbook and faculty handbook:
 - (3) Sent annually to students and employees to their institutionally-provided email address; or
 - (4) Addressed by the institution in orientation programs for new students and new faculty.
- (c) Nothing in this section shall be construed to grant students the right to disrupt previously scheduled or reserved activities occurring in a traditional public forum.
- SECTION 7. (a) With respect to disciplining students for their speech, expression, or assemblies, an institution shall adopt a policy on "student-on-student harassment" defining the term consistent with and no more expansively than the language contained in subsection (b).
- (b) As used in this section, "student-on-student harassment" means unwelcome conduct directed toward a person that is discriminatory on a basis prohibited by federal, state, or local law, and that is so severe, pervasive, and objectively offensive that it effectively bars the victim's access to an educational opportunity or benefit.

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SECTION 8. Nothing in this part shall require an institution to fund costs associated with student speech or expression. An institution shall not impose costs on students or student organizations on the basis of the anticipated reaction or opposition to a person's speech by listeners.

SECTION 9. Nothing contained in this part shall be construed as prohibiting an institution from imposing measures that do not violate the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution such as:

- (1) Constitutional time, place, and manner restrictions;
- (2) Reasonable and viewpoint-neutral restrictions in nonpublic forums;
- (3) Restricting the use of the institution's property to protect the free speech rights of students and faculty and preserve the use of the property for the advancement of the institution's mission;
- (4) Prohibiting or limiting speech, expression, or assemblies that are not protected by the First Amendment to the United States Constitution or Article I, Section 19 of the Tennessee Constitution; or
- (5) Content restrictions on speech that are reasonably related to a legitimate pedagogical purpose, such as classroom rules enacted by faculty.

SECTION 10. The governing body of each public institution of higher education in this state is authorized to promulgate rules to effectuate the purposes of this act in accordance with the Uniform Administrative Procedures Act, compiled in title 4, chapter 5.

SECTION 11. For purposes of promulgating rules, this act shall take effect upon becoming a law, the public welfare requiring it. For all other purposes, this act shall take effect January 1, 2018, the public welfare requiring it.

SENATE BILL NO. 723

PASSED: May 1, 2017

RANDY MCHALLY SPEAKER OF THE SENATE

BUH HOUSE OF REPRESENTATIVES

APPROVED this 9th day of May 2017

BILL HASLAM, GOVERNOR



Agenda Item Summary

Date: Ju	ine 15, 2017				
Division: Secretary of the Board					
Agenda Item: Revision to Bylaw 1.3 Related to Review/Approval of Mission Statement					
	Review	\boxtimes	Action		No action required
			•		

PRESENTER: Phil

PURPOSE & KEY POINTS:

Tennessee Tech is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). SACSCOC Comprehensive Standard CS 3.2.2.1 calls for governing board control of an institution's mission. To demonstrate that Tennessee Tech is in compliance with the standard, Tennessee Tech must refer to "Charter, Bylaws, or state codes or statutes*" that indicates the governing board's legal authority and responsibility for Tennessee Tech's mission. To meet this requirement, Bylaw 1.3 is revised to include "Review and approve the mission of Tennessee Tech" as one of the Board's powers.



ARTICLE 1: THE BOARD OF TRUSTEES

1.1 AUTHORITY OF THE BOARD

The management and governance of Tennessee Technological University is vested in the Board of Trustees, subject only to statutory limitations.

1.2 MEMBERSHIP

- **A.** The composition of the membership of the Board of Trustees ("Board"), the terms of office, and the conditions of membership are as provided in Tennessee Code Title 49, Chapter 8 and are incorporated by reference into these bylaws as if fully set forth herein, including all future amendments.
- **B.** Members shall receive no compensation for their services, but shall be entitled to reimbursement for travel expenses incurred in the performance of their official duties in conformity with the comprehensive travel regulations as promulgated by the State of Tennessee Department of Finance and Administration and approved by the Attorney General and Reporter.

1.3 POWERS OF THE BOARD

The Board has the power to:

- **A.** Select and employ the chief executive officer ("President") of Tennessee Technological University ("Tennessee Tech") and to confirm the appointment of administrative personnel, faculty, and other employees and their salaries and terms of office,
- **B.** Review and approve the mission of Tennessee Tech,
- C. Approve curricula and requirements for diplomas and degrees,
- **D.** Approve the operating budgets and set the fiscal policies, including tuition rates, for Tennessee Tech, subject to any statutory limitation on that power,
- **E.** Establish policies and regulations regarding the campus life at Tennessee Tech, including, but not limited to, the conduct of students, student housing, parking, and safety,

- **F.** Establish policies defining residency of students, subject to any statutory limitation,
- **G.** Establish policies and regulations related to employees,
- **H.** Grant tenure to eligible members of the faculty upon the positive recommendation of the President,
- **I.** Assume general responsibility for the operation of Tennessee Tech, delegating to the President such powers and duties as are necessary and appropriate for the efficient administration of Tennessee Tech,
- **J.** Receive donations of money, securities, and property from any source on behalf of Tennessee Tech and use such donations in accordance with the conditions set by the donor,
- **K.** Purchase land subject to the terms and conditions of state regulations, to condemn land, and to erect buildings and equip them for Tennessee Tech subject to the requirements of the state building commission, the master plan approved by the Tennessee Higher Education Commission, and to the terms and conditions of legislative appropriations,
- **L.** Delegate and provide for the further delegation of any and all its powers subject to limitations expressly set forth in law,
- **M.** Exercise any power granted by statute, and
- **N.** Exercise any other powers not otherwise prohibited by law that are necessary to govern Tennessee Tech.

1.4 RESPONSIBILITIES OF THE BOARD

Board members are required to

- **A**. Be free of any contractual, employment, or personal or familial financial interest in Tennessee Tech, to the extent required by statute, rule, or accrediting standards,
- **B.** Be free from undue influence from political, religious, or other external bodies and protect Tennessee Tech from such influence,
- C. Be transparent in all Board actions to the extent required by the law,

- **D.** Not direct matters of administration or of executive action except through the President,
- **E.** Represent the interest of the entire university rather than any single constituent part,
- **F.** Not speak on behalf of Tennessee Tech unless authorized to do so by the Board or chair of the Board,
- **G.** Participate in all Board meetings and events, absent good cause,
- **H.** Stay informed, to the extent practical, about the educational and business affairs of Tennessee Tech.

1.5 OFFICERS OF THE BOARD

- **A.** The Board shall elect from its members a chair, vice chair, and other officers the Board deems appropriate. The officers shall serve a term of two (2) years.
- **B.** The chair and vice chair may be elected to consecutive terms without limitation.
- **C.** The chair shall preside when present at meetings of the Board and shall be the spokesperson for the Board unless otherwise directed by the Board. The chair shall perform such other duties as prescribed by the Board and by the bylaws.
- 1. In the absence of the chair, the vice chair shall preside at meetings of the Board and otherwise perform the duties of the chair.
- **2.** In the absence of the chair and vice chair, the Board may temporarily appoint a member to preside.
- **3.** A Board officer may voluntarily relinquish his/her officer position by submitting a letter of resignation to the Board's secretary with an effective date.
- **D.** A Board officer serves at the pleasure of the Board. A Board officer may be removed from office by a two-thirds (2/3) vote of the Board members eligible to vote.
- **E.** In the case of a vacancy or expired term, the Board shall elect a new officer at the next meeting of the Board.
- **F.** The Board shall ratify or reject the President's appointment of a Board secretary.

ARTICLE 2: MEETINGS OF THE BOARD

2.1 MEETINGS SUBJECT TO THE TENNESSEE OPEN MEETINGS ACT

All Board meetings for which a quorum is required to make a decision or to deliberate toward a decision are open to the public, except as authorized by a statutory or judicially recognized exception to the Tennessee Open Meetings Act.

2.2. REGULAR MEETINGS

- **A.** The Board shall meet at least four (4) times each fiscal year.
- **B.** The Board's secretary shall provide at least five (5) days' written notice of the regular meetings to all Board members. Notice may be provided by any reasonable means.

2.3 SPECIAL MEETINGS

- **A.** The chair, vice chair, President, or the Board's secretary, the latter upon the written request of three (3) or more of Board members eligible to vote, may call a special meeting, provided the call states the business to be considered.
- **B.** If the business to be considered requires immediate action, a special meeting may be called with less than five (5) days' notice. Notice may be provided by any reasonable means in the circumstances.

2.4 AGENDAS

- **A.** The Board's secretary, upon advice from the President and the Board chair, shall prepare an agenda for every meeting.
- **B.** If feasible, an agenda will accompany each notice of a regular or special meeting of the Board.

2.5 QUORUM

Five voting members shall constitute a quorum for taking Board action.

2.6 MANNER OF TAKING ACTION

A. All votes of the Board shall be by public vote as defined by Tennessee Code Annotated Section 8-44-104(b), public ballot, or public roll call. No secret votes, secret ballots, or secret roll calls are allowed.

- **B.** The action of a majority of the quorum of Board members eligible to vote and present at any meeting shall be the action of the Board, except as otherwise prescribed by the bylaws, Board policy, or statute.
- C. The Board may permit any or all members to participate in a meeting by, or conduct the meeting through, use of any means of telephonic or electronic communication.
- 1. The meeting must be audible to the public at the location specified in the notice of the meeting as the location of the meeting.
- **2.** All participating members must be able to both hear all members and speak to all members during the meeting.
- **3.** Any member participating by telephone or electronically shall identify the persons present in the location from which the member is participating.
- **4.** Any member who participates in a meeting covered by this provision shall be deemed "present" at the meeting.
 - 5. A public roll call vote is required on all matters.
- **D.** A public roll call vote of the Board is required on all motions regarding budget approval, fees or tuition increases, capital expenditures, bylaw(s) or rule(s) revision, adoption, or repeal, or in any case required by law or deemed desirable in the judgment of the chair. Upon request of any member present, a public roll call vote may be called for on any matter, provided the member requests a public roll call vote before announcement of the public vote previously taken.
- E. Any item selected by the chair or referred to the Board with unanimous support from a Board committee may be presented to the Board on a consent calendar at the recommendation of the committee chair.
- 1. The consent calendar shall be considered at the next regularly scheduled meeting of the Board and all items on the consent calendar shall be considered en bloc.
- 2. If two or more members so request, an item shall be removed from the consent calendar, provided the request is made in writing to the chair and secretary, not later than two hours prior to convening of the Board meeting at which the consent calendar will be considered. The secretary will notify the Board of the request as soon as practicable.
- **3.** An item may be removed from the consent calendar at the discretion of the chair at any time.
- **F.** The Board may adjourn any regular or special meeting to any future date. If a

quorum is not present, the members in attendance may adjourn any regular or special meeting until a quorum is present.

2.7 MINUTES

The Board's secretary shall take minutes at each meeting of the Board and maintain approved minutes as the official record of such meeting.

ARTICLE 3: BOARD COMMITTEES

Subject to statutory requirements, the Board may establish such committees as it deems appropriate or necessary and shall define by policy their duties, reporting requirements, and appointments of members.

ARTICLE 4: OFFICERS OF TENNESSEE TECH

4.1 OFFICERS

- **A.** The officers of Tennessee Tech shall be its President, a Board's secretary appointed by the President, and such other officers as deemed necessary by the President to conduct Tennessee Tech and Board business and provide support to the Board. The officers shall have such authority and perform such duties as set forth in the law, in these bylaws, and as the Board or the President prescribes.
- **B.** In the event of a vacancy or notice of an impending vacancy in the office of President, the Board shall appoint an interim President as provided by Board policy. In the event of a vacancy or notice of an impending vacancy in any office other than President, the President may appoint an individual to serve in an interim or permanent capacity, subject to the annual confirmation of the Board of the President's employment actions

4.2 APPOINTMENT AND DUTIES OF THE PRESIDENT

- **A.** The Board shall appoint a President who shall be the executive and governing officer of Tennessee Tech.
- **B.** The President shall have full authority over the administration of all affairs and operations of Tennessee Tech, subject to any statutory powers retained by the Board or specifically delegated by the Board to other Tennessee Tech officers.

- C. The President is authorized, consistent with the law and Board policies, to appoint, determine compensation and duties of, promote, demote, suspend, or terminate other officers and employees of Tennessee Tech and shall report such actions to the Board annually for confirmation.
- **D.** The President shall at least annually report to the Board all significant matters within the President's knowledge related to Tennessee Tech.
- **E.** The President shall perform such other duties as assigned by the Board.

ARTICLE 5: MISCELLANEOUS PROVISIONS

- 5.1 Any determination that any provision of these bylaws is for any reason inapplicable, invalid, illegal, or otherwise ineffective shall not affect or invalidate any other provision of these bylaws.
- 5.2 The Board may temporarily suspend any bylaw by a two-thirds (2/3) vote of the voting members present at the regular or special meeting in which the bylaw is to be suspended.
- **5.3** Any Board member may propose to alter, amend, restate, or repeal a bylaw by submitting a written request to the Secretary at any regular or special meeting. The Board will vote on any such request at the next regular or special meeting.
- 5.4 Anyone who wishes to address the Board must submit a written request to the Board's secretary to be received at least fifteen days prior to the scheduled meeting of the Board, absent good cause. The request must include the requestor's contact information and the subject matter to be addressed.
- **A.** The Board's secretary, in consultation with the chair, may either place the requested item on the agenda or notify the requestor in writing of the reason for rejecting the request. The secretary will, as soon as practicable, notify the other Board members of the request and the disposition of the matter.
 - **B.** The Board may limit a speaker's time for any such address.



Agenda Item Summary

Date: June 15, 2017			
Division: Secretary of the Box	ard		
Agenda Item: Review of Curr	ent Mission Statement, \	ision Statement, and Strategic Plan	
Review [Action	No action required	
PRESENTER: Phil			

PRESENTER: Phil

PURPOSE & KEY POINTS:

Tennessee Tech's vision statement was revised in 2012 when it was developing the new strategic plan, Flight Plan. The vision statement is bold and *aspirational*, *which* describes what Tennessee Tech would like to become and the university's future goals.

Tennessee Tech's mission statement addresses teaching, learning, research, and service. The mission statement was reviewed and approved by the Tennessee Board of Regents on March 25, 2011, with the Strategic Plan.

The Flight Plan now serves as the TTU strategic plan, guides implementation of the TTU mission through its focus areas: undergraduate education, technology, distinctiveness, and infrastructure and resources.

TENNESSEE TECH'S VISION STATEMENT

Tennessee Tech will be nationally recognized as a leading technological university in the South, providing academic, economic and cultural leadership in the region and producing practical, ready-to-work graduates from a broad range of academic disciplines prepared to excel in a technologically driven world.

TENNESSEE TECH'S MISSION STATEMENT

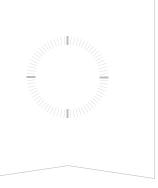
Tennessee Technological University's mission as the state's only technological university is to provide leadership and outstanding programs in engineering, the sciences, and related areas that benefit the people of Tennessee and the nation. The University also provides strong programs in the arts and sciences, business, education, agriculture and human ecology, nursing, music, art and interdisciplinary studies. Tennessee Tech serves students from throughout the state, nation, and many other countries, but it retains a special commitment to enrich the lives of people and communities in the Upper Cumberland region of Tennessee.

The University is committed to the life-long success of students in its undergraduate, master's, specialist, and doctoral degree granting programs through high-quality instruction and learning experiences. The University is engaged in scholarly activity, especially basic and applied research, creative endeavors, and public service, with special emphasis on community and economic development. The University supports student participation in a broad array of extracurricular activities as an integral component of its commitment to student life and success.

The University's three interdisciplinary Accomplished Centers of excellence in Energy Systems Research, Manufacturing, and Water Resources and Chairs of Excellence in Business Administration strengthen the instructional, research, and service mission of the University.

The University is as supportive of women as of men and as supportive of those in the minority as of those in the majority. The University provides educational opportunities to all eligible persons without regard to age, gender, ethnicity, race, religion, national origin, disability, or sexual orientation. The institution is committed to an inclusive and diverse campus that enriches the educational experience, promotes personal growth and a healthy society, prepares students for success in a global economy, and enhances America's economic competitiveness.





FROM THE PRESIDENT

Dear Friends of Tennessee Tech

IT'S TIME TO ADDRESS THE QUESTION: WHAT WILL TENNESSEE TECH UNIVERSITY BECOME?

Imost 100 years ago, a handful of like-minded people willed this university into existence through their vision and hard work. Today, we owe it to this university and all it stands for to define and differentiate our vision and to get to work.

Why the urgency? Our mission and challenges have changed. Change in higher education is constant and rapid. We are expected to help drive economic development, supply the next generation workforce with specific skills, create intellectual property, and enroll and graduate record numbers of students.

Doing the same things the same way is no longer an option. The time has come to adapt so that we achieve the bottom line—the success of our graduates and the added value we deliver to the communities we serve. We have to be bold, fearless and swift. In a sense, we have to be true eagles.

So our vision is this: Tennessee Tech will be nationally recognized as a leading technological university in the South, providing academic, economic and cultural leadership in the region and producing practical, ready-to-work graduates from a broad range of academic disciplines prepared to compete in a technologically driven world.

♦ VISION STATEMENT Tennessee Tech will be nationally recognized as a leading technological university in the South, providing academic, economic and cultural leadership in the region and producing practical, ready-to-work graduates from a broad range of academic disciplines prepared to compete in a technologically driven world.

During the past year, more than 50 members of the campus community have dared to be bold, swift and fearless in developing Flight Plan: Focused for the Future. Now it's time to make Flight Plan a part of this university's fabric so we can fulfill our vision. Within this plan, you will find initiatives that address our challenges, action plans that move us forward and measurements for evaluation. You also will find how we will approach accountability and funding.

Flight Plan gives us a new approach, and there are checkpoints to mark our progress along the way. This is a journey. An African proverb says, "If you want to go fast, go alone. If you want to go far, go together." I invite you to read on, get involved and join us as we boldly take Tennessee Tech University forward.

PHILIP B. OLDHAM · TTU President

Phip B. Oldh





FLIGHT PLAN

A Mirror Becomes a Strategic Lens

AS STUDENTS, FACULTY, STAFF AND ADMINISTRATORS, WE NEEDED TO TAKE A LONG LOOK AT OURSELVES IN THE MIRROR AND ASK SOME HARD QUESTIONS.

s a university, who are we? What do we want to become? We had to analyze our efforts and programs to see clearly our current standing and the needs of our campus community. That mirror turned into a strategic lens through which we began to envision our future as a leading technological university in the South.

Suggestions, complaints, expectations and ideas from students, faculty and staff became a needs list. Some needs were immediate and will be addressed right away, and achievement is expected during the 2013-2014 fiscal year.

Other needs will be addressed over a longer term, but we need more input and guidance

from students and faculty – or infrastructure, technology or funding – to move forward.

In essence, we are going to remove the obstacles students face in enjoying and completing college and those that faculty tackle in teaching and mentoring students, and in guiding and commercializing research.

It's all about helping students earn their degrees. Everything we do will support TTU's commitment to develop students who are hard-working, critical thinkers prepared for a global environment.

These observations from students and faculty identify current needs.

Undergraduate students want to gain

real-world problem solving experience by concentrating on co-curricular activities and pursuing research opportunities.

- Students have asked for improvements in advising, registration and scheduling.
- TTU's retention and graduation rates are strong relative to in-state peers but lag behind aspirational institutions.
- Faculty need resources to incubate interdisciplinary research ideas and to create opportunities for external funding.
- Graduate degree offerings should evolve and adapt in areas of market demand.
- TTU must increase the use of technology.
 Students are bringing more mobile devices to campus, and they want information via digital channels.
- Campus infrastructure must improve to meet student, faculty and community needs.
- Business practices are out of date and inefficient, specifically the hiring and procurement processes.

BASED ON THE NEEDS LISTED, TTU will focus on these four goals:

ONE

Improve undergraduate student experience.

TWO

Transform technology.

THREE

Create distinctive programs and invigorate faculty.







Improve UNDERGRADUATE STUDENT EXPERIENCE

SINCE ITS FOUNDING IN 1915, Tennessee Tech's commitment to educating students has not wavered. It remains our highest priority nearly 100 years later, despite the changing culture and expectations of higher education and the demands of a global society.

n order to attract the brightest students to TTU, and keep them engaged throughout their undergraduate years, we must offer them an experience unmatched by other technological universities.

To understand student expectations and meet demands, we must stay in touch with them, establishing relationships and building a familial culture in which we can identify and address problems before a student becomes discouraged and quits.

The Complete College Tennessee Act requires us to get serious about helping students complete their degrees and addressing the state's economic development, workforce development and research needs. State universities are accountable for

increasing the educational attainment levels of all Tennesseans.

First-time freshmen withdraw from the university for numerous reasons, from homesickness to financial need to academic struggles. Our job is to encourage students to finish their degrees by ensuring resources are available, the instruction is exceptional, and the learning environment is second to none. +





Take Action TO IMPROVE

WE WILL HELP OUR STUDENTS succeed at TTU by taking the following actions.

MOTIVATE

Motivate TTU students to stay in college and maintain a high GPA by implementing a peer-based, student mentoring and early intervention program to encourage students to go to class.

GIVE

Give students access to courses they need to graduate on time and reduce overall college expenses.

ESTABLISH

Establish an advising system that expands the number of professional advisors and supports faculty-student mentorship.

FOCUS Focus on inco

Focus on incoming student quality and diversity.

Improve student recruitment and use of scholarships.

ENSURE

Ensure consistency in availability and quality of academic advising across all colleges.

PROVIDE

IMPROVE

Provide students with a distinctive and relevant undergraduate experience.

IDENTIFY

Identify high-demand courses and increase capacity by hiring faculty and evaluating classroom space issues.

METRICS OF SUCCESS

Retention

Fall to Spring Retention Rate

Degrees

Degrees Conferred

First-to-Second

First-to-Second Year Retention









Transform TECHNOLOGY

TENNESSEE TECHNOLOGICAL UNIVERSITY: Our reason for existence is in our name. When TTU was established, no sage could have conceived of the technologies dominating society today. Everything from weather predictions to business transactions and communication happens through the use of technology.

technological education can no longer be confined to the engineering disciplines.

Agriculture students use Geographic Information Systems to plan herd movements. Nurses rely on information technology for accurate patient information and an understanding of increasingly complex medical procedures. Teachers from Pre-K programs through higher education must grasp the capabilities of high-tech devices and know how to

apply technology-based learning techniques in the classrooms.

"If we surround good faculty with good support and good students, you end up with an outstanding environment," said Reid Christenberry, chief information officer, who joined TTU in 2013. "It will happen. If you leave any one of the three out, it won't. We have the good students and good faculty.

We just need to make sure we've got good support."

Technology is inescapable, no matter the career and lifestyle choices of TTU students and graduates.

As a leading technological university dedicated to producing insightful, innovative, critical thinkers for tomorrow's workplace, Tennessee Tech must make several new commitments to our students, faculty and staff. •



() DELIVERY

Faculty have a subject area we study. We know our area, but the method of delivery for that has changed. Students today are multi-sensory. They want to hear it, they want to see it, they want to consume it in a number of ways.

CARL OWENS

Professor
Curriculum and Instruction
AT TTU SINCE 1981



Take ActionTO TRANSFORM

WE WILL HELP OUR STUDENTS connect and communicate at TTU by taking the following actions.

IMPROVE

Improve technology service to students by meeting student need for connectivity and support.

SUPPORT

Support a technology-forward student experience and meet student expectations.

STRENGTHEN

Strengthen technology capabilities in infrastructure and services.

ESTABLISH

Establish a fund to promote innovation.

SUPPORT

Support faculty in the application of technology in the classroom.

METRICS OF SUCCESS

Wi-Fi

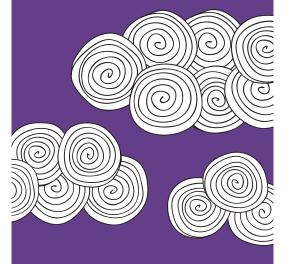
Reduce Wi-Fi Dark Spots

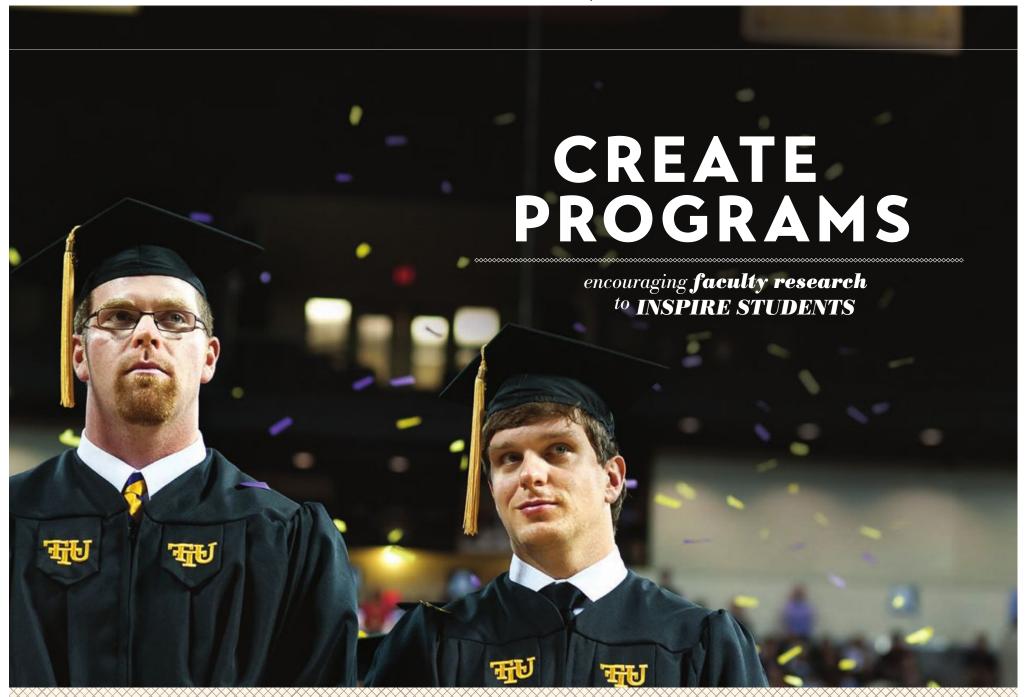
Service

Improve Service Desk Visits

Switches

Increase Switches and Access Points









Create DISTINCTIVE PROGRAMS AND INVIGORATE FACULTY

EMPLOYERS CONSISTENTLY PRAISE TENNESSEE TECH GRADUATES as hard-working, capable, critical thinkers.

Without question, our undergraduates leave TTU ready to work as entrepreneurs, brilliant engineers, nurses who pass the licensure exam on the first attempt, business leaders, and nationally acclaimed artists and musicians. They lead Fortune 500 companies, open orphanages in Africa, become astronauts, and invent technologies that change the lives of people worldwide.

ennessee Tech graduates are practical and ready to work when faculty are engaged in mentoring students, working alongside them in research endeavors and encouraging undergraduates to pursue a graduate education or career path that involves meaningful research.

Only when faculty members are inspired to pursue research opportunities themselves will students see the benefits of practically applying their knowledge and skills to create solutions for real-world challenges.

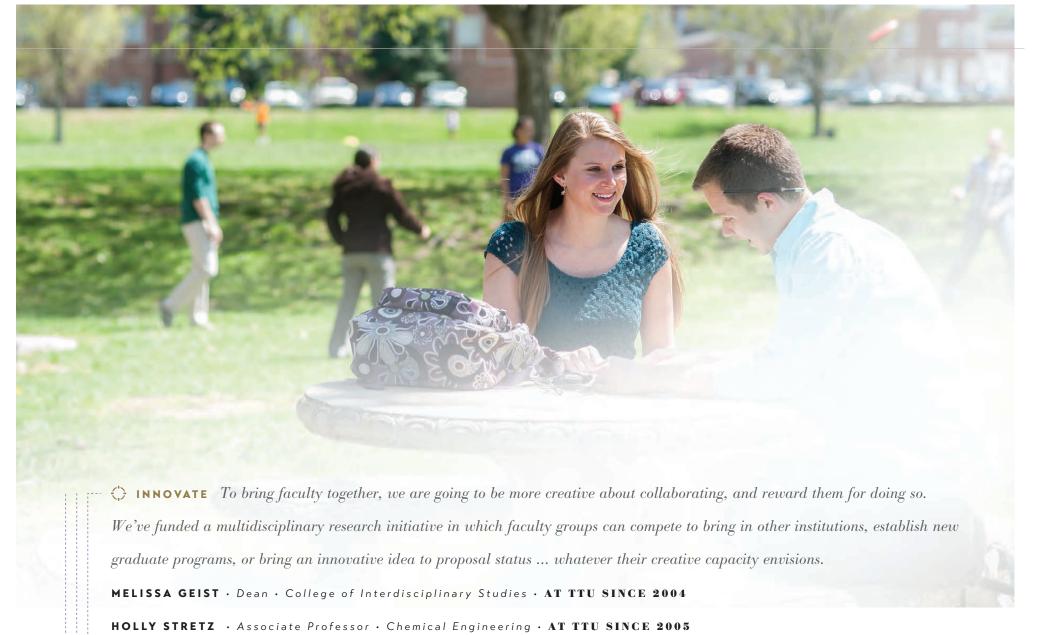
The Flight Plan has identified ways to encourage faculty to work across disciplines on imaginative research initiatives.

One professor has said, "If we want the students to be engaged, we have to rebuild that culture every fall. How can we do that if we're not all working together as a team, if we're not all engaged in building a learning community amongst ourselves?"

Let's build a campus community where nursing

students study abroad with language majors to gain an understanding of healthcare practices in other countries. When business professors take students abroad to study marketing processes, they invite engineering students to redesign the product to better meet consumer needs.

The possibilities for interdisciplinary study and research are endless, limited only to the creative capacity of Tennessee Tech faculty and their willingness to explore new opportunities and ideas. •





Take Action TO CREATE

WE WILL ENCOURAGE OUR STUDENTS to think critically at TTU by taking the following actions.

PROVIDE

Provide undergraduate research opportunities and emphasize co-curricular activities to motivate students to think critically.

ESTABLISH

Establish an incubator to cultivate distinctive research opportunities, seek prospects for research partnerships and expand funded research.

EVALUATE

Evaluate academic structure to promote cross-disciplinary work and support faculty collaboration.

IMPROVE

Improve graduate recruitment and enrollment processes in order to attract high quality graduate students.

OFFER

Offer new graduate degree programs in high-demand, distinctive areas.

PROVIDE

Provide infrastructure and technology support to faculty, encouraging digital learning opportunities and enabling faculty to devote more time to teaching and mentoring students.

METRICS OF SUCCESS

Degrees

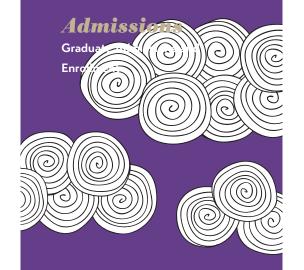
Master's and Doctoral Degrees Conferred

Awards

Research Proposals and Awards

Research

Externally Funded Research









FOUR

Expand FINANCIAL RESOURCES AND MODERNIZE INFRASTRUCTURE

COLUMNS AND CUPOLAS help create our distinct physical presence, and they visually represent our tradition and strength. As we head into our Centennial year, students, faculty and the community have been clear about what can make our infrastructure better.

hey have frequently asked for more green space, more commuter parking spaces, enhanced facilities and greater dining capacity.

These needs will be addressed as we move into major construction projects within our master plan.

The proposed academic quadrangle stands as a key element of a renewed and transformative master plan. In addition to the historic, or main, quadrangle, two

outdoor spaces will be created. The new campus lawn will extend to the north and the academic quad will extend to the west and provide access to the new science building and future buildings.

Modernizing infrastructure extends to Athletics. TTU student athletes consistently outperform Ohio Valley Conference peers in the classroom. Their dedication to academics must be supported with a university

commitment to their athletic training, preparation and performance, including upgraded facilities.

Visitors easily will see the outward campus transformation, but changes will also be happening internally to sustain the type of growth that will make us successful. A new data-driven enrollment model will help us manage how we choose to grow, generate tuition dollars and structure scholarships. •





Take Action TO EXPAND

WE WILL GROW WITH OUR STUDENTS by taking the following actions.

IMPROVE

Improve experience for all students, faculty and staff with modernized facilities and excellent service.

IDENTIFY

Identify and plan funding for infrastructure priorities, including a physical sciences laboratory building.

BROADEN

Broaden financial resources through sustainable growth.

STREAMLINE

Streamline administrative requirements by simplifying business processes and leveraging technology to improve effectiveness.

ASSIST

Assist all varsity sports teams by supporting efforts to hire, recruit and retain coaches and improve facilities.

PLAN After so many years of tight budgets, to be able to look at issues and plan and take action, it's uplifting. JEFF ROBERTS · Professor · History · AT TTU SINCE 1991

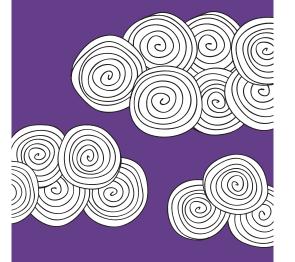
METRICS OF SUCCESS

Expenditures

Operating Expenditures Per Student Full-Time Enrollment

Endowment

Endowment Per Student
Full-Time Enrollment





FLIGHT PLAN

Sources of Funds

FUNDING OUR PRIORITIES BEGINS WITH A HARD LOOK AT HOW WE ARE SPENDING THE FUNDS WE HAVE AVAILABLE.

e will begin with a stronger focus on operational effectiveness and showing strong stewardship. As we find ways to save money and become more efficient, we will reinvest those savings in our academic efforts.

"We will help each college, department and faculty member learn how Flight Plan relates to their plans and actions," said Bahman Ghorashi, provost and vice president of academic affairs, who joined TTU in 2013. "Successful actions—those

that help us improve performance in our four focus areas—will become funding priorities."

To be competitive, we must evaluate our opportunities to increase enrollment. With few exceptions, academically strong public institutions have relatively large enrollments. We will explore how to get the most out of scholarships and review enrollment strategies.

Many of Flight Plan's undergraduate education priority actions are designed to

increase overall success in the Complete College Tennessee Act funding formula, including emphasis on graduation and retention.

External funding increases will come through several efforts to expand gifts and endowment support, increase sponsored research funding and form partnerships.

Plus, we see huge potential for a return on investment in inspiring students and faculty to be true innovators, entrepreneurs and researchers. BASED ON OUR
PRIORITIES, TTU will:

STRENGTHEN

Strengthen TTU's ability to recruit excellent students through improved use of scholarships.

CREATE

Create sustainable enrollment model.

IDENTIFY

Identify new revenue streams.

GROW

Grow endowment and private funding levels.

PROMOTI

Promote tudent of the part of

a leading



FLIGHT PLAN

Measuring Our Success

IMPROVEMENTS IN THESE UNIVERSITY-WIDE AREAS ARE OUR MEASURES OF SUCCESS. WE WILL DEFINE SUCCESS BY BECOMING THE UNIVERSITY WE DESCRIBE IN OUR VISION STATEMENT.

easurements such as six-year graduation rates take years to reflect changes, but we will look at our performance at unit and department levels on monthly, semester and annual timetables. Operational metrics will allow us to see what is working and what is not so we can adjust and improve our day-to-day efforts.

One example of operational metrics that almost every college student can relate to is the increase in the number of parking spaces on campus. Other examples include reducing the time to complete the hiring of campus employees and the number of redesigned courses. On the technology side, the number of help calls completed by a tech service desk or a decrease in Wi-Fi dark

spots will reflect our service to students.

What we hold ourselves accountable for day by day will make the difference.

Feedback and flexibility are keys to Flight Plan's success. We will continue to talk to our students, faculty, staff and other stakeholders so that we have the information to stay on course.

THRIVE Universities thrive when there is passion and personal commitment. But we need to focus our passion and actions based on what the data tells us about our strengths and challenges. The data will tell a story we must listen to attentively.

PHILIP B. OLDHAM · President · AT TTU SINCE 2012

METRICS OF SUCCESS

Admissions

ACT Score Range and FTE Enrollment

Degrees

Bachelor's, Master's and Doctoral Degrees Conferred

Rates

Retention and Six-Year
Graduation Rates

Finances

Research Expenditures
Per Faculty, Operating
Expenditures Per Stu
Endowment Per S



June 15, 2017, Board Materials - Executive Committee Report and Recommendations





This report was produced by the offices of the President and Communications & Marketing.

TTU does not discriminate on the basis of race, color, national origin, sex (gender), disability (ability), or age in its programs and activities.

The following person has been designated to handle inquiries regarding the non-discrimination policies:

Director of Diversity & Legal Affairs, PO Box 5164, Cookeville, TN 38505, 931-372-3016; affirmact@tntech.edu. Pub# 045-0CV-14



Agenda Item Summary

Date: June 15, 2017			
Division: Internal Audit			
Agenda Item: Policy 132-	Conflict of Interest		
Review	Action	No action required	

PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

This policy defines general conflict of interest principles, offers examples of potential conflicts of interest, describes conflict of interest disclosure requirements, describes the process used to evaluate and render decisions on potential conflicts of interest, and describes the appeals process regarding those decisions.

Per the Tennessee Comptroller's Guidelines for Audit Committee Charters, the audit committee is charged with reviewing the Conflict of Interest Policy to ensure that the term "conflict of interest" is clearly defined, the policy is comprehensive, the policy requires annual sign-off, and potential conflicts are adequately resolved and documented.

Tennessee Technological University Policy No. 132



Effective Date: July 1, 2017

Policy No.: 132

Policy Name: Conflict of Interest **Policy Subject:** Conflict of Interest

Effective Date: July 1, 2017

I. Purpose

All employees of Tennessee Tech serve the interests of the State of Tennessee and its citizens and have a duty to avoid activities and situations that, either actually or potentially, put personal interests before the professional obligations they owe to the State and its citizens. This policy is to 1) define the general principles that guide the actions of Tennessee Tech employees, 2) offer illustrations of activities that potentially constitute a Conflict of Interest, 3) make employees aware of disclosure requirements related to conflicts of interest, 4) describe the process by which those disclosures shall be evaluated and decisions rendered, and 5) describe the appeals process regarding such decisions.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Conflict of Interest Committee and the Audit & Committee as necessary, with recommendations for revision presented to the Administrative Council and University Assembly.

III. Scope

This policy applies to all persons employed by Tennessee Tech including full time, part-time, and temporary employees.

IV. Definitions

- **A.** Conflict of Interest: when the personal interests, financial or otherwise, of a person who owes a duty to Tennessee Tech actually or potentially oppose with the person's professional obligations to and the best interests of Tennessee Tech. For the purposes of this policy, a Conflict of Interest with a vendor or contractor also creates a Conflict of Interest with any sub-vendor or sub-contractor of the vendor or contractor.
- **B.** Family Member: a spouse or child, dependent or non-dependent, of a person covered by this policy.

V. Policy

A. This policy is intended to be consistent with all pertinent federal and state laws, regulations, and policies, as well as with other Tennessee Tech policies. To the extent that conflicts arise, federal and state laws, regulations, and policies shall take precedence. The regulations below are not intended to be exhaustive, and additional laws, regulations, and policies may be implicated in a given Conflict of Interest situation.

- 1. For information and guidance related to federally-funded research and applicable federal regulations, see Tennessee Tech Policy 735 Conflict of Interest in Research.
- **2.** Other Federal agencies (e.g., the Veterans' Administration or the Food and Drug Administration) may require as a condition to a contract disclosure and management of conflicts of interest (see, for example, Veterans' Administration Acquisition Regulation 852.209-70).
- **3.** Various statutes contained in the Tennessee Code Annotated (T.C.A.) are pertinent to the issues of conflicts of interest at Tennessee Tech, including but not limited to the statutes listed below. It is significant to note that violation of some of these statutes may lead to criminal penalties.
 - **a.** T.C.A. § 8-50-501, Disclosure statement of conflict of interests by the President of Tennessee Tech.
 - **b.** T.C.A. § 12-2-208, Purchase by officer unlawful penalty for violation
- "(a) (1) Except as provided in subsection (b), it is hereby declared unlawful for any state, city or county officer, employee or such officer's or employee's agent to buy or offer to buy any of the property to be sold hereunder except by bid at public auction during the tenure of such person's office or employment, or for six (6) months thereafter.
- (2) Any such person violating or attempting to violate this subsection (a) or subsection (b) shall be dismissed and discharged from such person's respective job or position, and shall forfeit any pay or compensation which might be due such person. In addition thereto, any such sale is hereby expressly declared null and void, and such person shall, in addition, forfeit all right and title in the property.
- (3) A violation of this section is a Class C misdemeanor.
- **(b)** Notwithstanding subdivision (a)(1), it is declared unlawful for any state, city or county officer, employee or such officer's or employee's agent directly or indirectly involved in the confiscation of such property to buy or offer to buy any of the property to be sold hereunder. It is further declared unlawful for officers and employees designated by the procurement office, in accordance with applicable regulations of the procurement commission, to buy or offer to buy any of the property to be sold hereunder."
- c. T.C.A. §§ 12-2-415—417, State surplus property disposition
- § 12-2-415: "All arrangements, contracts, agreements, trusts, or combinations between persons or corporations made with a view to lessen, or which tend to lessen, full and free competition in the disposal of state surplus personal property, under this part, and all arrangements, contracts, agreements, trusts or combinations between persons or corporations designed to, or which tend to, control the price, which the state receives for such property, or the cost to the purchaser of such property, are declared to be against public policy, unlawful, and void."

- §12-2-416: "A violation of § 12-2-415 is a Class E felony."
- §12-2-417: "A state employee who violates § 12-2-415 shall be punished by removal from employment in the state service and shall be prohibited from such employment for a period of five (5) years, in addition to the penalties provided in § 12-2-416."
- **d.** T.C.A. § 12-4-106, Prohibition against receiving rebates, gifts, money or anything of value Conflict of interest
- "(a) No officer or employee of the central procurement office, nor any member of the procurement commission, nor any head of any state department, institution or agency, nor any employee of any state department, institution or agency charged with the responsibility of initiating requisitions, shall accept or receive, directly or indirectly, from any person, firm or corporation to whom any contract for the purchase of goods or services for the state may be awarded, by rebate, gifts, or otherwise, any money or anything of value whatsoever, or any promise, obligation, or contract for future rewards or compensation.
- (b)(1) It is a Conflict of Interest for any person or any company with whom such person is an officer, a director, or an equity owner having an ownership interest greater than one percent (1%) to bid on any public contract for goods or services for a governmental entity if such person or the immediate Family Member of such person is a member of a board or commission having responsibility for letting or approving such contract.
- (2) As used in this subsection (b):
- (A) "Governmental entity" means any state agency, authority, board, commission, department, or office within the executive, legislative or judicial branch of state government or any autonomous state agency, authority, board, commission, department, office, or institution of higher education; and\
- (B) "Immediate family" means spouse, dependent children or stepchildren, or relatives related by blood or marriage."
- e. T.C.A. § 12-4-101—104, Conflict of Interest
- § 12-4-101 (a)(1) "It is unlawful for any officer, committee member, director, or other person whose duty it is to vote for, let out, overlook, or in any manner to superintend any work or any contract in which any municipal corporation, county, state, development district, utility district, human resource agency, or other political subdivision created by statute shall or may be interested, to be directly interested in any such contract. "Directly interested" means any contract with the official personally or with any business in which the official is the sole proprietor, a partner, or the person having the controlling interest. "Controlling interest" includes the individual with the ownership or control of the largest number of outstanding shares owned by any single individual or corporation.
- (b) It is unlawful for any officer, committee member, director, or other person whose duty it is to vote for, let out, overlook, or in any manner to superintend any work or any contract in which any municipal corporation, county, state, development district, utility

district, human resource agency, or other political subdivision created by statute shall or may be interested, to be indirectly interested in any such contract unless the officer publicly acknowledges such officer's interest. "Indirectly interested" means any contract in which the officer is interested but not directly so, but includes contracts where the officer is directly interested but is the sole supplier of goods or services in a municipality or county

- § 12-4-102: "Should any person, acting as such officer, committee member, director, or other person referred to in § 12-4-101, be or become directly or unlawfully indirectly interested in any such contract, such person shall forfeit all pay and compensation therefor. Such officer shall be dismissed from such office the officer then occupies, and be ineligible for the same or a similar position for ten (10) years."
- T.C.A. § 12-4-103: "(a) It is hereby declared unlawful for any state official or employee to bid on, sell, or offer for sale, any merchandise, equipment or material, or similar commodity, to the state of Tennessee during the tenure of such official's or employee's office or employment, or for six (6) months thereafter, or to have any interest in the selling of the same to the state.
- (b) A person violating subsection (a) shall be liable to the state for any and all sums paid out by the state, together with interest at the rate of eight percent (8%) per annum, growing out of any such transaction.
- (c) A violation of subsection (a) is a Class E felony.

In addition, a state official's or employee's spouse may not bid on, sell, or offer for sale, any merchandise, equipment or material, or similar commodity, to the State of Tennessee during the tenure of such officer's or employee's office or employment, or for six (6) months thereafter, or to have any interest in the selling of the same to the state. TN AG Opinion 84-201. Pursuant to TBR Policy 1:02:03:10, Section VI.A.2, this prohibition also extends to "institutional purchases from businesses in which an employee or Family Member has a financial interest."

T.C.A. § 12-4-104

- (a) It is an offense for a public employee or former public employee having official responsibility for procurement transactions to accept employment with any respondent to a solicitation or contractor with whom the employee or former employee dealt in an official capacity concerning procurement transactions for a period of one (1) year from the cessation of employment by the public body unless the employee or former employee provides written notification to the public body, or a public official if designated by the public body, or both, prior to commencement of employment by that respondent to a solicitation or a contractor.
- **(b)** It is an offense for any person who, for compensation, prepares a solicitation for or on behalf of a public body to:
- (1) Submit a response to a solicitation for that procurement or any portion thereof; or

- (2) Disclose to any respondent to a solicitation information concerning the procurement that is not available to the public. A public body may permit such person to submit response to a solicitation for that procurement or any portion thereof if the public body determines that the exclusion of the person would limit the number of potential qualified respondents to a solicitation in a manner contrary to the best interest of the public body.
- (c)(1) It is an offense for a contractor or subcontractor to demand or receive from any of the contractor's or subcontractor's suppliers or for a contractor to demand or receive from the contractor's subcontractors, as an inducement for the award of a subcontract or order, any payment, loan, subscription, advance, deposit of money, services or anything, present or promised, unless consideration of substantially equal or greater value is exchanged.
- (2) It is an offense for a subcontractor or supplier to make or offer to make any payment, loan, subscription, advance, deposit of money, services or anything, present or promised, unless consideration of substantially equal or greater value is exchanged.
- (3) It is an offense for any person to demand or receive any payment, loan, subscription, advance, deposit of money, services or anything of value in return for an agreement not to compete on a public contract.
- (4) If a contractor, subcontractor, supplier or any person violates any provision of this subsection (c), the amount thereof shall be conclusively presumed to have been included in the price of the contract, subcontract or order and ultimately borne by the public body and shall be recoverable from both the maker and recipient. Recovery from one (1) offending party shall not preclude recovery from other offending parties.
- (d)(1) A contract entered into in violation of this section on or after October 1, 2011, is void. A contract that is otherwise void under this section may continue in effect until an alternative can be arranged when:
- (A) Immediate termination would result in harm to the public health or welfare; and
- **(B)** The continuation is approved by the commission.
- (2) Approval of continuation of contracts under this subsection (d) shall be given for the minimum period necessary to protect the public health or welfare. The chief procurement officer and the comptroller of the treasury shall be notified immediately upon a determination that a contract violates this subsection (d).
- (e)(1) As used in this section, the term "public officer" means an individual who is elected or appointed to serve or represent a public agency, other than an employee or independent contractor of a public agency.
- (2) A public officer or employee is involved in administering a contract if the officer or employee oversees the performance of the contract or has authority to make decisions regarding the contract or to interpret the contract.
- (3) A public officer or employee is involved in making a contract if such officer or employee participates in the development of specifications or terms or in the preparation

or award of the contract. A public officer is also involved in making a contract if the board, commission, or other body of which such officer is a member takes action on the contract, whether or not the public officer actually participates in that action, unless the contract is approved under an exception to this section under which the public officer is allowed to benefit and is prohibited from voting.

- (4) A public officer or employee derives a direct benefit from a contract if the person or the person's spouse:
- (A) Has more than a ten-percent ownership or other interest in an entity that is a party to the contract:
- (B) Derives any income or commission directly from the contract; or
- (C) Acquires property under the contract.
- **(f)** A public officer or employee is not involved in making or administering a contract solely because of the performance of ministerial duties related to the contract.
- (g) A violation of this section is a Class A misdemeanor.
- **4.** The following non-exclusive list of policies and procedures deal with issues that implicate Conflict of Interest situations:
- a. Policies and procedures related to purchasing
- b. Policies and procedures related to disposition of state property
- c. Policies and procedures related to outside employment
- **d.** Policies and procedures related to textbooks
- e. Tennessee Tech Policy 134 (Student Financial Aid)
- **f.** Tennessee Tech Policy 732 (Intellectual Property)
- **g.** Tennessee Tech Policy 685 (Nepotism)
- **h.** Tennessee Tech Policy 686 (Consensual Relationships)
- i. Tennessee Tech Policy 735 (Conflict of Interest in Research)
- **j.** Tennessee Tech 970 (Amorous Relationships (Athletics))

B. General Principles

1. Employees should avoid situations where the self-interests of the employee diverge from the best interests of Tennessee Tech.

- 2. Employees should avoid external commitments that significantly interfere with the employee's duties to Tennessee Tech. See Tennessee Tech Policy XXX (Outside Employment). Disclosures of conflicts of commitment shall be made and evaluated as required in Tennessee Tech's policy.
- 3. The mere existence of either a potential or actual Conflict of Interest does not mean that such conflict must necessarily be eliminated. Where the potential detriment to Tennessee Tech is at most minor and inconsequential as determined by the Conflict of Interest Committee, and the conflict does not indicate violation of federal or state law, regulation, or policy, those persons charged with evaluating disclosures should allow the activity to proceed without interference. For those situations that do not implicate federal law, state law, regulations, or policy, the standard by which the Conflict of Interest Committee will determine whether a Conflict of Interest should be managed, reduced, or eliminated is whether that conflict would appear to a reasonable person to call into question the integrity or judgment of the affected employee.
- C. In the following situations and activities, there is at least the appearance, and possibly the actuality, of an employee allowing his/her personal interests, and not the best interests of Tennessee Tech, to affect that employee's judgments. This list is illustrative rather than exhaustive.
- 1. Situations in which an employee can appear to influence or actually influence an institutionally-related decision from which that person or a member of that person's family stands to realize a personal financial benefit is self-dealing, and a conflict of interest. Examples of self-dealing activities are numerous, and include those listed below.
- **a.** Purchase of state-owned property by an employee absent fair and open bidding (T.C.A. § 12-2-208 and T.C.A. § 12-2-417)
- **b.** Institutional purchases from businesses in which an employee or Family Member has a financial interest (T.C.A. § 12-4-103)
- c. Certain bids on state contracts (T.C.A. § 12-3-106(b))
- d. Use of educational materials from which a faculty member derives financial benefit in that faculty member's teaching activities. Any faculty member who wishes to use in his/her teaching activities educational materials (e.g. a textbook) that he/she has authored, or in which he/she otherwise stands to benefit financially from such use, shall make a conflict of interest disclosure to the faculty member's chair. Whether the use of such materials shall be permitted shall be evaluated by the chair of the department or designee, including, but not limited to, the department textbook committee. Such evaluation shall include consideration of suitable substitute materials and shall ensure that the needs of students are best served by use of the materials in which the faculty member has an interest. The chair of each department shall send a report annually to the Conflict of Interest Committee.
- 2. Acceptance of gifts, gratuities, or favors

- **a.** No employee shall knowingly solicit or accept, directly or indirectly, on behalf of himself/herself or any member of the employee's household, for personal use or consumption, any gift, including, but not limited to, any gratuity, service, favor, food, entertainment, lodging, transportation, loan, loan guarantee, or any other thing of monetary value, from any person or entity that:
 - **i.** Has, or is seeking to obtain, contractual or other business or financial relations with the institution in which the individual is employed; or
 - **ii.** Has interests that may be substantially affected by the performance or nonperformance of the employee.

b. Exceptions

The prohibition on accepting gifts in this section does not apply to:

- i. A gift given by a member of the employee's immediate family, or by an individual if the gift is given for a non-business purpose and is motivated by a close personal friendship and not by the position of the employee;
- **ii.** Informational materials in the form of books, articles, periodicals, other written materials, audiotapes, videotapes, or other forms of communication.
- **iii.** Sample merchandise, promotional items, and appreciation tokens, if they are routinely given to customers, suppliers or potential customers, or suppliers in the ordinary course of business, including items distributed at tradeshows and professional meetings where vendors display and promote their services and products;
- **iv.** Food, refreshments, foodstuffs, entertainment, or beverages provided as part of a meal or other event, including tradeshows and professional meetings, if the value of such items does not exceed fifty dollars (\$50.00) per occasion; provided further, that the value of a gift made pursuant to this subsection may not be reduced below the monetary limit by dividing the cost of the gift among two or more persons or entities identified in Section V.C.2;
- v. There may be circumstances where refusal or reimbursement of a gift (such as a lunch or dinner) may be awkward and contrary to the larger interests of the institution. In such circumstances, the employee is to use his/her best judgment, and disclose the gift including a description, estimated value, the person or entity providing the gift, and any explanation necessary within 14 days to his/her immediate supervisor;
- **vi.** Food, refreshments, meals, foodstuffs, entertainment, beverages, or intrastate travel expenses that are provided in connection with an event where the employee is a speaker or part of a panel discussion at a scheduled meeting of an established or recognized membership organization which has regular meetings;

- **vii.** Participation in institution or foundation fundraising and public relations activities, i.e. golf tournaments and banquets, where persons or entities identified in Section V.C.2 provide sponsorships; and
- **viii.** Loans from established financial institutions made in the ordinary course of business on usual and customary terms, so long as there are no guarantees or collateral provided by any person identified in Section V.C.2.
- **3.** Employees shall ensure that the activities of students or support staff are not exploited for the benefit of any external activity of the faculty member or administrator.
 - a. Prior to assigning any such non-Tennessee Tech related task or a task not directly related to the employee's job duties (which is more than incidental or de minimis in nature) to a student or member of the support staff, an employee shall disclose such proposed activities and obtain approval through his/her supervisor and Human Resources.
 - b. Under no circumstances shall students and support staff be used to perform personal activities for the faculty or administrators while the student's or support staff's time is being paid by the university.
- **4.** Employees may not make significant use of state or Tennessee Tech facilities, equipment, materials, or other resources, not otherwise available to the public, in the course of activities that are not related to Tennessee Tech without prior disclosure and approval of their direct supervisor and the Business Office. Employees making more than incidental or de minimis use of Tennessee Tech owned resources must reimburse Tennessee Tech for such use at a fair market rental rate to be established by the Business Office at the time of the request or discovery of such use.
- 5. Tennessee Tech Policy 732 governs the rights and responsibilities which persons affiliated with Tennessee Tech have regarding intellectual property developed during the term of their affiliation with Tennessee Tech. Among the responsibilities enumerated in the policy is that of disclosure of inventions and those copyrightable works that may be reasonably expected to have commercial value that they have jointly or solely developed or created during their affiliation with Tennessee Tech.

VI. Disclosure Requirements

- **A.** Unless a different procedure is specified by state statute, Tennessee Tech policy, or in this policy:
- 1. New employees must read this policy and sign an acknowledgement of receipt, which shall be maintained in the employee's personal file.
- **2.** Employees must make a written disclosure of the facts and circumstances surrounding a situation that might involve a conflict of interest to the Conflict of

Interest Committee. An electronic version of the Tennessee Tech <u>132 Conflict of Interest Disclosure Form</u> must be submitted via the submitter's Tennessee Techissued email to the Conflict of Interest Committee Coordinator, and will constitute an authenticated document.

- **3.** All employees will annually receive a Financial Interest Disclosure form to submit by the prescribed deadline if they are or believe they might be in a conflict of interest position.
- **4.** At any time throughout the year, if any employee feels that a potential conflict of interest has developed since the annual reporting time, the employee is responsible for completing and submitting the Financial Interest Disclosure form to the Conflict of Interest Committee Coordinator.
- **5.** The Conflict of Interest Committee will forward disclosures to the appropriate supervising administrator.
- **B.** Investigators seeking federal funding must make written disclosures as indicated in Tennessee Tech Policy 735 (Conflict of Interest in Research) and related procedures. Disclosure of financial interests made pursuant to Tennessee Tech Policy 735 and related procedures notwithstanding, such disclosure does not eliminate the responsibility for making disclosures under this provision, when specific conflict of interest situations arise.
- C. Special disclosure requirements for certain Athletics employees
- 1. Coaches, assistant coaches, and employees of athletic departments who are exempt from the provisions of the Fair Labor Standards Act are required to file a financial disclosure form within one month of their initial appointment and annually thereafter in January. Disclosure of financial interests made pursuant to this provision notwithstanding, such disclosure does not eliminate the responsibility for making disclosures under Section VI when specific conflict of interest situations arise.
- 2. Disclosures from coaches, assistant coaches, and exempt employees of athletic departments shall be made using a Tennessee Ethics Commission Form <u>SS-8005</u>, and submitted to Director of Athletics by the date prescribed by the Director.
- **3.** The Director of Athletics or designee will forward all athletic personnel disclosure forms to the Conflict of Interest Committee by the date specified by the committee.
- **D.** Special disclosure requirements for the President
- 1. The President is required to file a financial disclosure form within one month of his/her initial appointment and annually thereafter in January.

- **2.** The President's <u>disclosure</u> shall be in the form prescribed by and submitted as directed by the Tennessee Ethics Commission.
- **3.** Disclosure of financial interests made pursuant to this provision notwithstanding, such disclosure does not eliminate the responsibility for making disclosures under Section VI, when specific conflict of interest situations arise. In such cases, the President must make an appropriate disclosure to the Board.
- **4.** Presidents Emeriti must submit any potential conflict of interest to the University Counsel.

VII. Review of Disclosures

- **A.** The President's disclosure made under Section VI of this policy shall be evaluated by the Board or a duly appointed committee thereof.
- **B.** Employees' disclosures made under Section VI of this policy shall be evaluated by Tennessee Tech's Conflict of Interest Committee.

VIII. Conflict of Interest Committee

- **A.** The Conflict of Interest Committee shall be appointed by the President and composed of the individuals filling the following positions:
- 1. Vice President for Finance and Planning
- 2. Director of Compliance in Athletics
- 3. Immediate Past President of Faculty Senate
- 4. Coordinator of Special Projects/Office of the President
- 5. Manager, Payroll and Benefits
- **6.** Director of Internal Audit (ex officio role)
- **B.** The Committee may, by a majority vote, select a Chairperson of the Committee ("Chair").
- C. The Committee appointments will continue as long as the positions identified in Section VIII are filled or until the President desires to make a change to the committee composition. If one of the designated positions is reclassified or retitled, the person filling the position for which the responsibilities are most similar

- to those currently comprising said position will assume the duty of serving on the committee.
- **D.** The Committee will meet at least once per Spring semester, generally in February. The Chair may call additional meetings as needed to conduct Committee business.
- **E.** Consistent with this policy, the Committee shall evaluate conflict of interest disclosures, determine whether a conflict of interest exists, and advise on what actions may be required to manage, reduce, or eliminate an employee's conflict of interest, and notify the employee in writing of its decision.
- **F.** If the Committee determines that an employee has a conflict of interest, that employee shall receive notice of the Committee's evaluation and be given an opportunity to appear before that Committee before the Committee forwards its decision to the President.
- **G.** Any disclosure that indicates an actual violation of law shall be forwarded to the President along with the Committee's findings.
- **H.** Unless modified by the President in writing or successfully appealed by the employee, the Committee's decision shall be final.

IX. Appeals

- **A.** An employee may file an appeal with the President within 10 business days, absent good cause, of receipt of the Committee's decision.
- **B.** The President shall notify the employee in writing of his/her decision within 10 business days, absent good cause.
- **C.** The President's decision shall be final and binding.

X. Sanctions

- **A.** Failure to follow any law or Tennessee Tech policy relating to Conflicts of Interest, including failure to observe restrictions imposed as a result of review of a Conflict of Interest disclosure or a knowing failure to disclose a conflict of interest, may result in disciplinary action, including but not limited to termination.
- **B.** The Committee will refer violations as appropriate to the employee's unit and the Associate Vice President for Human Resources for appropriate action, if any.

XI. Interpretation

The President or his/her designee has the final authority to interpret the terms of this policy.

XII. Citation of Authority for Policy

T.C.A. § 8-50-501; T.C.A. § 12-02-208; T.C.A. § 12-02-415 et seq.; T.C.A. § 12-4-101 et seq.; T.C.A. § 49-8-203; T.C.A. § 49-8-203(a)(1)(E)

Approved by:

Administrative Council: April 5, 2017

University Assembly: April 19, 2017



Agenda Item Summary

Date: June 15, 2017			
Division: Internal Audit			
Agenda Item: Policy 600	-Code of Conduct		
Review	Action	No action required	

PRESENTERS: Deanna Metts, Director of Internal Audit

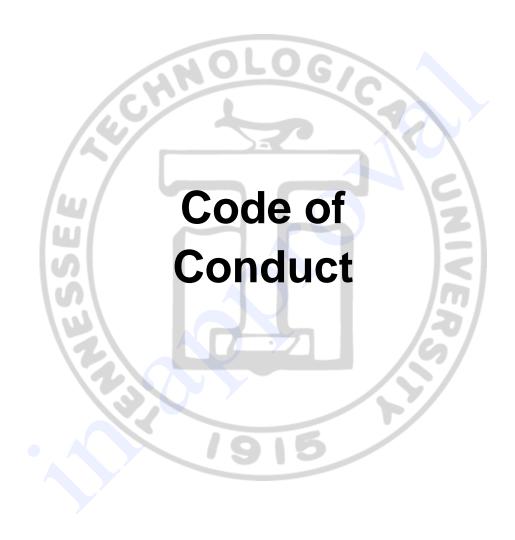
PURPOSE & KEY POINTS:

The Code of Conduct Policy provides guidance to TTU employees on how to conduct themselves in an ethical and responsible manner.

Per the Tennessee Comptroller's Guidelines for Audit Committee Charters, the audit committee is required to review the institution's Code of Conduct and other policies related to employee conduct to ensure that they are easy to access, are widely distributed, are easy to understand and implement, include a confidential mechanism for reporting code violations, are enforced, and include a conflict of interest policy.

The Administrative Council and University Assembly have already approved this policy.

Tennessee Technological University Policy No. 600



Effective Date: July 1, 2017

Policy No.: 600

Policy Name: Code of Conduct **Policy Subject:** Code of Conduct

I. Purpose

This policy provides guidance to Tennessee Tech employees on how to conduct themselves in an ethical and responsible manner.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Human Resources in consultation with the Vice President for Planning and Finance, and the Audit & Business Committee as necessary, with recommendations for revision presented to the Administrative Council and University Assembly.

III. Policy

- A. Employees of Tennessee Tech are expected to act in a manner that will enhance the name, service, and general impression of Tennessee Tech and the State of Tennessee. As such, employees are expected to follow and uphold Tennessee Tech's Code of Conduct as outlined below in Section E.
- B. Employees who violate the Code of Conduct will be subject to disciplinary action as outlined in TTU Policy 650 (Disciplinary Action).
- C. The appearance of unethical or irresponsible conduct, whether or not such conduct has actually occurred, can be damaging to Tennessee Tech. As such, any appearance of unethical or irresponsible conduct may also be a violation of the Code of Conduct and subject to disciplinary action.
- D. Employees are required to cooperate fully in any investigation related to a violation of the Code of Conduct.

E. Code of Conduct

In carrying out Tennessee Tech's educational, research, and public service
missions, Tennessee Tech relies on the ethical and responsible conduct of all
employees. Employees are expected to conduct themselves fairly, honestly, in
good faith, and in accordance with the highest ethical and professional
standards and to comply with applicable laws, regulations, contractual
obligations, and Tennessee Tech policies.

- 2. Employees are expected to be committed to creating an environment that promotes academic freedom, diversity, fair treatment, and respect for all faculty, staff, students, and the general public.
- 3. Employees shall not refuse to accept reasonable job assignments or intentionally fail to follow lawful instructions. Employees must also accurately report work time and attendance.
- 4. Employees are expected to maintain the highest levels of integrity and objectivity as they perform their duties. As such, employees are expected to take all reasonable precautions and seek appropriate guidance to ensure their outside interests do not place them in conflict with carrying out their duties and responsibilities to Tennessee Tech in accordance with TTU Policy 132 (Conflict of Interest).
- 5. Employees must use Tennessee Tech property, funds, technology, time, and other resources for legitimate business purposes. Employees must not use Tennessee Tech resources for personal gain or to benefit third parties.
- 6. Employees must conduct research with the highest integrity and in compliance with federal, state, and local laws and regulations and Tennessee Tech policies. Employees involved in conducting research are expected to become familiar with applicable laws, regulations, and policies.
- 7. Employees are entrusted with a variety of confidential information about students, faculty, staff, alumni, donors, research sponsors, licensing partners, and others. Employees must access, use, protect, disclose, preserve, and dispose of confidential information in compliance with applicable laws, regulations, and Tennessee Tech policies.
- 8. Employees are expected to be committed to protecting the health and safety of all Tennessee Tech students, faculty, staff, and visitors. Employees are expected to exercise good health and safety practices and to comply with all health and safety laws and regulations.
- F. Employees are expected to report any good-faith concern as soon as reasonably possible after knowledge that a violation of the Code may have occurred.
 - 1. Employees may submit the <u>General Complaint Form</u> anonymously or report the suspected violation to the Associate Vice President for Human Resources.
 - 2. If the complaint falls under Tennessee Tech Policy 141 (Discrimination and Harassment), TTU Policy 143 (Sexual Misconduct), TTU Policy131 (Preventing and Reporting Fraud, Waste, or Abuse), or any other Tennessee Tech policy outside the scope of Human Resources, the Associate Vice President for Human

Resources or Director for Internal Audit will forward to the appropriate individual for investigation.

IV. Interpretation

The Associate Vice President for Human Resources or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of authority for policy

T.C.A. 4-35-103 (b) & (c)

Approved by:

Administrative Council: April 5, 2017

University Assembly: April 19, 2017



Agenda Item Summary

Date: June 15, 2017
Division: Internal Audit
Agenda Item: Executive Closed Session
Review Action No action required
PRESENTERS: Deanna Metts, Director of Internal Audit
PURPOSE & KEY POINTS:
Audits and investigations will be discussed.

TCA 4-35-108: Notice of meetings -- Open meetings -- Exceptions.

- (a) Except as provided in subsection (b), all meetings of an audit committee created pursuant to this chapter shall abide by the notice requirements adhered to by the state governing board, council, commission, or equivalent body to which the audit committee is attached.
- (b) All meetings of an audit committee created pursuant to this chapter shall be subject to the open meetings provisions of title 8, chapter 44, except that the audit committee may hold confidential, nonpublic executive sessions to discuss:
- (1) Items deemed not subject to public inspection under §§ 10-7-503 and 10-7-504, and all other matters designated as confidential or privileged under this code;
 - (2) Litigation;
 - (3) Audits or investigations;
 - (4) Information protected by federal law; and
- (5) Matters involving information under § 4-35-107(a), where the informant has requested anonymity.
- (c) No business, other than that described under subdivisions (b)(1)-(b)(5), shall be considered during a confidential, nonpublic executive session by the audit committee.
- (d) For purposes of providing notice of a confidential, nonpublic executive session, the agenda must disclose the general nature of discussion as described under subdivisions (b)(1)-(b)(5).
- (e) A meeting at which both subject matter open to the public and confidential subject matter will be discussed shall be conducted as follows:
- (1) All business relating to subject matter that is public in nature shall be conducted first; and
- (2) At the conclusion of the meeting relating to subject matter that is public in nature, the chair shall announce that the public portion of the meeting is adjourned and that the remainder of the meeting will concern matters that are confidential under subdivisions (b)(1)-(b)(5). When everyone at the meeting who is not authorized to attend the confidential portion of the meeting has departed, the confidential portion of the meeting shall commence.
- (f) This chapter is not intended to prevent the full state governing board, commission, council, or equivalent body from going into confidential, nonpublic executive session for the purpose of further discussing those matters as described under subdivisions (b)(1)-(b)(5). All portions of meetings of the full state governing board, commission, council, or equivalent body, where matters described under subdivisions (b)(1)-(b)(5) will be discussed, shall be exempt from the provisions of title 8, chapter 44; provided, that the full

state governing board, commission, council or equivalent body shall abide by the notice requirements of subsections (c)-(e).



Agenda Item Summary

Date: June 15, 2017			
Division: Planning and F	inance		
Agenda Item: President	Emeritus Contracts		
Review	Action	No action required	

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

Review and approve the Emeriti President contracts of Dr. Robert Bell and Dr. Angelo Volpe for 2017-18 pursuant to the laws of the State of Tennessee, the requirements and policies of the Tennessee Tech Board of Trustees and the requirements and policies of Tennessee Tech University.

Tennessee Tech University NOTICE OF PART-TIME EMPLOYMENT AND AGREEMENT FOR PRESIDENT EMERITUS

TO: Dr. Robert R. Bell 935 East Sixth Street Cookeville, TN 38501

This is to confirm your part-time appointment to a position approved by the Tennessee Tech Board of Trustees as President Emeritus of Tennessee Technological University for a period beginning July 1, 2017, at a monthly salary of \$4114.84 subject to the terms and conditions hereinafter set forth and our acceptance thereof:

- 1. This appointment is made subject to the laws of the State of Tennessee, the requirements and policies of the Tennessee Tech Board of Trustees and the requirements and policies of Tennessee Tech University.
- 2. The term of this agreement is July 1, 2017, to June 30, 2018. It may be renewed on an annual basis following review of the emeritus work performed and approval by the Tennessee Tech Board of Trustees.
- 3. The above stated salary is contingent upon your successful completion of service for the full term of this agreement. The salary will accrue and will be payable monthly. In the event of failure to complete the specific terms of the appointment, salary will be prorated in accordance with the policies of Tennessee Tech University.
- 4. This appointment and the above-stated salary are in consideration of your faithful performance to the best of your ability of the duties and responsibilities assigned to you as a part-time employee of Tennessee Tech University. These duties include:
 - Fund raising for Tennessee Technological University (TTU):
 - Institution-community relations and activities for TTU; including teaching a class, regional development related activities, and working with the Cookeville Regional Medical Center Board;
 - Consultation for Tennessee Technological University, as requested;
 - Provide support in inter-institutional, governmental, legislative, and community relations;
 - Assist as needed with the completion of selected capital projects;
 - As requested, represent the President and the University at selected functions and professional meetings;
 - Recruit students and provide advice to prospective students and their parents;
 - Promote higher education, the Tennessee Tech University Board of Trustees, and Tennessee Tech University on a continuous basis.

- As a part-time employee, you are not eligible for employment benefits (retirement credit, state insurance plan, annual or sick leave, holiday pay, or longevity credit).
 Notwithstanding, social security will be deducted from your paycheck unless you are a member of a retirement system or are a rehired annuitant as specified in 26 CFR Part 31.
- 6. This appointment does not include any assurance, obligation, or guarantee of subsequent employment.
- 7. This agreement may be terminated without prior notice.
- 8. By acceptance of this appointment, you agree to abide by the terms of the Drug-Free Workplace Act of 1988 as defined in published institution statements and policy. You also agree to notify TTU-Human Resources of any criminal drug conviction for a violation occurring in the workplace no later than five (5) days after such conviction.
- 9. You are required to notify the President should you become employed at another state agency/institution.
- 10. The following special condition shall govern this appointment:

2301

The retired employee accepts employment for up to 120 days during a 12-month period. The number of hours actually worked will be provided to the institution upon request and will be no less than 247 hours.

I accept the appointment described above under the terms and conditions set forth.

DATE

An Equal Opportunity/Affirmative Action Employer

DATE

ESIDENT

APPOINTEE

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President Emeritus Report 2016-2017

During this fiscal year, I performed the following functions (attached) for Tennessee Technological University.

(typed report attached to this work sheet)

I spent at least 353 hours performing the work but less than 120 days.

President Emeritus, Dr. Robert R. Bell

Date

5/14/17

I have reviewed the work of $\underline{\mathbf{Dr. Robert R. Bell}}$ for 2016-2017, and I am satisfied that it was well performed.

President, Dr. Philip B. Oldham

Date

Report of President Emeritus Dr. Robert R. Bell Tennessee Technological University

Functions Performed for 2016-2017

Summary of Activities

1. Teaching/Scholarship/Advocacy:

- a. Seminar Moderator and instructor for the Spring 2017 TTU/Highlands Emerging Leaders Seminar (non-credit) for the School of Interdisciplinary Studies;
- b. Spoke on topics of economic development and college/career readiness to TTU SAM Club, and classes at Cookeville High School, Algood Middle School, Prescott South Middle School, and Livingston Middle School
- c. Served as table mentor for College of Business Etiquette Dinner
- d. Served as advisor for Mayberry Chair of Excellence, member of the College of Business Board of Trustees, member of the School of Nursing Board of Trustees, and on the planning committee for TTU Merit Badge University
- e. Editorial Review Board Member, Advanced Management Journal
- f. Presented paper at the Society for Advancement of Management International Conference, and served as session chair/discussant for two other papers.
- g. Two days of advocacy at Tennessee Legislature, Highlands Economic Partnership, Tennessee Hospital Association, TTU/Tennessee Focus Act

2. Regional Development/External Relations:

- a. Chairman, Highlands Initiative Workforce Development Task Force
- Member, Executive Committee of the Cookeville-Putnam County Chamber of Commerce
- c. Chairman, Industrial Development Board, City of Cookeville: confidential work with several new companies locating in Cookeville and expansions of existing industry
- d. Served as facilitator and session leader for strategic planning retreat for Habitat for Humanity

3. Cookeville Regional Medical Center (CRMC):

- a. Chair, CRMC Board of Trustees and Executive Committee; member of Planning,
 Quality, Finance, and Ethics committees. Chairman, Board of Trustees, Cumberland
 River Hospital (Celina)
- 4. Service to the University in other roles as requested:
 - a. Conducted campus tours/orientation newly-relocated business leaders
 - b. Host for Executive Suite at TSSAA Blue Cross Championship Bowl, and other volunteer activities at TSSAA event
 - c. Meetings/lunches, as requested, with campus leaders, Foundation members, and Trustees

Dr. Robert R. Bell-Work Report for 2016-2017	
July 2016 Total Hours	36 hrs.
Pathways to Prosperity: Workforce Development meetings	3 hrs.
iCube/Diabetes App Development, Kevin Liska, Drs. Geist and Reynolds (Vanderbilt)	2 hrs.
Regional development/external relations: Cookeville Chamber and Jackson County	5 hrs.
CRMC and Cumberland River Board of Trustees meetings; other related CRMC committees on Planning, Finance, Corporate Compliance; TN Hospital Association Annual meeting	17 hrs.
Economic Development/Industrial Board: Academy Sports, FICOSA, SAIC, Project Orlando	7 hrs.
TTU/Highlands Emerging Leadership course preparation	2 hrs.
August 2016 Total Hours	29 hrs.
Lunches with Foundation members: Joe Albrecht and Millard Oakley	2 hrs.
Jackson County Industrial Development Board – Jay Cassetty, Jim Birdwell	2 hrs.
Industrial Development Board meetings with Attorney Ledbetter	5 hrs.
STEM Center – Welcome/Host Middle Tennessee Council, BSA	2 hrs.
TTU Highlands Leadership course (nominations and dates – postpone until January)	2 hrs.
Meet with Senator Bailey and Representative Williams at Algood Business Coffee re: IDB	2 hrs.
External relations: CRMC Board of Trustees, committee meetings	11 hrs.
Meet with Chancellor David Gregory; regional development: Chamber and Highlands meetings	3 hrs.
September 2016 Total Hours	27 hrs.
TTU: iCube – Overton County Chamber	3 hrs.
Workforce Development and Chamber Board (Vice-Chair, WFD)	3 hrs.
TTU: Speaker SAM Club; guest speaker at Cookeville HS re: career planning	8 hrs.
CRMC Orientation/Board Chair meetings: Legal Counsel, CEO, Board members	8 hrs.
Chamber Board/Highlands	2 hrs.
Industrial Development Board: Project Leslie, Shoppes at Eagles Point	3 hrs.
October 2016 Total Hours	20 hrs.
Meetings with Dr. Reimann (Mayberry), Dr. Elkins (SAM)	5 hrs.
Tennessee Hospital Association Annual meetings	8 hrs.
Highlands/TTU Emerging Leader Seminar planning	2 hrs.
Industrial development: FICOSA Tour, Bylaws, Charter revisions	5 hrs.

November 2016 Total Hours	22 hrs.
Highlands Emerging Leaders Seminar, planning	2 hrs.
Highlands/Community Planning Benchmark visit: Bowling Green, KY	10 hrs.
TTU: Collaboration with Dr. Elkins on SAM paper	2 hrs.
CRMC Board Retreat, including planning for retreat	6 hrs.
Speaker: TTU and Career Readiness: Algood Middle School	2 hrs.
December 2016 Total Hours	32 hrs.
Regional development meetings; LEAN Advanced Training-CRMC	9 hrs.
Site Visit: University of Tennessee Medical Center/LEAN/Baldrige Strategies	9 hrs.
CRMC: Corporate Compliance, Planning, Finance, Professional Service, Board of Trustees	5 hrs.
TTU: Hosting Executive Suite and VIP tent at TSSAA Blue Cross Championship Bowl	6 hrs.
TTU iCube: Pediatric Diabetes project	3 hrs.
January 2017 Total Hours	26 hrs
TTU: Meetings with Trustees Dr. Barbara Fleming, Millard Oakley	2 hrs.
Co-Author work on SAM manuscript (Elkins, Crook, Dean)	3 hrs.
Regional development: Chamber/Highlands/IDB, attend Tech-REDI Conference	10 hrs.
Highlands Workforce Development meetings	2 hrs.
LEAN process evaluations at CRMC	3 hrs.
CRMC: Board of Trustees and committee meetings of Planning/Finance/Professional Services	6 hrs.
February 2017 Total Hours	28 hrs
Dr. Kevin Braswell – fundraising concepts discussion – lunch	2 hrs.
Chancellor Elkins (telephonic) edits on SAM paper	2 hrs.
Editorial work, Advanced Management Journal	4 hrs.
TNCPE Banquet; College of Business Board meeting	5 hrs.
Regional development: Chamber/Highlands/IDB	5 hrs.
CRMC: Retreat and Board of Trustees and committee meetings of Planning/Finance	10 hrs.
March 2017 Total Hours	22 hrs.
THA Legislative Day: represent TTU and CRMC, meetings with Senator Bailey, Representative Keisling, Representative Williams and Chancellor Gregory; attend TBR Reception/Regent Bobby Thomas	8 hrs.
School of Nursing Development Council meeting	2 hrs.
Regional development: IDB/Chamber/Highlands; meet with Johnny Stites on economic development proposal; miscellaneous committee meetings	4 hrs.

CRMC: Board of Trustees and committee meetings of Planning/Finance/Ethics Committee	8 hrs.
April 2017 Total Hours	39 hrs.
Presented paper on Economic Development at SAM International Conference (Orlando, Florida); discussant on two other papers	16 hrs.
TTU: iCube w/Kevin Liska - Pediatric Diabetes, and Whitewater Streams	2 hrs.
Regional development: TTU/Highlands Leaders Seminar	8 hrs.
Regional development: Chamber Workforce Committee/Board meetings	2 hrs.
CRMC Board functions	7 hrs.
Guest speaker at Livingston Middle School re: Career Readiness/Majors at TTU	2 hrs.
College of Business Scholarship and Awards Banquet	2 hrs.
May 2017 (Estimated) Total Hours	35 hrs.
Strategic Planning facilitator for Habitat for Humanity	11 hrs.
CRMC Board of Trustees functions	7 hrs.
TNCPE Board of Examiners Training	8 hrs.
Industrial Development Board	3 hrs.
Regional development: Chamber/Highlands Strategic Planning Group	6 hrs.
June 2017 (Estimated) Total Hours	37 hrs.
CRMC: Board of Trustees and committee meetings of Planning/Finance/Ethics	7 hrs.
Regional development: Chamber/Highlands	10 hrs.
TNCPE Examiner Training	20 hrs.

Work Report Summary for President Emeritus Dr. Robert R. Bell Tennessee Technological University	
Total for 2016-2017 fiscal year July 1, 2016, through April 30, 2017	281 hours
Projected emeriti activities for the remainder of academic and fiscal year: May – June, 2017	72 hours
Grand total for 2016-2017	353 hours

Tennessee Tech University NOTICE OF PART-TIME EMPLOYMENT AND AGREEMENT FOR PRESIDENT EMERITUS

TO: Dr. Angelo A. Volpe 734 Loweland Road Cookeville, TN 38501

This is to confirm your part-time appointment to a position approved by the Tennessee Tech Board of Trustees as President Emeritus of Tennessee Technological University for a period beginning July 1, 2017, at a monthly salary of \$2,378.33 subject to the terms and conditions hereinafter set forth and our acceptance thereof:

- 1. This appointment is made subject to the laws of the State of Tennessee, the requirements and policies of the Tennessee Tech Board of Trustees and the requirements and policies of Tennessee Tech University.
- 2. The term of this agreement is July 1, 2017, to June 30, 2018. It may be renewed on an annual basis following review of the emeritus work performed and approval by the Tennessee Tech Board of Trustees.
- 3. The above stated salary is contingent upon your successful completion of service for the full term of this agreement. The salary will accrue and will be payable monthly. In the event of failure to complete the specific terms of the appointment, salary will be prorated in accordance with the policies of Tennessee Tech University.
- 4. This appointment and the above-stated salary are in consideration of your faithful performance to the best of your ability of the duties and responsibilities assigned to you as a part-time employee of this institution. These duties include:
 - Fund raising for Tennessee Technological University (TTU);
 - Institution-community relations and activities for TTU;
 - Consultation for Tennessee Technological University, as requested;
 - Consultation for the Tennessee Higher Education Commission (THEC);
- 5. As a part-time employee, you are not eligible for employment benefits (retirement credit, state insurance plan, annual or sick leave, holiday pay, or longevity credit). Notwithstanding, social security will be deducted from your paycheck unless you are a member of a retirement system or are a rehired annuitant as specified in 26 CFR Part 31.
- 6. This appointment does not include any assurance, obligation, or guarantee of subsequent employment.
- 7. This agreement may be terminated without prior notice.

- 8. By acceptance of this appointment, you agree to abide by the terms of the Drug-Free Workplace Act of 1988 as defined in published institution statements and policy. You also agree to notify the Office of Personnel of any criminal drug conviction for a violation occurring in the workplace no later than five (5) days after such conviction.
- 9. You are required to notify the President should you become employed at another state agency/institution.
- 10. The following special condition shall govern this appointment:

The retired employee accepts employment for up to 120 days during a 12-month period. The number of hours actually worked will be provided to the institution upon request and will be no less than 142.7 hours.

I accept the appointment described above under the terms and conditions set forth.

Ingelo A. Volge 5/17/17
DATE

An Equal Opportunity/Affirmative Action Employer

PRESIDENT DAT

President Emeritus Report 2016-2017

During this fiscal year, I performed the following functions (attached) for Tennessee Technological University.

(typed report attached to this work sheet)

I spent at least 177 hours performing the work but less than 120 days.

President Emeritus, Dr. Angelo A. Volpe

5-/17/17 Date

I have reviewed the work of <u>Dr. Angelo A. Volpe</u> for 2016-2017, and I am satisfied that it was well performed.

President, Dr. Philip B. Oldham

Date

Report of President Emeritus Dr. Angelo A. Volpe Tennessee Technological University

Functions Performed for 2016-2017

Summary of Activities

July 2016 Total Hours	13.5 hrs.
Attend TTU Football Alumni Golf Classic BBQ Dinner	2.5 hrs
Attend monthly meeting of the Bryan Symphony Orchestra (BSO) Board of Directors	1.5 hrs
Attend workshop and Summer 2016 meeting of the Tennessee Higher Education Commission	9.5 hrs
August 2016 Total Hours	12 hrs
Attend monthly meeting of the BSO Board of Directors	1.5 hrs
Attend BSO Education Concert, Reception, and Fundraiser	2.5 hrs
Participate in a Strategic Planning Retreat for WCTE—the Upper Cumberland Public Broadcasting Station	5 hrs.
Attend TTU College of Engineering Scholarship Reception	1.5 hrs
Pre-game dinner with Coach Satterfield and family	1.5 hrs
September 2016 Total Hours	30 hrs
Prepare giveaways for the BSO Concert in Dogwood Park	1 hr.
Serve as usher for the BSO Concert in Dogwood Park and attend donor appreciation BBQ	4 hrs.
Attend meeting/lunch of the TTU Retirees Association	1.5 hrs
Pre-game dinner with Coach Satterfield and family	1.5 hrs
Serve as volunteer ticket seller at the Cookeville Fun Fest	3.5 hrs
Attend monthly meeting of the BSO Board of Directors	2 hrs.
Attend TTU College of Business 25th Annual Fall Celebration event	3.5 hrs
Attend Volpe Library fundraising meetings with Dr. Braswell, Dr. Brinker, Dr. Dickinson, and Ms. Walden	3.5 hrs
Attend reception for employee retiring after 40 years of service to TTU	0.5 hr.
Pre-game dinner with Coach Satterfield and family	2 hrs.
Library fundraising meeting with Dr. Braswell and Ms. Jones	0.5 hr.
Attend farewell retirement recital of music Professor Bill Woodworth	1.5 hr

Attend memorial service for Don Ramsey, Jr. son of long-time math Professor Don Ramsey	1.5 hrs.
Pre-game dinner with Coach Satterfield, his family, and one of his players	2 hrs.
October 2016 Total Hours	10 hrs.
Attend TTU Sports Hall of Fame Induction event	2.5 hr.
Attend Homecoming Breakfast of the TTU Speech and Debate Team	1.5 hrs
Provide commentary for the TTU Homecoming Parade on WCTE-TV along with Dr. Oldham and WCTE's Becky Magura	1 hr.
Attend 50th anniversary celebration and reunion honoring R. Winston Morris	4 hrs.
Prepare letter of recommendation for a faculty member up for promotion	1 hr.
November 2016 Total Hours	16 hrs
Pre-game dinner with Coach Satterfield and family	2 hrs.
Attend monthly meeting of the BSO Board of Directors	1.5 hrs
Meet with sustainable development coordinator for Wesley College in Tanzania	1 hr.
Attend fundraising kickoff for the Harvey Fund (service dog for Veteran)	1 hr.
Attend Friends of the Library Gala to benefit the Volpe Library	2.5 hrs
Serve as usher for the BSO Concert	0.5 hr.
Attend Fall meeting of Tennessee Higher Education Commission	7.5 hrs
December 2016 Total Hours	5.5 hrs
Attend Holiday Open House at Walton House	1 hr.
Attend meeting/lunch of the TTU Retirees Association	1.5 hrs
Lunch meeting with Dr. Rich Rhoda, director emeritus of THEC and current dean of the College of Education at ETSU	1.5 hrs
Lunch meeting with fairly new faculty member to discuss possible future mentoring	1.5 hrs
January 2017 Total Hours	18 hrs
Attend monthly meeting of the BSO Board of Directors	1.5 hrs
Attend reception/dinner for retiring TTU faculty member	2.5 hrs
Attend keynote speech given by a TTU faculty member in observance of Martin Luther King Jr. Day	2 hrs.
Attend visitation/funeral service for C.O. Wynne, long-time TTU administrator	2 hrs.
Attend Winter meeting of the Tennessee Higher Education Commission	8 hrs.
Serve as Judge for the WCTE-TV Academic Bowl	2 hrs.
February 2017 Total Hours	16.5 hrs.
Attend 2017 Outstanding Alumni Awards Reception and Dinner	4.5 hrs

Attend monthly meeting of the BSO Board of Directors	1.5 hrs.
Attend Annual Meeting and Reception of the TTU College of Business Advisory Board	3.5 hrs.
Lunch meeting with TTU Board of Trustee Dr. Barbara Fleming	1.5 hrs.
Serve as usher for the BSO Concert	0.5 hr.
Attend TTU College of Engineering 2017 Engineers Week Awards Banquet	2.5 hrs.
Attend and serve at Tech Women's Club Annual Chili Supper	2.5 hrs.
March 2017 Total Hours	6.5 hrs.
Attend monthly meeting of the BSO Board of Directors	1.5 hrs.
Attend meeting/lunch of the TTU Retirees Association	1.5 hrs.
Attend College of Business Advisory Board 2017 Etiquette Dinner	3.5 hrs.
April 2017 Total Hours	6 hrs.
Attend monthly meeting of the BSO Board of Directors	1.5 hrs.
Attend Alumni Center naming ceremony and luncheon	2 hrs.
Participate in interview by WCTE re: Windows on the World and Diversity	0.5 hr.
Attend fundraiser and reception for BSO	2 hrs.
July 2016 – June 2017 Total Hours	18 hrs.
Phone calls and meetings with TTU President's Office, THEC Office, Dr. Russ Deaton, Mr. David Wright and other members of the THEC Board of Elders	18 hrs.
April 12, 2017 – June 30, 2017 (Estimated) Total Hours	25 hrs.
Anticipated work	25 hrs.

Work Report Summary for President Emeritus Dr. Angelo A. Volpe Tennessee Technological University	
Total for 2016-2017 fiscal year July 1, 2016, through April 12, 2017	152 hours
Projected emeriti activities for the remainder of academic and fiscal year: April – June, 2017	25 hours
Grand total for 2016-2017	177 hours



Agenda Item Summary

Date: June 15, 2017						
Division: Planning and Finance						
Agenda Item: AD Contract	Agenda Item: AD Contract Extension					
Review	Action		No action required			
			1			

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

For review and approval of a five-year contract extension for the Athletics Director with the opportunity for an annual performance bonus.

TENNESSEE TECHNOLOGICAL UNIVERSITY AGREEMENT OF EMPLOYMENT

Contract Extension

This Agreement of Employment (Agreement) is entered into on the 30th day of May 2017, by and between **Tennessee Technological University** (hereinafter referred to as University), and **MARK E. WILSON** (hereinafter referred to as Director). The terms of this agreement are valid for the period **July 1, 2017**, **through June 30, 2022**.

For services satisfactorily rendered pursuant to the terms of this Agreement, the University shall pay MARK E. WILSON a base salary of \$165,000 per year, earned over 12 months and payable in 12 equal monthly installments received by direct deposit on the last working day of each month. Base salaries will be adjusted to reflect any mandatory across-the-board increases granted all employees of the University or any merit or equity increases granted by the University in the same manner as other employees of the University.

The Director shall be entitled to all benefits that are provided to other full-time administrative employees of the University. These benefits are set out in policy and include retirement, insurance, annual leave, sick leave, holidays, longevity pay, and educational opportunities.

Provided the terms of this contract are met in their entirety annually, the Director shall receive a **performance bonus of \$25,000**, to be paid out over the five-year contract period, in equal increments of \$5,000 of the subsequent fiscal year (July 2018, July 2019, July 2020, July 2021, July 2022). Any subsequent revisions to the work agreement will require the terms of the performance bonus payments to be readdressed

Any program or arrangements made to provide courtesy cars for use by the Director must conform to the University's institutional policies. Travel expenses will be reimbursed in accordance with and up to institutional policy and state limitations.

In consideration of the covenants contained herein, the parties agree as follows:

- 1. In exchange for and in consideration of the salary and benefits referred to above, Director will diligently perform, on a full-time basis, the duties and responsibilities of the position of Director of Intercollegiate Athletics under the direction of the President of the University. Such duties and responsibilities include but are not limited to:
 - Supervise the planning and operation of the athletics program.
 - Oversee and participate in athletics' department fund-raising program.
 - Ensure that athletics department adheres to NCAA, Conference, and University policies and procedures.
 - Ensure that safety and welfare of student-athletes are highly valued within the athletics program and promote the integration of student-athletes into the student body.
 - Maintain an active public relations program with internal and external constituents.
 - Ensure commitment to academic excellence among student-athletes.

- Ensure that fiscal responsibility is maintained within the athletics program.
- Promote and market athletics program.
- Subscribe to the principles and demonstrate personal commitment to gender equity, diversity, sportsmanship, and ethical conduct.
- Supervise the scheduling of athletics contests.
- Recommend personnel appointments to the President.
- Perform other duties as assigned by the President.
- 2. It is understood that the President may reassign any or all of the duties enumerated above to another University employee and that the duties of the Director shall also include other directives and responsibilities as may, from time-to-time, be given by the President.
- 3. It is further understood that the term of this agreement may be terminated immediately upon written notice from the President if the Director fails to receive a B or better on the annual performance evaluation.
- 4. The Director agrees to abide by the terms and conditions of this Agreement, all amendments thereto, the laws of the United States of America and of the State of Tennessee, the policies and requirements of the University, the constitution, bylaws and rules and regulations of the NCAA, and the constitution, bylaws and rules and regulations of the Ohio Valley Conference (OVC) or any other governing group that the University may align itself with. In addition, Director agrees to perform his services diligently and faithfully, and to conform his conduct to the highest standards of honesty, morality and good citizenship. It is specifically agreed that if Director is in violation of this provision through any act or omission committed by Director. University athletic coaching staff, student athletes or boosters, or was at any time involved in the type of violations specified in this provision (including while employed by a prior employer) University may take one or more of the following actions that it deems appropriate ("for cause"): (a) termination of employment; (b) suspension, with or without pay, for such period of time as the University shall determine; (c) modification of duties; (d) reassignment to other employment duties within the University; and/or (e) the disciplinary or corrective action as set forth in the provisions of the NCAA enforcement procedure. A violation of this provision may include personal actions or omissions by Director; knowledge by Director of conduct that violates any laws, policies, rules or regulations contained in this paragraph and a failure by Director to immediately cure or correct those violations; or, conduct which Director, through the exercise of reasonable diligence, should have been aware that violates any of the laws,

policies, rules or -regulations contained in this paragraph. If this Agreement is terminated under this provision, Director shall forfeit all future employment rights and benefits provided by the Agreement, including salary compensation and other remuneration hereunder. Director shall be entitled to receive any compensation through the last day of the calendar month in which his employment is terminated. The Director must immediately notify the President of any such potential violations.

- 5. University may terminate this Agreement at the sole and absolute discretion of the President of University ("without cause"). In the event Director is terminated without cause, Director shall be entitled to receive an amount equal to the base salary specified in the Agreement for a period of one (1) year or until the employment term expires, whichever is earlier ("payout period").
- 6. The Director shall not, directly or by implication, use the University name or logos in the endorsement of commercial products or services, in the endorsement of political parties or candidates, and/or in no way use his employee standing as athletic director for personal benefit or gain without prior written approval from the President. This prohibition includes, but is not limited to, soliciting and/or accepting private employment, consulting, gifts, gratuities, speaking engagements, endorsement of commercial products, serving on advisory boards (including those of athletic sporting goods companies, etc) or receiving a fee based upon any contracts and purchase of goods and services for the athletic program. Any violation of this provision may be considered a conflict of interest and grounds for termination for cause.

- 7. Approval from the President shall be required to receive any athletically related income and benefits from sources outside the University. Any request for approval from the President shall be in writing and shall include the amount and the type and source of income. Approval from the President must be requested in a timely manner and such approval must be received in advance. The Director shall provide to the President a written detailed accounting of all outside income approvals on or before **June 30** of each year.
- 8. The Director agrees to not personally, or through any agent, actively seek, negotiate for, or accept other full-time or part-time employment of any nature during the term of this agreement without first having obtained written consent from the President.
- 9. The Director agrees as a condition of employment to abide by the Drug Free Workplace Act of 1988 and University Policy 602 (Background Investigations), and the Director will notify the Human Resources Office of any criminal arrest or conviction within 72 hours of knowledge of the arrest or conviction.
- 10. This agreement shall be governed by and construed under the laws of the State of Tennessee. Any and all claims against the State of Tennessee, including the University or its employees, based upon the Agreement, shall be heard and determined by the Tennessee Claims Commission in the manner prescribed by law. Damages recoverable against the University shall be limited expressly to claims paid by the Claims Commission pursuant to T.C.A. 9-8-301 et seq. If any provision of the Agreement shall be determined to be void, invalid, unenforceable or illegal for any reason, it shall be ineffective only to the extent of such determination and the validity and enforceability of all the remaining provisions shall not be affected thereby.
- 11. This Agreement may be amended only in writing, signed and agreed to by the President and the Director, and subject to Tennessee Technological University Board of Trustees approval.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the dates indicated.

Athletics Director Mark E. Wilson	MB 3.LA	_Date
Tennessee Technological University President Dr. Philip B. Oldham	& FOOL	_DateS/30/2017
Tennessee Technological University Board of Trustees Chairman Thomas Jones		Date



Agenda Item Summary

Date: June 15, 2017					
Division: Planning and Finance					
Agenda Item: Tenure and Promotions Recommendations					
Review Action No action required					
PRESENTERS: Dr. Bahman Ghorashi, Provost and Vice President for Academic Affairs					
PURPOSE & KEY POINTS:					
Recommendations and supporting documentation for granting tenure and promotion for all eligible faculty					

members.

TTU Board of Trustees



FACULTY TENURE CERTIFICATION STATEMENT

- 23 faculty members are hereby recommended for tenure beginning in June 2017.
- _____ faculty members is/are recommended for tenure by exception.

If these recommendations are approved, the percentage of tenured faculty members at Tennessee Tech University in Fall 2017 will be <u>66%</u>, which includes new tenure-track positions anticipated for 2017 - 2018.

DATE: 4/27/2017



FACULTY TENURE RECOMMENDATIONS FOR 2017 – 2018

Recommended personnel are listed alphabetically by last name.

	Name	Department/Division	ivision Academic Rank		
1	Alley, Sean	Economics, Finance, & Marketing	Assistant Professor		
2	Anderson, Jennifer	Sociology & Political Science Assistant Professor			
3	Baker, Julie	Curriculum & Instruction			
4	Beach, Jason	Curriculum & Instruction	Assistant Professor		
5	Belkacemi, Rabie	Electrical & Computer Engineering	Assistant Professor		
6	Coonce, Janet	Chemistry	Instructor		
7	Davis, Philip	History	Instructor		
8	Deiter, Kristen	English	Associate Professor		
9	Hasan, Syed	Electrical & Computer Engineering	Assistant Professor		
10	Hellman, Ann	Nursing	Assistant Professor		
11	Howard, Martha	Curriculum & Instruction	Assistant Professor		
12	Isbell, Janet	Curriculum & Instruction	Associate Professor		
13	Jiang, Xiaohua	Chemistry	Assistant Professor		
14	Kalyanapu, Alfred	Civil & Environmental Engineering	Assistant Professor		
15	Kim, Wonkak	Music	Associate Professor		
16	Lloyd, Malinda	Curriculum & Instruction	Assistant Professor		
17	Luke, Charles	Counseling & Psychology	Associate Professor		
18	Metz, Jacob	Communication	Instructor		
19	Murdock, Justin	Biology	Assistant Professor		
20	Seiler, Steven	Sociology & Political Science	Associate Professor		
21	Sheehan, Martin	Foreign Languages	Associate Professor		
22	Sisk, Cara	Human Ecology	Instructor		
23	Williams, Brian	English	Assistant Professor		



FACULTY PROMOTION CERTIFICATION STATEMENT

27 faculty members are hereby recommended for promotion beginning in June 2017.

____ faculty members is/are recommended for promotion by exception.

Number of faculty at each rank prior to recommendations:

22 Instructor

112 Assistant Professor

80 Associate Professor

145 Professor

The recommendations for promotion include the following:

0 from Instructor to Assistant Professor

18 from Assistant to Associate Professor

9 from Associate to Professor

If these recommendations are approved, the distribution of rank among the faculty members at Tennessee Tech University in Fall 2017, including new positions being anticipated, will be:

RANK	NUMBER	PERCENTAGE
Instructor	37	9.7%
Assistant Professor	101	26.5%
Associate Professor	89	23.4%
Professor	154	40.4%

The percentage of total faculty recommended for promotion in June 2017 is 7.1%.

DATE: 4/27/17

FACULTY PROMOTION RECOMMENDATIONS FOR 2017 – 2018

Recommended personnel are listed alphabetically by last name.

	Name	Department/Division	Current Rank	Proposed Rank
1	Alley, Sean	Economics, Finance, &	Assistant Professor	Associate Professor
	A . 1	Marketing		
2	Anderson,	Sociology & Political	Assistant	Associate
	Jennifer	Science	Professor	Professor
3	Beach, Jason	Curriculum & Instruction	Assistant	Associate
			Professor	Professor
4	Belkacemi,	Electrical & Computer	Assistant	Associate
	Rabie	Engineering	Professor	Professor
5	Burgin, Chris	Counseling & Psychology	Assistant	Associate
			Professor	Professor
6	Dainty, Helen	Curriculum & Instruction	Associate	Professor
	, ,		Professor	
7	DiFurio,	Economics, Finance, &	Associate	Professor
	Ferdinand	Marketing	Professor	
8	Eberle,	Computer Science	Associate	Professor
	William		Professor	
9	Graves, Laura	Curriculum & Instruction	Associate	Professor
			Professor	
1	Hanna,	Nursing	Associate	Professor
0	Kimberly		Professor	
1	Hasan, Syed	Electrical & Computer	Assistant	Associate
1		Engineering	Professor	Professor
1	Hellman, Ann	Nursing	Assistant	Associate
2			Professor	Professor
1	Holderman,	Library	Assistant	Associate
3	Sharon		Professor	Professor



1	Howard,	Curriculum & Instruction	Assistant	Associate
4	Martha		Professor	Professor
1	Hurley, Sheila	Nursing	Assistant	Associate
5			Professor	Professor
1	Jiang, Xiaohua	Chemistry	Assistant	Associate
6		·	Professor	Professor
1	Kalyanapu,	Civil & Environmental	Assistant	Associate
7	Alfred	Engineering	Professor	Professor
1	Kubiak,	Mathematics	Assistant	Associate
8	Damian		Professor	Professor
1	Laningham,	History	Associate	Professor
9	Susan		Professor	
2	Lloyd, Malinda	Curriculum & Instruction	Assistant	Associate
0			Professor	Professor
2	Loftis, Mark	Counseling & Psychology	Assistant	Associate
1			Professor	Professor
2	Murdock,	Biology	Assistant	Associate
2	Justin		Professor	Professor
2	Russell,	Nursing	Assistant	Associate
3	Bedelia		Professor	Professor
2	Siraj,	Computer Science	Associate	Professor
4	Ambareen		Professor	
2	Stretz, Holly	Chemical Engineering	Associate	Professor
5			Professor	
2	Wendt, Jeremy	Curriculum & Instruction	Associate	Professor
6			Professor	
2	Williams,	English	Assistant	Associate
7	Brian		Professor	Professor



College of Agriculture & Human Ecology

TENNESSEE TECH

MEMORANDUM

TO:

Dr. Bahman Ghorashi, Provost

FROM:

Dr. Lizabeth Mullens, Beamullens

DATE:

December 19, 2016

RE:

Employment of Dr. Dennis Duncan

Attached please find the recommendation of the search committee for the Director of the School of Agriculture. The position was first verbally offered to Dr. Barry Croom, who was not able to accept the position due to insufficient salary. As recommended by the search committee, the position was next verbally offered to Dr. Dennis Duncan, who accepted the position and agreed to start on January 1, 2017, if all approvals are completed.

The PAF is being submitted with the following recommendations:

- Academic year salary of \$83,000, with 25% of AY salary for summer
- January 1 start date
- \$6,000 in moving allowance (\$2,000 of which will be paid by CAHE Strategic Initiative Funds)
- Rank of full Professor (which he currently holds at UGA) and tenure (also which he
 holds at UGA) in the School of Agriculture, recommended by the Search Committee, and
 when approved by all appropriate authorities.

I approve the recommendation of the search committee and look forward to working with Dr. Dennis Duncan as Director of the School of Agriculture.

RECEIVED

OFFICE OF THE PROVOST

Office of the Dean • College of Arts and Sciences
Box 5065 • Cookeville, TN 38505-0001 • (931) 372-3118 • Fax (931) 372-6142

RECEIVED

August 15, 2016

Bahman Ghorashi, Provost and Vice President for Academic Affairs

Paul Sevens

From:

Memo to:

Paul Semmes, Dean

Subject:

Recommendation for rank of Professor with tenure to Dr. J. M. (Mike) Gotcher

I am pleased to recommend that Dr. James M. (Mike) Gotcher be granted the faculty rank of Professor with tenure in the Department of Communication as part of his appointment as Dean of the College of Interdisciplinary Studies. The consideration of faculty rank and tenure properly originates in the department appropriate to the candidate's discipline and experience, and since the Department of Communication is part of the College of Arts and Sciences, not Interdisciplinary Studies, this recommendation proceeds through my office.

Dr. Gotcher's CV was shared with the Chairperson (Dr. Brenda Wilson) and the five tenured faculty of the Department of Communication (Professor Halina Ablamowicz; Assistant Professor Scott Christen; Associate Professor Yun Ding; Professor James Stewart; and Professor Russ Witcher) and today four of the five tenured faculty met to consider tenure and rank (Professor Halina Ablamowicz could not be present and voted by proxy). The results of the meeting are as follows:

- The five tenured peers voted unanimously to grant tenure to Dr. Gotcher.
- The three tenured Professors voted to include Associate Professor Ding and Assistant Professor Christen as peers for the purpose of the consideration of faculty rank.
- The five peers voted unanimously to recommend the rank of Professor to Dr. Gotcher.

Department Chairperson Brenda Wilson concurs with these recommendations, and so do I.

Dr. Gotcher holds the Ph.D. in Organizational Communication from Louisiana State University (1990), is currently a tenured Professor of Communication at Austin Peay State University, has been Chair of the APSU Department of Communication and Theatre, and currently serves as Interim Dean of the College of Graduate Studies there. His CV shows evidence of significant professional publications and presentations, and a strong record of accomplishment clearly justifying these recommendations.

Please let me know if you need any additional information.

Thank you.

C: Dr. Brenda Wilson, Chair of the Department of Communication

Tennessee Technological University is a Constituent University of the Tennessee Board of Regenta



Agenda Item Summary

Date: June 15, 2017						
Division: Planning and Finance						
Agenda Item: Policy 506 General and Group Travel Policies						
Review	Action	No action required				

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

This policy sets forth appropriate reimbursement rates and guidelines for all expenses incurred on official business travel for Tennessee Tech. Provisions of this policy also may apply to individuals other than employees who are authorized to travel at Tennessee Tech expense. Specific provisions of the policy also address the travel of Board members. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with this policy and any approved exceptions hereto.

All travel must be consistent with the educational, research, and professional needs of Tennessee Tech. Employees must conduct all travel with integrity, in compliance with applicable laws, policies, and procedures, and in a manner that excludes considerations of personal advantage. Employees must exercise good judgment and conduct all aspects of travel in a cost-efficient manner.

Tennessee Technological University Policy No. 506



Effective Date: July 1, 2017

Policy No.: 506

Policy Name: General and Group Travel Policies

Policy Subject: Policy and procedures for claiming travel expenditures and submitting claims

Effective Date: July 1, 2017

I. Purpose

This policy sets forth appropriate reimbursement rates and guidelines for all expenses incurred on official business travel for Tennessee Tech. Provisions of this policy also may apply to individuals other than employees who are authorized to travel at Tennessee Tech expense. Specific provisions of the policy also address the travel of Board members. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with this policy and any approved exceptions hereto.

All travel must be consistent with the educational, research, and professional needs of Tennessee Tech. Employees must conduct all travel with integrity, in compliance with applicable laws, policies, and procedures, and in a manner that excludes considerations of personal advantage. Employees must exercise good judgment and conduct all aspects of travel in a cost-efficient manner.

II. Review

This policy will be reviewed every two years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Business and Fiscal Affairs in consultation with the Vice President for Planning and Finance, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Definitions

Clerical and Support Employee: for purposes of this policy, employees who are not faculty and who are classified under the Fair Labor Standards Act as non-exempt.

IV. Policy

- **A.** Authorization for general travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with this policy, as may be amended from time to time. Reimbursement for travel expenses shall be limited to expenses incurred upon travel authorized in advance in accordance with Section B.
- 1. Travel which may be authorized, and pursuant to which expenses may be reimbursed, shall be limited to the following:

- **a.** Travel which is necessary for the proper execution of official Tennessee Tech business, or in justifiable pursuit of Tennessee Tech's educational and research objectives; or
- **b.** Travel to meetings and conferences of a professional nature which will increase the attending employee's usefulness to Tennessee Tech.
- 2. Travel shall not include, and no reimbursement for expenses shall be made for, transportation in connection with an employee's official station of employment. The employee's "official station" is his/her regular area of employment activity, e.g., office headquarters, campus, or designated location of an employee established in the field.
- **a.** The official station of an employee shall be designated by the appointing authority.
- **b.** It is normally expected that the official station is that location at which the employee spends greater than 50% of his/her working time.
- c. For an employee required to be on call (as determined by his/her job description), either overnight or on weekends, the official station of the employee while on call becomes his/her residence, or the location at which the employee receives the call. Reimbursable mileage begins at the location at which the employee receives the call.
- **d.** In the event an employee is temporarily reassigned to a work location other than the usual official station, that location shall become the employee's official station. The employee will not be eligible for reimbursement unless the employee can demonstrate that commuting to the temporary location results in additional expense over the cost of the commute to the usual official station.
- **3.** The employee is considered to be on official travel status (and, as such, eligible for reimbursement of travel expenses) at the time of departure from the employee's official station or residence, whichever is applicable, for the purpose of traveling on Tennessee Tech business.
- **a.** Expenses for meals will be allowed when overnight travel is required outside the county of the employee's official station or residence.
- **b.** En route lodging will be allowed for only one day each way on trips of long duration.
- **c.** Expenses for lodging will only be allowed in cases where the approved and most direct or expeditious mode of travel will require more than ten (10) hours of continuous travel for trips of long duration.

- **d.** The lodging expense will not be considered en route lodging if it does not add an additional day of lodging expense. For example: An employee has a 9:00 a.m. meeting in Atlanta, GA. Assume the employee needs to work a full day prior to the trip. It would be less expensive and more convenient to drive rather than fly. The employee leaves the night before and drives to within two hours of Atlanta. Then the employee spends the night, continues the drive the next morning, and arrives for the 9:00 a.m. meeting. This will be reimbursed but is not considered en route lodging as it did not add an additional day of lodging expense to the normal travel expenses.
- **4.** The limitations on travel expenses contained herein are maximum amounts above which reimbursement shall not be made. Employees are expected to be as conservative as possible in incurring travel expenses.
- **5.** Reimbursement for travel expenses shall only be allowed for actual expenses incurred, subject to the maximum limitations shown on the General Reimbursement Rate Addendum.
- **a.** Receipts must accompany claims for reimbursement for all expenses exceeding the amount cited on the General Reimbursement Rate Addendum.
- **b.** Receipts are not required for meals reimbursed by per diem rates, taxi fares, tolls, and ferry fees.
- **c.** Lodging receipts are required and must itemize room charges and taxes. No expenses shall be reimbursed until after travel has been completed.
- **6.** Internet travel sites such as Expedia, Travelocity, or Kayak can be utilized to purchase single travel services such as an airline ticket. Internet travel sites cannot be used to purchase a package of more than one travel service. Purchases of travel packages that combine services such as lodging, airline, or vehicle rentals are not allowed. These package deals do not usually provide sufficient itemized pricing for each service purchased and therefore do not allow for proper comparison to rates per U. S. General Services Administration for federal employees within the continental United States (CONUS) or conference rates as required by policy.
- 7. Tennessee Tech issued credit cards (Procurement cards) may be used for the advance payment of registration fees, airline tickets, and baggage fees. Tennessee Tech procurement cards must not be used for advance payments of hotel and expenditures while in a state of travel.

B. Authorization of Travel

1. The President or his/her designee shall have authority to approve travel by employees or students of Tennessee Tech. Each employee should consult with his/her administrative officer for the appropriate department's or division's approval procedures.

2. In State Travel

- **a.** All employees should obtain prior authorization for in state travel by the employee's appropriate approving authority, except as noted in item b. below. Authorization may be verbal, written, or electronic.
- **b.** Written authorization may not be necessary for in state travel where the expected expenses will not be substantial, or when there is no advance notice of the circumstances necessitating the travel, and such travel is approved orally by the appropriate approving authority.
- **c.** Employees whose employment requires frequent in state travel may obtain blanket authorization in writing for such travel.

3. Out of State Travel

- **a.** All employees must obtain prior written authorization for out of state travel, which must be approved by the employee's appropriate approving authority.
- **b.** The authorization must show the name of the person traveling, purpose of the trip, destinations, date of departure and return, mode of transportation, estimated expenses, and availability of funds.
- **c.** If, in the normal course of official business, the employee must routinely travel into another state and back in the same day, such travel will be considered in-state travel and shall be subject to the in-state travel provisions. This exception applies for trips which do not exceed 50 miles into another state.
- **d.** Employees whose employment requires frequent out-of-state travel may obtain blanket authorization in writing for such travel.

4. All Other Travel

- **a.** Authorization for travel by an employee to Alaska, Hawaii, and all out-of-country travel shall be subject to approval by the President (or designee).
- **b.** Authorization for travel to Alaska, Hawaii, and all out-of-country travel by the president shall be subject to approval by the Tennessee Tech Board of Trustees.

C. Transportation

1. General

- **a.** All travel must be by the most direct or expeditious route possible and any employee who travels by an indirect route must bear any extra expense occasioned thereby.
- b. When work is performed by an employee in route to or from the official station, reimbursable mileage is computed by deducting the employee's normal commuting mileage from the actual mileage driven in performing the work in route to or from the official station. For example, if an employee normally commutes 10 miles (20 miles round trip), and performs work on the way home from the official station which results in 12 miles driven, the mileage reimbursement will be for 2 miles only, as that is the amount of mileage in excess of the employee's normal commute. In no instance shall mileage claimed for reimbursement exceed actual miles traveled.

2. Mode of Transportation

- **a.** Transportation for employees traveling singly should be by common carrier (air, train, or bus) whenever practical.
- **b.** The use of air travel is recommended when time is an important factor or when the trip is so long that other methods of travel would increase the subsistence expense.
- **c.** Automobile transportation may be used to save time when common carrier transportation cannot be satisfactorily scheduled, or to reduce expenses when two or more employees are making the trip.
- **d.** Reimbursement for personal vehicle use may be claimed at the lesser of the standard mileage rate or comparable cost of commercial transportation including taxi fares and/or limousine charges.

3. Common Carrier Travel

- **a.** When travel is by common carrier, the fare must not exceed the standard coach fare charged the general public, and advantage must be taken of round trip rates when available.
- **b.** The employee's copy of the ticket, or an acceptable receipt, must be submitted for reimbursement of common carrier expenses.

- **c.** Baggage fees will be allowed when necessary. A receipt is required for reimbursement.
- **d.** Charges for trip insurance are not reimbursable. The State of Tennessee is self-insured and does not purchase separate insurance, and therefore will not reimburse for insurance purchases made for trips.

4. Chartered Aircraft

- **a.** Generally, faculty and staff (including group travel and athletics) whose duties require travel will use commercial ground and air carriers or an institutional automobile. However, a chartered aircraft may be used if time and/or distance preclude ground travel or if a commercial air service is either unavailable or does not meet the needs of the traveler(s).
- **b.** The president shall assign the following duties to a responsible official:
- i. Reviewing and approving requests for charter air services;
- ii. Scheduling charter flights; and
- iii. Informing those who request charter flights of the charter company's policy on canceling scheduled flights.
- c. Charter services will be utilized only when it can be shown that the charter does not exceed the sum of all traveling costs by commercial carrier (e.g. transportation, meals, and lodging) or that circumstances necessitate travel when no other means is available.
- **d.** The charter company must provide the institution with an original, itemized invoice showing the beginning and ending dates of the charter, the origin and destination of each flight, and the names of passengers on each flight.

5. Automobile Travel

- **a.** When travel by automobile is appropriate, employees may use Tennessee Tech owned automobiles whenever available and feasible. However, Tennessee Tech owned vehicles should be used only on official business.
- i. When transportation is by a Tennessee Tech owned automobile, tolls, parking, gasoline, and storage expenses are allowable.
- ii. When using Tennessee Tech owned automobiles, employees will be furnished with courtesy cards for purchase of gasoline, oil, and other automobile services, and such expenses should not be claimed by employees as travel expenses.

- iii. Emergency out-of-pocket expenses, such as towing or emergency repairs, will be reimbursed but must be accompanied by proper receipt identifying the automobile and itemizing the services. Such expenditures must be of an emergency nature when immediate service is required and access to a state facility is not possible.
- iv. Major repairs should be approved by campus officials prior to work being performed. Such expenditures are allowed but should be filed for reimbursement separately.
- **b.** Personally-Owned Automobiles
- Mileage reimbursement rates are determined by the State of Tennessee
 Department of Finance and Administration and can be found on the General Reimbursement Schedule in the State's Comprehensive Travel Regulations.
- ii. The authorized mileage allowance includes all operating expenses such as gas, oil, and repairs precluding any separate claim for such items.
- iii. Employees may use reputable websites to determine point-to-point and/or vicinity mileage.
- iv. Procedures for calculating mileage are based on the fact that Tennessee Tech is prohibited from reimbursing employees for normal commuting mileage.
- v. If an employee begins or ends a trip at his/her official station, reimbursable mileage will be the mileage from the official station to the destination.
- vi. If work is performed by an employee in route to or from the official station, reimbursable mileage is computed by deducting the employee's normal commuting mileage from the actual mileage driven.
- vii. If an employee begins or ends a trip at a personal residence without stopping at the employee's official station, reimbursable mileage will be the lesser of the mileage from the employee's residence to the work destination or from the official station to the work destination.
- viii. On weekends and holidays, the employee may typically be reimbursed for actual mileage from his/her residence to the destination. If an employee travels between destinations without returning to his/her official station or his/her residence, reimbursable mileage is the actual mileage between those destinations.
- ix. The travel claim must indicate the employee's itinerary and must show the official business mileage. Business mileage as indicated by the official state map or reputable websites, such as Rand McNally, for out of state routes will be regarded as official. Vicinity mileage must be reported on a separate line and not included with point to point mileage. Only mileage on official business may be claimed.

- x. Necessary charges for hotel and airport parking will be allowed.
- **6.** Limousine and Taxi Service
- **a.** When travel is by common carrier, reasonable limousine and taxi fares will be allowed for necessary transportation.
- **b.** Bus or limousine service to and from airports will be used when available and practical.
- **c.** After arrival at destination, necessary taxi fares for traveling between hotels or lodging and meeting or conference will be allowed.
- **d.** No receipt is required for reimbursement of reasonable taxi fares.
- 7. Car Rentals at Destination
- **a.** Charges for automobile rental shall be allowed whenever it is more economical than alternative methods of transportation or it is the only practical means of transportation.
- **b.** Charges for insurance for rented automobiles are not reimbursable. The State of Tennessee is self-insured and does not purchase separate insurance, and therefore will not reimburse for insurance purchases made for rental vehicles.
- **c.** Employees should refuel before returning vehicles when possible.
- **8.** Tolls and Ferry Fees
- **a.** Reasonable tolls and ferry fees will be allowed when necessary.
- **b.** No receipt is required for reimbursement of tolls and ferry fees.
- **9.** Daily Parking Fees
- **a.** Employees required to utilize commercial parking facilities in the daily performance of duties, or while on travel status, will be allowed reimbursement for actual costs.
- **b.** Receipt is required if the fee exceeds the maximum indicated per day (see General Reimbursement Rate Addendum).

- **10.** Unnecessary meals and lodging expenses which are occasioned by the use of an automobile for reasons of the employee's personal convenience, or which are due to travel by an indirect route, will not be allowed.
- 11. If travel is by common carrier, the employee will be reimbursed for expenses in traveling to and from the common carrier including related parking expenses. Receipts must be furnished on airport and hotel parking exceeding maximum parking allowance in General Reimbursement Rate Addendum.

D. Lodging

- 1. Lodging expenses incurred within the state while on authorized travel will be reimbursable to the maximum shown on the General Reimbursement Rate Addendum.
- 2. Out of State Lodging
- a. Lodging expenses incurred out of the state while on authorized travel will be reimbursable to the maximum shown on the General Reimbursement Rate Addendum
- **b.** The maximum reimbursement rates for out-of-state travel are the same as those maintained by CONUS. The CONUS list, available on the General Services Administration web site, contains a standard reimbursement rate for lodging and meals and incidentals, and several pages of exceptions. Most destinations for out-of-state travel fall within the list of exceptions.
- **c.** En route lodging will be allowed for only one day each way on trips of long duration. En route lodging will only be allowed in cases when the approved and most direct or expeditious mode of travel will require more than ten (10) hours of continuous travel.
- **3.** Lodging expenses incurred while out of the country will be reimbursed at actual expenses with receipts.
- 4. Additional Lodging Expenses
- **a.** Sales taxes on lodging costs will be reimbursable.
- **b.** Higher rates for lodging at the location of a convention or conference will be allowed, without special approval, up to the amount indicated in the convention or conference brochure or conference website when attached to the travel claim.
- **c.** Any exceptions must be approved by the President.

5. Shared Lodging

- **a.** In the event of double occupancy for state employees on official travel, both employees should attach an explanation to his/her travel claim detailing dates and other employees with whom the room was shared. The receipt for the entire amount should be submitted with both claims.
- **b.** The lodging cost may be claimed by the employee who incurred the cost, or one half the double occupancy charge may be allowable for each employee.
- **c.** If a room is shared with other than a state employee, actual cost subject to the maximum in the General Reimbursement Rate Addendum will be allowed.

E. Meals

- 1. In-State and Out-of-State Meals
- **a.** Meals while on authorized travel will be reimbursed, subject to the meal allowance provided on the General Reimbursement Rate Addendum.
- **b.** The maximum per diem rates include a fixed allowance for meals and for incidental expenses (M&I).
- **c.** The M&I rate, or fraction thereof, is payable to the traveler without itemization of expenses or receipts.
- **d.** Incidentals are intended to include miscellaneous costs associated with travel such as tips for baggage handling, phone calls home, etc.
- e. The M&I rates for out-of-state travels are the same as those for federal employees, and are available on the General Services Administration's web site. As with lodging, there is a standard rate for the continental United States (CONUS), and a list of exceptions.
- **f.** Reimbursement for meals and incidentals for the day of departure shall be three-fourths of the appropriate M&I rate (either the in-state rate or CONUS rate for out-of-state travel) at the rate prescribed for the lodging location.
- **g.** Reimbursement for M&I for the day of return shall be three-fourths of the M&I rate applicable to the preceding calendar day.
- **h.** The CONUS M&I Breakdown should be used to determine the single meal allowance and the three-fourths calculation, when appropriate.

- i. Reimbursement for meals will not be permitted when overnight travel is not involved
- 2. Out-of-country meals are reimbursed at the maximum CONUS per diem rate for out-of-state travel. Reimbursements for actual receipts can be reimbursed if kept.
- **3.** When the expenses for an official banquet of a meeting or conference are in excess of the meal allowance, the excess will be allowed provided a receipt or proper explanation of the charge is submitted.
- **F.** Miscellaneous Expenses
- 1. Expenses for entertainment (employee or others), laundry, tips and gratuities, etc., are personal expenses and will not be reimbursed in excess of the incidental portion of the M&I rate.
- **2.** Telephone, Internet and Fax Expenses
- **a.** Charges for long distance telephone calls, internet, and/or fax on official business will be allowed.
- **b.** Charges for necessary local calls on official business will be allowed.
- **3.** Registration fees for approved conferences, conventions, seminars, meetings, etc., will be allowed including cost of official banquets and/or luncheons, if authorized in advance by the appropriate approving authority, and provided receipts are submitted with the travel claim.
- **4.** Fees for the handling of equipment or promotional materials will be allowed up to the maximum indicated (see General Reimbursement Rate Addendum).

G. Claims

- 1. The standard Travel Expense Claim Form, approved by the Vice President for Planning and Finance, shall be used for reimbursement of expenses.
- 2. The form must show movement and detail of expenses on a daily basis, be signed by the employee, and be approved by the appropriate approving authority prior to reimbursement.
- 3. Employee signatures on the travel claims must be original or electronic by an approved method. Where adequate controls have been implemented to minimize risks associated with travel claims (such as the risk that duplicate claims will be submitted or alterations made to the original claim subsequent to approval by approving authority), travel claims may be submitted for payment electronically via email.

- **4.** Receipts for appropriate expenses must be submitted with the claim for reimbursement.
- **5.** Expenses for books, supplies, postage, and other items that do not constitute actual traveling expenses should not be included in the claim form.
- **6.** Claims for reimbursement for travel expenses should be submitted no later than thirty (30) days after completion of the travel.
- 7. Complete travel claims and requisitions in accordance with the Procedures Manual for Completing Travel Claims and Requisitions.

H. Travel Advances

1. Normally travel expenses should be paid when incurred by an employee, with reimbursement made to the employee for actual expenses upon proper submission of a claim for travel expenses. Advances to employees for anticipated travel expenses may be made under the circumstances hereinafter described as permanent and temporary travel advances. Travel advances for Clerical and Support employees are approved by their immediate supervisor. Travel advances for exempt employees must be approved by the President or his/her designee.

2. Permanent Travel Advances

- **a.** When an employee has blanket travel authorization, and is expected to travel the major portion of each month, the employee may be placed upon permanent travel status.
- **b.** Upon determination of the employee's estimated monthly expenses, if such expenses exceed \$100, the employee may be provided with a single advance in an amount sufficient to cover such expenses for one month, provided such amount may not exceed the semi-monthly salary of the employee.
- **c.** Subsequent to the initial advance, the employee shall submit appropriate claims and be reimbursed as heretofore provided, with any unused portion of the advance to be returned upon termination of the employee's permanent travel status.

3. Temporary Travel Advances

a. When temporary travel is authorized for an employee, the employee may receive an advance, provided a request for the advance, including estimated expenses, is submitted to the appropriate approving authority with the request for written authorization for the travel, and is approved.

- **b.** An amount equal to 80% of the estimated out of pocket expenditures will be allowed as an advance, however, no advance less than \$100 will be made.
- **c.** Students traveling under individual authorizations or an employee traveling with a student or students who is responsible for disbursing all funds for the trip may be advanced 100% of the amount of the authorization.
- 4. Payroll Deduction Authorization
- **a.** Each employee receiving a permanent or temporary travel advance for the first time must sign a payroll deduction authorization form which will allow Tennessee Tech to recover the advance from any salary owed the employee in the event of termination of employment or failure to submit a travel claim.
- **b.** This deduction from payroll should be used as a last resort only in the event all other efforts to collect the advance have failed.
- **5.** Expense Claim
- **a.** Upon return, the employee should submit an expense claim detailing his/her actual expenditures. This claim should show the total expenses incurred. The advanced amount should be subtracted from this total. The excess expenses will be reimbursed to the employee.
- **b.** No advance should exceed actual expenses. If this does happen, however, the excess should be returned by the employee to the business office for deposit as a credit against the original advance with proper distribution being made of the actual expenses incurred.
- **c.** In the latter instance, the expense account claim should be forwarded to the business office with notification to file it with the advance request.
- **6.** Non-business Expenses
- **a.** You are eligible for reimbursement of travel expenses if your trip was entirely business related.
- **b.** If your trip was primarily for business and, while at your business destination, you extended your stay, made a personal side trip, or had other personal activities, you can obtain reimbursement for only your business related travel expenses.
- **c.** These expenses include the travel costs of getting to and from your business destination but do not include additional lodging, parking, and per diem for the days not required for the business travel.

- **d.** Additional days are not considered business related unless they are necessary to provide rest or sleep required for you to properly perform your duties.
- I. Athletic and Other Student Group Travel
- 1. Athletic Recruiting
- a. If a staff member has a "courtesy vehicle" due to his/her association with Tennessee Tech, the maximum rate allowed will be the rate allowed under these policies, less the portion of the IRS business standard mileage rate treated as depreciation.
- b. The following are subject to prior approval by the president or designee:
- i. Blanket travel authorization for scouting or recruiting; and
- ii. The travel of visitors and guests at institutional expense for any occasion related to recruiting.
- c. The actual cost of guest meals may be claimed when incurred by a staff member for recruiting purposes. Such claims must be submitted in appropriate detail. Receipts are required.
- d. Student Recruits
- i. Staff members are responsible for compliance with pertinent NCAA and conference rules regarding student recruits.
- ii. Lodging in campus facilities may be arranged if space is available. If campus space is not available, arrangements may be made for lodging in local motels/hotels, and, with the approval of the athletic director or designee, may be charged to the athletic department.
- iii. If available, the use of campus dining services should be arranged and costs may be charged to the athletic department. If necessary, staff members will be reimbursed at cost for off-campus meals, with reasonable and customary gratuities allowed. Receipts must accompany claims.
- iv. Transportation may be arranged through a local travel service and charged to the athletic department with the approval of the athletic director or designee.

 Automobile mileage may be reimbursed to a student recruit at the maximum rate allowed under this policy and procedures for the use of a personal vehicle.
- v. Entertainment expenses may be reimbursed at cost within NCAA and conference rules.

2. Travel

- a. Institution officials and guests of the institution that accompany the team or student groups on trips must be approved in advance by the President or designee.
- b. In all cases, team and group transportation will be arranged through established institutional procedures, and travel itineraries are to be arranged in advance.
- Documentation must be maintained in the athletic or other appropriate departments or offices indicating that various cost alternatives have been explored before making all arrangements and reservations.
- ii. However, if such arrangements are made by Tennessee Tech's purchasing office, that office should maintain the appropriate documentation.
- c. A roster of all individuals on a particular trip must be included with the itinerary documentation for proper accounting and auditing purposes and filed with the travel claim.
- d. A travel advance in the amount of 100% of the estimated trip expenses may be allowed. One person from the athletic department or coach staff member who is familiar with the travel regulations will be responsible for the advance and all bills connected with team or group travel.
- e. Receipts are required for all team or group travel expenses.
- f. Actual lodging expenses will be reimbursed.
- i. Documentation must be maintained in the athletic department or other appropriate department or office indicating that various cost alternatives have been explored before making all arrangements and reservations.
- ii. However, if such arrangements are made by the institution's purchasing office, that office should maintain the appropriate documentation.
- g. Miscellaneous expenses, such as movies while on trips, must be supported by receipts.
- h. Telephone calls by staff members for business purposes may be claimed with documentation
- i. Individual meals associated with team or group travel will follow this policy.
- j. All team or group meals and snacks will be reimbursed at actual cost.

- i. Gratuities not to exceed reasonable and customary rates are allowed.
- ii. Appropriate documentation and receipts are required.
- k. All travel claims and requisitions for team or group travel must be approved in writing by the appropriate approving authority.
- 3. Faculty who lead student group travel (abroad or domestic) must follow all requirements found in TTU Policy 215 (Faculty-led Domestic Trips) and TTU Policy 290 (Faculty-Led Study Abroad Short-Term Programs)

J. Exceptions

- 1. The President shall have the authority to grant exceptions to any part or all of the provisions of this policy when deemed appropriate and necessary; however, any exception directly affecting the President must be approved by the Chair of the Board of Trustees. Two areas of standing exceptions to the travel policy are provided. The first exception applies only to the President and Tennessee Tech employees traveling in the company of the President. The second exception applies to members of the Tennessee Tech Board of Trustees.
- 2. The first exception related to the President corresponds with Exception Number Three of the State's Comprehensive Travel Regulations. Special rates for this exception are found in the following addendum titled Special Rates Under Exception One. All provisions of Sections A through H of this policy shall be applicable unless superseded by the following.
- **a.** Transportation: First class travel on common carrier shall be allowable at the option of the above designated persons when accompanying others not employed by Tennessee Tech who are traveling in first class accommodations.
- **b.** Charges for automobile rental shall be allowed whenever it is more economical than alternative methods of transportation or whenever it is the only practical means of transportation.
- 3. The second exception members of the Board of Trustees shall be reimbursed for travel in the performance of their official duties in accordance with applicable provisions of the general policy unless superseded by the following, which corresponds with Exception Number Four of the State's Comprehensive Travel Regulations, provided that necessary approvals shall be made by the President. Members of the Board of Trustees shall be reimbursed by Tennessee Tech for all allowable travel expenses upon submission of a Travel Expense Claim Form and appropriate receipts. Special rates for this exception are found in the following addendum under the title Special Rates Under Exception Two.

V. Interpretation

The Vice President for Planning and Finance or his/her designee has the final authority to interpret the terms of this policy.

VI. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(C); Tennessee Department of Finance and Administration: Policy 8 – Comprehensive Travel Regulations

Approved by:

Administrative Council: 2017-02-22

University Assembly: 2017-04-19

Board of Trustees:



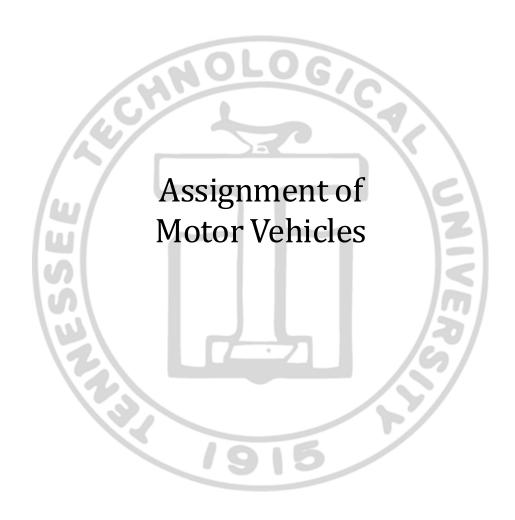
Agenda Item Summary

Date:	Date: June 15, 2017						
Divisio	Division: Planning and Finance						
Agend	a Item: Policy 562 As	signme	nt of Motor Vehicle	es			
	Review	\boxtimes	Action		No action required		
PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance							

PURPOSE & KEY POINTS:

The purpose of this policy is to provide structure to the assignment of a university-owned motor vehicle to Tennessee Tech's President.

Tennessee Technological University Policy No. 562



Effective Date: July 1, 2017

Policy No: 562

Policy Name: Assignment of Motor Vehicles Policy

Policy Subject: Motor vehicle assignment

Effective Date: July 1, 2017

I. Purpose

The purpose of this policy is to provide structure to the assignment of a university-owned motor vehicle to Tennessee Tech's President.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President of Facilities and Business Services and consultation with the Vice President for Planning and Finance, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Policy

- A, At the time of employment, the Tennessee Tech President may elect to receive:
 - 1. Assignment of an institutional motor vehicle for her/his use; or
 - 2. A motor vehicle allowance.
- B. This election should be made at either;
 - 1. The time of employment, or
 - 2. As assigned motor vehicles are replaced.
 - a. This replacement should occur as needed based on the useful life of the vehicle and accumulated mileage.
 - b. In no circumstances should the replacement cycle be less than three (3) years.
 - C. Once the President elects to take the motor vehicle allowance, the President cannot change to an assigned vehicle.
- D. If the President selects a university-owned motor vehicle, Tennessee Tech will provide a four-door passenger sedan no more than five years old.
 - 1. Tennessee Tech will be responsible for the operating and maintenance costs of the motor vehicle.

- 2. In recognition that use of the assigned motor vehicle may include nonbusiness use, the President is required to maintain appropriate types and amounts of insurance to cover any non-business use of the motor vehicle.
- 3. To the degree that the motor vehicle is used for non-business purposes, Tennessee Tech shall report on the President's Form W-2 the value of such personal use in the employee's income as compensation subject to withholding for federal income taxes and applicable FICA taxes. Additionally, these amounts shall be considered as compensation for employee benefit purposes.
- E. If the President selects a motor vehicle allowance, the President shall receive a monthly cash allowance from Tennessee Tech.
 - The monthly automobile allowance, under Internal Revenue Service
 (IRS) regulations, must be included in compensation on the employee's Form
 W-2 and is subject to federal withholding and applicable FICA taxes.
 Additionally, automobile allowance payments are considered compensation
 for employee benefit purposes.
 - 2. The President shall be responsible for all expenses related to the purchase/lease of a motor vehicle appropriately suited for the conduct of Tennessee Tech business as well as operation, insurance, maintenance, and repair costs.
 - 3. Tennessee Tech's Office of Business and Fiscal Affairs will initially calculate and periodically update the monthly automobile allowance amount based on the estimated monthly lease value of the motor vehicle and an operating component that applies a mileage rate that considers only the marginal operational cost of a vehicle and assumes 12,000 business miles are driven annually.
 - 4. A President whose business-related travel exceeds 12,000 miles annually is eligible to be reimbursed for the additional business-related mileage.
 - a. If requesting such reimbursement, the President must provide a log that documents all business-related miles for the year.
 - b. The log submitted should comply with IRS guidance for documentation of business usage of a motor vehicle.
 - c. The reimbursement rate shall equal the Board's approved mileage rate at that time, less the IRS standard mileage rate at that time attributed to depreciation.

d. This mileage reimbursement paid is not considered compensation for income tax purposes and is not subject to federal withholding and applicable FICA taxes.

IV. Interpretation

The Vice President of Planning and Finance or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. 49-8-203(a)(1)(C)

Approval:

Administrative Council: 2017-04-05

University Assembly: 2017-04-19

Board of Trustees:



Agenda Item Summary

Division: Planning and Finance Agenda Item: Policy 535 Foundations Review Action No action required	Date: June 15, 2017			
	Division: Planning and Finance			
Review Action No action required	Agenda Item: Policy 535 Foundation	ns		
	Review	Action	No action required	

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

The purpose of this policy is to assure that, with regard to any foundation established to support Tennessee Tech, the relationship of the foundation to Tennessee Tech is clearly defined and is set forth in a formal, written manner that (1) defines the legal authority and operating control of Tennessee Tech with respect to the foundation; (2) describes the relationship of the foundation to Tennessee Tech and the extent of any liability arising out of that relationship; and (3) demonstrates that the fund-raising activities of the foundation further the mission of Tennessee Tech.

Tennessee Technological University Policy No. 535



Effective Date: July 1, 2017

Policy No.: 535

Policy Name: Foundations

Policy Subject: Policy on foundations

Date Effective: July 1, 2017

I. Purpose

The purpose of this policy is to assure that, with regard to any foundation established to support Tennessee Tech, the relationship of the foundation to Tennessee Tech is clearly defined and is set forth in a formal, written manner that (1) defines the legal authority and operating control of Tennessee Tech with respect to the foundation; (2) describes the relationship of the foundation to Tennessee Tech and the extent of any liability arising out of that relationship; and (3) demonstrates that the fund-raising activities of the foundation further the mission of Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Vice President for Planning and Finance, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Policy

- A. A foundation is not an operational function of the university; it is a separate legal entity. A foundation's identity must be maintained separate from Tennessee Tech.
- B. A foundation's relationship to Tennessee Tech is based upon a shared interest in Tennessee Tech's development and success of its mission. Therefore, Tennessee Tech's participation in and support of foundation operations and activities are appropriate and desirable.
- C. The accountability of a foundation and of Tennessee Tech as it relates to the foundation is a concern common to the foundation and Tennessee Tech. Tennessee Tech must not promote, encourage, or agree to use of a foundation in ways that are, or appear to be, abusive, inappropriate, or do not follow sound business practices.

D. General Requirements

1. The governance structure of a foundation must be determined by the foundation. To ensure an appropriate level of university participation in the foundation governance, Tennessee Tech's President or his/her designee must hold a voting membership on the foundation's governing body. In order to assure that the foundation acts as a separate entity, a quorum of its governing

- body may not consist of a majority of members who are employed by Tennessee Tech.
- 2. Tennessee Tech shall enter into a written agreement with any foundation governed by this policy that documents Tennessee Tech's understanding of their relationship and describes their respective responsibilities. Tennessee Tech must use a standard agreement that is attached to this policy or another agreement approved by the President. Every agreement must contain, at a minimum, the provisions of the standard agreement.
- 3. Tennessee Tech shall not enter into a written agreement with a foundation unless the foundation
 - a. Adopts an annual budget. In order to assure that the foundation's objectives are aligned with those of the university, Tennessee Tech shall advise the foundation of its needs and priorities for the fiscal year in question.
 - b. The foundation's governing body shall issue reports, at least annually, on the activities of the foundation, which shall be submitted to the President of the university. An annual financial report shall be issued, prepared in accordance with generally accepted accounting principles, including all required note disclosures. The report must be issued in a timely manner to be included as a component unit in the financial statements of Tennessee Tech.
 - c. Develops policies and procedures concerning its operations, including, but not limited to, the following:
 - 1) Policies that address the solicitation and acceptance of contributions to the foundation. The policies must incorporate sound business principles and safeguard compliance with donor intent and conditions. Such policies shall provide that, prior to acceptance of any gift to the foundation that will require substantial university support, such as staff, financial assistance, storage, on-going maintenance, etc., or become a liability for the University, the gift acceptance committee must review the details of the gift and recommend to the President approval and acceptance of the gift to further the mission of Tennessee Tech.
 - 2) Policies and procedures that address the management and investment of contributions to the foundation, subject to the requirements of the Uniform Prudent Management of Institutional Funds Act, T.C.A. Title 35, Chapter 10, Part 2.

- 3) Policies and procedures that address the foundation's procurement and contracting activities.
 - Such policies and procedures shall implement sound business practices and prudent use of foundation funds, including encouragement of the use of competitive procurement of goods and services, when practicable.
 - ii. Such policies and procedures must include a process for determining authority for authorizing contracts on behalf of the foundation and for authorizing expenditure of foundation funds. Authority for these functions cannot be delegated solely to an employee of the university.
- 4) Policies that, in accordance with T.C.A. § 49-7-107(c), establish and adopt a code of ethics that apply to and govern the conduct of all members of the foundation's governing body. Such policies shall require that members review and acknowledge the code of ethics annually.
- 5) Policies that identify who may release the foundation's records upon receipt of a request.
- 4. No university funds, including contributions to Tennessee Tech, may be transferred directly or indirectly to the foundation; however, this shall not prohibit Tennessee Tech from providing in-kind services to the foundation, such as office space and the use of support staff. It is understood that instances may occur where a donor inadvertently directs a contribution to Tennessee Tech which is intended for the foundation. Donor intent is always of utmost important as to where funds are directed.
- 5. Foundations must respect the Board's and Tennessee Tech's authority over personnel administration. Foundation expenditures for compensation and other payments to or for the benefit of university personnel and reportable as income to the recipient, such as salary, expense accounts, automobiles, club or other organization memberships and dues, etc., must be approved in advance, annually, by the President, unless the salaries funded by the foundation are in accordance with Tennessee Tech's compensation plan and included in its personnel budget. Advance approval of the President shall be required if payments outside Tennessee Tech's compensation plan are made to or for the benefit of any Tennessee Tech employee. This provision does not apply to reimbursement of business expenses incurred by Tennessee Tech employees or to non-taxable recognition awards given to Tennessee Tech employees.

- 6. In accordance with T.C.A. § 49-7-107(b), all annual reports, books of account, and financial records of the foundation shall be subject to audit by the Comptroller of the Treasury of the State of Tennessee. Records and accounts maintained by the foundation shall be audited on the same cycle as the university audit performed by the Comptroller, or, with the prior approval of the Comptroller, an independent public accountant may perform such an audit. The contract between the independent public accountant and the foundation shall be approved in advance by the Board and the Comptroller and shall be on forms prescribed by the Comptroller. All annual reports, books of account, and financial records of a foundation shall be available for audit by Tennessee Tech's internal auditors.
- 7. Copies of the initial and amended foundation charters and bylaws filed with the Secretary of State shall be submitted to the President and University Counsel.
- 8. The Board of Trustees shall have the authority to grant exceptions to this policy when deemed appropriate and necessary. An exception must be requested and granted in writing.
- E. No later than twelve (12) months after adoption of this policy, Tennessee Tech shall have conformed any existing agreement with foundations to the requirement of this policy.

IV. Interpretation

The Vice President for Planning and Finance has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 49-7-107

Approvers:

Administrative Council: 2017-04-05

University Assembly: 2017-04-19

Board of Trustees:



Agenda Item Summary

Date: June 15, 2017			
Division: Planning and Finance			
Agenda Item: Policy 536 Solicitation	on and Acceptance of	Gifts	
Review	Action		No action required

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

The purpose of this policy is to establish responsibilities and procedures regarding the solicitation and acceptance of Gifts to Tennessee Tech. Gift acceptance policies and procedures for Tennessee Tech are designed to provide prospective donors with the greatest flexibility—within legal parameters—in making Gifts in support of Tennessee Tech's mission. In addition, these policies and procedures seek to do the following:

- A. Protect the interests of donors of charitable Gifts to Tennessee Tech;
- B. Protect the interests of Tennessee Tech; and
- C. Delineate the administrative responsibilities of Tennessee Tech with respect to charitable Gifts received.

Tennessee Tech values and is responsible for its integrity, independence, and freedom to pursue its mission to support its programs. Tennessee Tech will not accept Gifts that are overly restrictive in its ability to use them in support of its mission.

Tennessee Tech University Policy No. 536



Effective Date: July 1, 2017

Policy No: 536

Policy Name: Solicitation and Acceptance of Gifts

Policy Subject: Policy on solicitation and acceptance of Gifts

Effective Date: July 1, 2017

I. Purpose

The purpose of this policy is to establish responsibilities and procedures regarding the solicitation and acceptance of Gifts to Tennessee Tech. Gift acceptance policies and procedures for Tennessee Tech are designed to provide prospective donors with the greatest flexibility—within legal parameters—in making Gifts in support of Tennessee Tech's mission. In addition, these policies and procedures seek to do the following:

- A. Protect the interests of donors of charitable Gifts to Tennessee Tech;
- B. Protect the interests of Tennessee Tech; and
- C. Delineate the administrative responsibilities of Tennessee Tech with respect to charitable Gifts received.

Tennessee Tech values and is responsible for its integrity, independence, and freedom to pursue its mission to support its programs. Tennessee Tech will not accept Gifts that are overly restrictive in its ability to use them in support of its mission.

II. Review

This policy will be reviewed yearly or whenever circumstances require review, whichever is earlier, under the leadership of the Vice President for University Advancement in consultation with the Vice President for Planning and Finance, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Scope

The scope of the Gift acceptance policy is limited to structures and programs housed within Tennessee Tech and Gifts specifically directed to Tennessee Tech and under its control. Pursuant to an agreement between Tennessee Tech and the Tennessee Technological University Foundation (hereinafter "Foundation"), the Foundation is the preferred vehicle to receive private Gifts supporting Tennessee Tech. However, should a donor specifically direct the Gift to Tennessee Tech, this policy will govern that Gift.

IV. Definitions

A. Bargain Sale: generally occurs whenever property is sold to Tennessee Tech for less than its Fair Market Value.

- B. Bequests: provisions donors make through their wills or similar documents to provide assets to Tennessee Tech. Donors can change bequests, i.e., they are revocable.
- C. Bonds: debt instruments from which the bondholder receives interest.
- D. Cash Gifts: gifts where the donor does not retain any interest and can either be Unrestricted and available for use at Tennessee Tech's discretion or they can be Restricted for use in a particular Tennessee Tech program, or purpose, including Endowment. Cash Gifts can be made through currency, check, electronic funds transfer, wire transfer, credit/debit card, automatic deductions from bank accounts, or payroll deduction by Tennessee Tech employees.
- E. Charitable Trusts: trusts in which donors place substantial funds or assets into irrevocable trusts with an independent trustee. CT assets are to go to Tennessee Tech on the death of the donor (and/or any specified beneficiaries), with the donor and/or any specific beneficiaries to receive regular payments from the CT during their lifetimes.
- F. Closely Held Business Stock: securities that are not broadly or publicly traded, including "C" Corp and "S" Corp stock.
- G. Disposal: right of Tennessee Tech to dispose of the Tangible Personal Property as it sees fit, including selling, recycling, or other means.
- H. Donor Advised Funds: private funds administered by a third party for the purpose of managing charitable Gifts on behalf of an individual or family. A Donor Advised Fund allows the donor or others designated by the donor to make recommendations regarding charitable Grants made by the fund. The donor generally has significant latitude in directing these funds, but the foundation must, by law, retain the ability to ultimately direct Grants made by the fund.
- I. Electronic Delivery: donor holds securities in brokerage/trust account and instructs broker to transfer stock/bond to an account in Tennessee Tech's name.
- J. Endowment: Gifts made to Tennessee Tech and in which the donors and Tennessee Tech agree that the principal will not be expendable, except under terms of the Gift agreement. Endowment Gifts must adhere to Tennessee Tech's Endowment Policy 522.

- K. Fair Market Value: amount of money at which property would sell between a willing buyer and seller and is the value Tennessee Tech will use to value Tangible Personal Property, regardless of the value the donor may be able to claim as a deduction for income tax purposes.
- L. Gift: where the donor:
 - 1. Intends to make a charitable contribution (donative intent);
 - 2. Does not receive any goods or services or provision for exclusive information in return, except as provided in Internal Revenue Service guidelines;
 - 3. Does not retain any implicit control over the Gift once made and accepted by Tennessee Tech; and
 - 4. Awards the Gift irrevocably.
- M. Grants: typically made by corporations, foundations, or other organizations, may be treated as philanthropic contributions or Gifts as long as the terms of the Grants do not involve a contractual, quid pro quo relationship and/or proprietary deliverables back to the organization making the grant.
- N. IRA or Qualified Retirement Plan: Gifts in which donors make provisions that some or all of their retirement plan assets are distributed directly to Tennessee Tech upon donors' deaths.
- O. Life Insurance: both in-force and new policies that are used to make charitable Gifts to Tennessee Tech.
- P. Mutual Funds: vehicles in which investors pool their capital to buy Stocks or other securities selected by professional investors; may be comprised of Stocks, Bonds, or both.
- Q. Private Foundations: generally founded by an individual, a family, or a group of individuals, and are organized either as a nonprofit corporation or as a Charitable Trust. Donors can appoint themselves, as well as other family members or friends, to sit on the foundation's governing board. A Private Foundation must make minimum distributions of a percentage of its net investment assets each year, regardless of actual income earned. Distributions must be made to public organizations for charitable purposes.

- R. Publicly Traded Securities: Stocks and Bonds that are regularly traded on a public stock exchange.
- S. Real Estate Gifts: examples of Real Estate Gifts include single and multiple family residences, condominiums, apartment buildings, rental property, commercial property, farms, and undeveloped land.
- T. Restricted: Gifts donors make to Tennessee Tech for specific purposes (e.g., scholarship program, specific research project, Endowment) consistent with Tennessee Tech's mission.
- U. Retained Life Estate Gifts: Gifts of real property where Tennessee Tech does not take possession until the owner has ceased to retain his/her interest in the property. Examples of such Gifts are homes, condominiums, and farms, where the donor continues to occupy the residence or operate the farm without disruption during the donor's life. Thereafter, the residence or farm will either be sold or used by Tennessee Tech for purposes specified by the donor, if any.
- V. Series EE Bonds: purchased for 50 percent of their face value; difference between the value at maturity and their purchase price is taxed at the donor's ordinary income tax rate. Donors may not make a Gift of Series EE Bonds directly to a nonprofit organization without first being taxed on any accumulated income. Most donors will have deferred the taxation of interest on these Bonds and will most likely incur a substantial tax liability upon Gifting them to Tennessee Tech.
- W. Stocks: equity investments that represent ownership interest in a corporation; shareholders may receive a distribution of corporate profits through dividends.
- X. Supporting Organizations: sometimes called supporting foundations—are separate nonprofit corporations that operate under a non-profit organization's charitable umbrella. Through their own boards (on which the donors may choose to serve), Supporting Organizations determine their own investment strategies and grant priorities. They have flexibility, similar to that of a Private Foundation, but donors avoid the associated costs, excise taxes, and legal and administrative obligations of a Private Foundation, including minimum distribution requirements.
- Y. Tangible Personal Property: any personal property (other than real property) that is subject to personal ownership. Examples can include personal collections of art, books, coins, or movies; cars, boats, and aircraft; animals, such as livestock; equipment; software; printed materials; and food or other items used

- for hosting dinners. Such property may include Gifts donated for purposes of being auctioned at charity fundraising events.
- Z. Unrestricted Gifts: made by donors for uses determined by Tennessee Tech, i.e., donors do not place any restrictions on how Tennessee Tech can use their Gifts.
- AA. U.S. Treasury Agency Securities: Securities issued by agencies of the U.S. Government (e.g., Federal National Mortgage Association).
- BB. U.S. Treasury Bills: short-term (less than 1 year) securities issued by the U.S. Government; holder receives face amount at maturity.
- CC. U.S. Treasury Bonds/Notes: U.S. Government-issued Bonds with maturities from 1 to 30 years; holder receives face amount at maturity.
- DD. Zero Coupon Bonds: Bonds that are purchased at a discount and reach face value at maturity.

V. Policy/Procedure

A. General Statement

- 1. The Board of Trustees recognizes the vital importance of Gifts to Tennessee Tech.
- 2. The Board of Trustees authorizes and encourages Tennessee Tech to solicit and accept Gifts for purposes that are consistent with the mission.
- 3. The President is authorized to accept Gifts on behalf of Tennessee Tech, subject to the following conditions:
 - a. Only the Board of Trustees may accept a Gift if board acceptance is a condition set by the donor;
 - b. Only the President and Board of Trustees may accept Gifts of real property or any permanent interest in real property, and title must be conveyed to the Board on behalf of Tennessee Tech, in the name of Tennessee Tech for the use and benefit of Tennessee Tech.
 - c. Any acquisition of real property by Gift or devise that obligates Tennessee Tech to expend State of Tennessee funds for capital improvements or continuing operating expenditures must be approved by the State Building Commission in accordance with T.C.A. 4-15-102(d)(2) prior to acceptance by the President and Board of Trustees. Any such Deed transferring title to

Tennessee Tech shall not be recorded until the State Building Commission has approved the acceptance of the Gift property.

- 4. Gifts with conditions of use such as the development of a new academic program or use on a new capital project must be approved by the President prior to acceptance.
- 5. The President must approve gifts of property subject to an indebtedness prior to acceptance.
- 6. The President shall designate the campus official(s) authorized to approve and conduct activities for the purpose of soliciting Gifts to Tennessee Tech.

B. Guiding Principles

- 1. Tennessee Tech will seek Gifts from individuals, corporations, foundations, and other organizations that enable Tennessee Tech to support its mission.
- 2. In accepting Gifts, Tennessee Tech also accepts the responsibility to donors to steward Gifts, administer them properly, provide donors with appropriate financial information about their Gifts, and report, as appropriate, to donors about their Gifts' uses.
- 3. Gifts accepted by Tennessee Tech must not inhibit it from seeking Gifts from other donors or potential donors.
- 4. Gifts must be designed and administered in a manner consistent with legal requirements.
- 5. For sponsorship payments to be credited as a Gift, the payment must meet the IRS' Qualified Sponsorship Payment determination (IRS 598).
- 6. Tennessee Tech supports the Donor Bill of Rights as adopted by the Association of Fundraising Professionals (AFP).
- 7. In working with donors and prospective donors, Tennessee Tech staff members must practice the following to help avoid misunderstanding and/or conflict between donors and Tennessee Tech.
 - a. Gifts made with the condition that Tennessee Tech will spend the proceeds for the personal benefit of a named individual or individuals (e.g., tickets to athletics events) are not deductible for income tax purposes

and, therefore, are not receipted as charitable Gifts by Tennessee Tech.

- b. Tennessee Tech staff can provide personalized assistance to donors who seek to understand and choose from the wide range of giving vehicles and should inform such donors about specific protocols involved in Tennessee Tech approval and acceptance of various types of Gifts.
- c. While Tennessee Tech staff strive to maintain familiarity with current tax laws and policies, they are not able to give legal or tax advice to donors. Therefore, the information that Tennessee Tech staff members provide, along with the information provided in these policies, must not be considered or used as legal or tax advice.
- d. Donors and prospective donors must always confer with their own legal counsel, tax, and/or financial planning advisors for opinions about the tax or other legal consequences of specific Gift situations. This is especially true for planned Gifts and estate planning.
- e. Tennessee Tech will seek the advice of legal counsel in matters pertaining to Gifts of a complex nature.

C. Outright Gifts: Cash, Check, Credit/Debit Card, or Wire Transfer

- 1. TTU Policy 504.1 Revenue Collection, Receipting and Reconciliation must be followed when accepting Cash Gifts on behalf of Tennessee Tech.
- 2. Donors must be instructed to make all checks payable to Tennessee Tech University (if the Gift is designated for Tennessee Tech and not the Foundation). If the donor wants the Gift credited to a specific purpose, program, or fund, he/she must note that on the check and/or provide a separate letter of instruction or comparable instructions with the check. Otherwise it will be considered an Unrestricted Gift.
- 3. Checks received in other Tennessee Tech departments and units must be forwarded within one working day to Advancement Services, Alumni Building, with all original documentation, including envelopes and matching Gift forms that accompany the checks.
- 4. For determining receipt of the Gift for fiscal year and calendar year recognition purposes, the postmark date or comparable date will be used to determine the recognition date of the Gift.
- 5. Legal credit will be given to the individual or organization that is the legal owner of the account on which the check is drawn. This includes Gifts from

- partnerships, family foundations, community foundations, family or closely-held corporations, and donor-directed/donor-advised funds.
- 6. If it is unclear who owns the funds given to Tennessee Tech, Advancement Services staff will call the entity listed on the check.
- 7. For a wire transfer, the donor must give the financial institution the instructions on the Wire Transfer Information Form (or comparable instructions). This form must then be submitted and completed by the Executive Director of University Advancement.
- 8. Tennessee Tech can accept Gifts charged on MasterCard, Visa, American Express, and Discover. The date of the Gift is the date that the charge is processed, rather than the date the donor authorizes the charge—either by phone, mail, or email. Under Revenue Ruling 78–38, payment is not considered made—and, therefore, deductible by the donor—until the date the credit card transaction actually takes place, regardless of when the donor's credit card information is mailed and postmarked, phoned in, or emailed. To assist donors in making credit card Gifts, employees must refer the donor to the Gift and Pledge Services staff within Advancement Services.
- 9. Donors can also make Gifts using a credit/debit card through Tennessee Tech's website by following the instructions on the "Give" button.
- 10. Tennessee Tech employees can make charitable contributions via payroll deduction by completing and signing the Payroll Deduction Form and submitting it to the Vice President for Advancement's office. The amount authorized will be deducted from the employee's pay each pay period and then moved to accounts designated by the employee. Payroll deductions can be terminated at any time upon submitting a Payroll Deduction Form requesting termination.

D. Outright Gifts: Publicly Traded Securities and Mutual Fund Gifts

- A gift cannot be considered a charitable contribution until the donor relinquishes control of the asset. This occurs at different times depending on the nature of the transaction. To ensure prompt and accurate credit of stock Gifts, notify the Executive Director for University Advancement about all pending and received Gifts of marketable securities.
- 2. The most efficient and effective way to transfer marketable securities to Tennessee Tech is through Electronic Delivery. This transfer, which should be completed in 1 to 3 days, is deemed "complete" when the stock/bond/Mutual Fund shares are in a Tennessee Tech account that effectively gives Tennessee Tech "control" of the asset.

- 3. The Tennessee Tech staff member should advise the donor that he/she needs to give the name of the security, number of shares, date of transfer, and Gift designation in order to ensure prompt and accurate completion of the Gift.
- 4. When a donor personally delivers marketable securities to Tennessee Tech, the Gift will be deemed "complete" for income tax purposes on the day of delivery as long as Tennessee Tech has received the certificate with the back signed or a separate stock power is delivered and signed exactly as the names appear on the certificates. The certificates and all documentation shall be delivered immediately to Executive Director for University Advancement.
- 5. When donors decide to mail marketable securities to the Tennessee Tech through the U.S. Postal Service (or FedEx, UPS, or other private carrier), the donors should be advised to send the unendorsed certificate in one envelope and a stock power (signed exactly as the names appear on the certificates) in a separate envelope—both by registered mail. The Gift will be deemed "complete" on the date of the postmark of the latter envelope. The certificates and all documentation shall be delivered immediately to the Executive Director for University Advancement.
- 6. Tennessee Tech will issue a receipt for income tax purposes that indicates the name of the company (e.g., IBM), the number of shares (e.g., 200) the donor has given to Tennessee Tech, the date Tennessee Tech took control of the asset, and the purpose(s) for which the proceeds from the securities are to be used. Tennessee Tech will not indicate the dollar value of the securities on this receipt, because the dollar value is a matter between the donor and the IRS.
- 7. Tennessee Tech will immediately authorize its broker to sell all shares upon receipt.
- 8. For donors who want to make Gifts by transferring shares in open-end Mutual Fund companies, the Mutual Fund company will require the donor to sign a form authorizing it to transfer the shares to Tennessee Tech's account. Then, Tennessee Tech is required to complete a form that establishes that account and also submits a Corporate Resolution that authorizes selected individuals to act on behalf of Tennessee Tech. Some or all of the following may be needed:

 (a) letter of instructions from the shareholder, (b) letter of instructions from Tennessee Tech, (c) Corporate Resolution from Tennessee Tech, and (d) W-9

 Form from Tennessee Tech.
- 9. Tennessee Tech will immediately redeem the Mutual Fund shares and close the account so that each transaction is unique, absent unusual circumstances. The Gift is not "complete" until an account is established in Tennessee Tech's name and the shares are transferred into that account.

10. IRS regulations require that the Gift value for a publicly-traded stock or bond will be determined by taking the average of the high and the low trading price on the day the Gift is deemed completed. Mutual Fund shares are valued for Gift purposes at the net asset value (NAV) at the close of the day on which the Gift was received. Tennessee Tech will use the IRS Gift value as the recognition value for the donor's Gift.

E. Outright Gifts: U.S. Government and Other Agency Securities Gifts

Gifting U.S. Treasury Bills, Bond, Notes, Zero Coupon Bonds, Agency Securities, and Series EE Bonds is a complex process. Donors need to seek the advice or their financial advisors before Gifting these assets to Tennessee Tech.

F. Gift Acceptance Committee

- 1. The Gift acceptance committee is comprised of the Vice President for University Advancement, Vice President for Business and Planning, and the Executive Director of University Advancement, who chairs the committee.
- 2. As needed and appropriate, other Tennessee Tech staff will serve as resources to the committee.
- 3. The committee is charged with gathering, analyzing, and reviewing non-traditional Gifts or Gift opportunities with the goal of making a written recommendation to the President/Board of Trustees as to the acceptance of the Gift.

G. Real Estate Gifts

- The Executive Director for University Advancement will work with the appropriate Tennessee Tech personnel to obtain all necessary information for review before a Real Estate Gift can be accepted. The Gift Acceptance Committee will submit a recommendation to the President/Board for final approval of the Gift. The information needed includes the following:
 - a. Appraisal of the property by a qualified appraiser.
 - b. Real Estate Acquisition Data Sheet that identifies both the environmental and financial risks associated with the property.
 - c. Copy of deed and other survey or relevant documents that the donor may share.

- 2. The Executive Director of University Advancement will work with the donor to obtain an independent qualified appraisal of the property made no earlier than 60 days before the Gift and no later than the day before the date on which the tax return claiming the deduction is filed (including extensions). The IRS requires that the appraisal be arranged and paid for by the donor; therefore, Tennessee Tech cannot pay for this expense without potentially jeopardizing the donor's income tax deduction.
- 3. The donor must complete and sign the Real Estate Disclosure Data Sheet that provides information about the property, including mortgages, restrictions, covenants, liens, easements, and other encumbrances. In addition, upon review by the Gift acceptance committee, the donor may be required to sign a separate agreement releasing Tennessee Tech from any encumbrances on the property.
- 4. The donor must provide a copy of the deed. Other information, including a recent survey of the property, title insurance policy, or attorney's title opinion, would be helpful.
- Property subject to a mortgage can result in potential unrelated debt-financed income issues (UBTI) for Tennessee Tech. Therefore, Tennessee Tech needs to review carefully the pertinent IRS rules before accepting property Gifts on which there are mortgages.
- 6. To maximize the donor's chances of receiving a charitable tax deduction for his/her Real Estate Gift in the current tax year, the donor should be encouraged to start this process no later than October 15, because the Gift acceptance process can take 4 to 6 weeks.
- 7. If accepted, Tennessee Tech will issue a receipt containing the legal description of the real estate but not its appraised value. IRS Form 8282 must be completed if Tennessee Tech sells the property within three years. Tennessee Tech must also sign IRS Form 8283 if provided by the donor.
- 8. Absent unusual circumstances, Tennessee Tech disposes of Real Estate Gifts as expeditiously as possible, except for real estate that Tennessee Tech deems useful for program purposes. In disposing of Real Estate Gifts, Tennessee Tech will follow all IRS rules, including reporting any sales occurring within three years of the date of the Gift. All applicable requirements of the State Building Commission must be followed.

- 9. For Tennessee Tech to accept a Gift of a divided interest in multiple-owned property, a legal agreement must exist with the other owners regarding ultimate disposition of the property.
- 10. Gifts of partial interests will not normally be accepted with the exception of a retained life estate interest.
- 11. Because of the time, expense, and market risk associated with obtaining Real Estate Gifts, the property must normally have an aggregate market value of at least \$50,000.

H. Tangible Personal Property (Gifts-in-Kind)

- 1. In general, Tennessee Tech will accept only Tangible Personal Property that can be readily liquidated and the funds applied to supporting Tennessee Tech's mission. Exceptions will be made when Tennessee Tech can use the Tangible Personal Property in carrying out its programs without undue additional expense.
- 2. No Tangible Personal Property shall be accepted that obligates Tennessee Tech to ownership of it in perpetuity, and no perishable property or property that will require special facilities or security to properly safeguard will be accepted. The Gift acceptance committee must review and approve any exceptions.
- 3. In evaluating all proposed Gifts of Tangible Personal Property, Tennessee Tech seeks to avoid Gifts whose acceptance includes costs and risks; often, a minimum value is required to ensure a sufficient gain to offset the cost of acceptance.
- 4. If the Gift of Tangible Personal Property is likely to be valued at more than \$5,000, the donor must have it appraised by a qualified appraiser within 60 days prior to the Gift's transfer to Tennessee Tech. Tennessee Tech will not pay any expenses connected with such appraisals.
- 5. A Tennessee Tech staff member will prepare a written summary of the proposed Gift of Tangible Personal Property and submit it to the Gift acceptance committee. At a minimum, this summary should include:
 - a. Description of the property (e.g., if artwork, the title, artist's name, medium, dimensions, and condition) and any special requirements or problems in connection with the Gift.
 - b. Estimate or appraisal of the Gift's Fair Market Value and marketability.

- c. Potential Tennessee Tech use, including a written assessment about how Tennessee Tech would benefit from the asset.
- d. Special arrangements requested by the donor concerning Disposal (e.g., price considerations, time duration prior to disposition, and potential buyers).
- 6. After reviewing the material, the Gift acceptance committee will make a determination whether to accept or reject the proposed Gift of Tangible Personal Property. The Committee's final determination will be communicated in writing to the donor.
 - If the Gift acceptance committee approves receipt of the Gift on behalf of Tennessee Tech, then Tennessee Tech will not appraise or assign a value to the Gift. IRS Form 8282 must be completed if Tennessee Tech sells the property within 3 years. Tennessee Tech must also sign IRS Form 8283 if provided by the donor.
- 7. Donors should be notified at the beginning of Gift discussions that Tennessee Tech will, as a matter of policy, cooperate fully in all matters related to IRS investigations of non-cash charitable Gifts.

I. Company Products and Services (Gifts-in-Kind)

- No corporate or business Gifts-in-kind shall be accepted that obligate
 Tennessee Tech to ownership of them in perpetuity or for a specified period of
 time, and no perishable property or property that will require special facilities
 or security to properly safeguard will be accepted. The Gift acceptance
 committee must approve any exceptions.
- 2. In evaluating all proposed corporate and business Gifts-in-kind, Tennessee Tech seeks to avoid Gifts whose acceptance includes unacceptable costs and risks.
- 3. The Executive Director for University Advancement will prepare written summaries of proposed corporate Gifts-in-kind and submit them to the Gift acceptance committee. At a minimum, these summaries should include:
 - a. Descriptions of the property and any special requirements or problems in connection with the Gift.
 - b. Estimate or appraisal of the Gift's Fair Market Value, less any non-profit discounts.

- c. Purposes of the Gift-in-kind, including Tennessee Tech programs that would benefit from using it.
- d. Special arrangements requested by the company concerning Disposal (e.g., time duration).
- 4. After reviewing the material, the Gift acceptance committee will make a determination whether to accept or reject the proposed Gift-in-kind. The committee's final determination will be communicated in writing through a Development staff member to the corporation or business.
- 5. Donors should be notified at the beginning of Gift discussions that Tennessee Tech will, as a matter of policy, cooperate fully in all matters related to IRS investigations of non-cash charitable Gifts.

J. Deferred Gifts

1. Charitable Bequests

- a. Donors can include bequests to Tennessee Tech in the body of their wills or in additions to them (codicils).
- b. To name Tennessee Tech as a beneficiary, donors must use "Tennessee Technological University" as the entity to receive the Gift.
- c. Donors who have indicated they have included Tennessee Tech in their estate plans will be encouraged to share copies of the sections of their wills or other similar documents with the director for planned giving for record-keeping and stewardship purposes.
- d. The Gift acceptance committee, along with Tennessee Tech's legal counsel, will review Gifts from deceased donors' estates that include property that is not acceptable and that Tennessee Tech intends to reject. Decisions shall be communicated expeditiously by Tennessee Tech's legal counsel to the estates' legal representatives.

2. Life Insurance

a. Tennessee Tech will accept in-force Life Insurance policies under the following conditions:

- 1) Full ownership must be transferred to Tennessee Tech.
- 2) Tennessee Tech reserves the right to surrender a policy if it so desires.
- 3) Policies must have a net cash value with no outstanding loans.
- 4) Before accepting a policy, Tennessee Tech must be provided with a summary of the policy, including the donor's cost basis and current cash surrender value.
- 5) When applicable, the donor should agree to contribute, on an annual basis, the amount necessary to maintain the policy in force.
- b. New Life Insurance policies taken out by donors must meet the following criteria:
 - 1) The policy must be with an insurance company rated A or better by A.M. Best Co.
 - 2) All proposals for Gifts of Life Insurance must be submitted to Tennessee Tech prior to making application for the policy and, if necessary, reviewed by the Gift acceptance committee.
 - 3) Tennessee Tech will not accept any insurance policy where the intent of the donor is for Tennessee Tech to pay future premium payments through policy loans.
- 3. Charitable Trusts
 - Tennessee Tech will apply the following provisions in working with donors who want to establish Charitable Trusts.
- a. In general, Tennessee Tech will not serve as sole trustee for a Charitable Trust.
- b. Careful consideration will be given to the age of the income beneficiary or beneficiaries, anticipated period of time the trust will be in existence, rate of payout, property intended to fund the trust, projected remainder interest to Tennessee Tech, and other pertinent factors prior to agreeing to serve as trustee of a Charitable Trust.
- c. Donors are free to select their own trustees in situations where Tennessee Tech does not serve as co-trustee.

- d. Fees for management of a Charitable Trust will be paid by the trust.
- e. No Charitable Trust shall be encouraged for which Tennessee Tech serves as co-trustee and that names individuals less than 60 years of age as income beneficiaries, or which names more than two income beneficiaries.
- f. No Charitable Trust shall be encouraged where it is determined that the calculated value of the remainder interest in the trust is less than 25 percent of the value of the funds transferred to the trust.
- g. The minimum amount required to establish a Charitable Trust for which Tennessee Tech serves as co-trustee is \$50,000.
- h. Income payments will be jointly determined by Tennessee Tech and the donor at the time the trust is established.
- 4. Retained Life Estate Gifts

Tennessee Tech will apply the following provisions in working with donors who want to make Retained Life Estate Gifts.

- a. As the life tenant of the property, the donor is still obligated to pay real estate taxes and fees for maintenance and insurance.
- b. Tennessee Tech usually accepts a retained life estate based on the life expectancy of the donor, i.e., not based on a fixed term.
- c. All Gifts of retained life estates must be reviewed by the Gift acceptance committee.
- d. Procedures for evaluating proposed life estate Gifts, as outlined in the Real Estate Gifts section above also apply to Gifts of retained life estates.
- e. The value of the property must be at least \$50,000 for Tennessee Tech to consider receiving it.
- f. The same approvals are needed as in Section V. F above.
- 5. IRA and Qualified Retirement Plan Gifts

The Executive Director for Planned Giving will apply the following provisions in working with donors who want to make Gifts through their IRAs or Qualified Retirement Plans.

- a. The donor will provide language to name Tennessee Tech as the beneficiary of assets from IRAs or other Qualified Retirement Plans.
- b. The Executive Director of Planned Giving will obtain verification of the commitment in the form of a letter from the donor or the donor's advisor.

K. Charitable Trusts and Other Charitable Entities Administered by Others

- 1. Because of the complexity of Gifts made to establish Supporting Organizations and Donor Advised Funds within Tennessee Tech, the Gift acceptance committee must review and approve all such arrangements.
- 2. Grants from Donor Advised Funds cannot be used to made payments on pledges committed by individual donors nor can the donor be provided any tangible benefit(s) from the donor advised Gift.

L. Non-Traditional Gifts

- 1. Non-traditional Gifts are complex assets that donors may want to use as Gifts because they offer opportunities to make substantial Gifts to Tennessee Tech while realizing substantial tax benefits. Frequently, these assets are related to business interests that donors have (e.g., partnership interests, oil and gas leases, and stock options).
- 2. The value of Closely Held Business Stock must be determined by a qualified appraiser as defined by the Internal Revenue Code. Copies of any shareholder buy/sell agreements must be obtained. The Gift acceptance committee must review pertinent documents to determine if Tennessee Tech should receive the securities as a Gift.
- 3. If Tennessee Tech intends to sell property obtained through a Bargain Sale, it must be determined that there is a market within a 12-month time horizon for the sale of the property.
- 4. Donors must assign both the royalty payments and the copyright (or other agreement) from which the royalty payments flow to Tennessee Tech.
- 5. The Gift acceptance committee must approve all Gifts of nontraditional assets.
- 6. Because of the infrequency and complexity of Gifts of nontraditional assets, these Gifts can carry with them additional risks and costs.

- 7. Tennessee Tech must make prudent decisions regarding the acceptance of these types of Gifts, as well as provide guidance to donors and their advisors regarding the impact such Gifts may have on donors' tax situations.
- **M.** For purposes of distinguishing university Gifts and related procedures from those of the foundation established pursuant to Tennessee Tech Policy 535 (Foundations):
- 1. Tennessee Tech may not accept Gifts specifically intended for the foundation, and only Gifts specifically for a foundation may be accepted by a foundation.
- 2. In general, Tennessee Tech resources may not be used to meet conditions of Gifts to a foundation, and only Gifts specifically intended for a foundation may be accepted by a foundation.
- 3. Tennessee Tech must maintain records of Gifts to the university separate from those of Gifts to the foundation

VI. Interpretation

The Vice President for University Advancement and the Vice President for Business and Planning, or their designees, jointly have the final authority to interpret the terms of this policy.

VII. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(2)

Approved:

Administrative Council: 2017-04-05

University Assembly: 2017-04-19

Board of Trustees:



Agenda Item Summary

ate: June 15, 2017			
ivision: Planning and Finance			
Agenda Item: Policy 648 Financial Exigency			
Review Action No action required			
PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance			
URPOSE & KEY POINTS:			
The purpose of this policy is to establish the criteria and process regarding financial exigency at Tennessee			

Tech.

Tennessee Technological University Policy No. 648



Effective Date: July 1, 2017

Policy No.: 648

Policy Name: Financial Exigency **Policy Subject:** Financial Exigency

Effective Date: July 1, 2017

I. Purpose

This policy establishes the criteria and process regarding financial exigency at Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Human Resources in consultation with the Vice President for Planning and Finance, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Scope

This policy does not pertain to reduction-in-force for staff positions and only pertains to the elimination of faculty and/or programs as a result of a financial crisis. Any reduction-in-force or reorganization of staff positions will follow TTU Policy 649 (Reduction in Force, Reorganization, and Elimination of Occupational Classifications) and does not require a declaration of a Financial Exigency.

IV. Definitions

Financial Exigency – The formal declaration that Tennessee Tech faces an imminent financial crisis, that there is a current or projected absence of sufficient funds for the campus as a whole to maintain its current programs and activities at a level sufficient to fulfill its educational goals and priorities, and that the budget can only be balanced by extraordinary means, which include the termination of existing and continuing academic and non-academic appointments.

V. Policy

- A. Prior to any faculty reduction-in-force or program elimination, Tennessee Tech must declare a Financial Exigency from an imminent fiscal crisis.
- B. The President must assess all documentation and procedures and take immediate steps to reduce expenditure levels prior to requesting a declaration of a Financial Exigency to the Board.
- C. If taking immediate steps to reduce expenditures does not result in an appropriate resolution, the President shall share all pertinent information with the entire faculty or its representative body and with representatives of other campus personnel to allow open discussions and advice from those bodies.

- D. After a reasonable period for discussion and review of the advice from the various constituencies and if the President remains convinced that a declaration of Financial Exigency is appropriate, he/she will present a recommendation(s) to alleviate the Financial Exigency to the Board for review and approval.
- E. Only the Board can declare a Financial Exigency.
- F. If the Board declares a state of Financial Exigency, the President, in consultation with Planning and Finance and with the affected departments, shall propose a plan to allocate necessary funding reductions among the primary budgetary sub-units.

VI. Interpretation

The Associate Vice President for Human Resources or his/her designee has the final authority to interpret the terms of this policy.

VII. Citation of Authority for Policy

T.C.A. § 49-8-301(a)

Approved by:

Administrative Council: 2017-04-05

University Assembly: 2017-04-19

Board of Trustees:



Agenda Item Summary

Date: June 15, 2017			
Division: Internal Audit			
Agenda Item: Ratification	n of Director of Inter	nal Audit	
Review	Action	No action required	

PRESENTERS: President Philip Oldham

PURPOSE & KEY POINTS:

Tennessee Code Annotated (TCA) § 49-14-102 requires each audit committee to employ a person qualified by training and experience to serve as chief internal auditor.

Deanna Metts, TTU Director of Internal Audit, currently serves as chief internal auditor for Tennessee Tech. She earned a Bachelor of Science in Accounting from the University of Tennessee Knoxville and a Master of Business Administration from TTU, holds a Tennessee Certified Public Accounting license, and has 38 years' experience in higher education internal auditing.



Agenda Item Summary

Date: June 15, 2017			
Division: Internal Audit			
Agenda Item: Adoption of	Audit Committee Ch	arter	
Review	Action	No action required	

PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

Tennessee Code Annotated (TCA) § 4-35-101 through 108 (known as the State of Tennessee Audit Committee Act of 2005) requires each governing board create an audit committee and requires that audit committee create an audit charter.

The charter, as presented, encompasses the requirements of the TCA § 4-35-101 through 108, as well as the requirements outlined in the State Comptroller's Guidelines for Audit Committee Charters. This charter does not reflect any of the TTU Board of Trustees Audit & Business Committee responsibilities unrelated to Internal Audit. Once adopted by the Audit & Business Committee and approved by the TTU Board of Trustees, this charter will be submitted to the comptroller's office for approval in accordance with TCA § 4-35-103.

Tennessee Tech University

Audit Committee Charter

Purpose

The Audit & Business Committee ("Committee"), a standing committee of the Tennessee Tech Board, will operate in compliance with the "State of Tennessee Audit Committee Act of 2005" (Tennessee Code Annotated Title 4, Chapter 35) and will assist the Board in fulfilling its responsibilities by reporting regularly to the Board about Committee activities and issues that arise.

The Committee will provide oversight in the following areas:

- A. Audit engagements with the Tennessee Comptroller's Office, including the integrity of financial statements and compliance with legal and regulatory requirements,
- B. Audit engagements with external auditors,
- C. Internal Audit activities,
- D. Internal Audit administration,
- E. Internal controls and compliance with laws, regulations, and other requirements,
- F. Risk and control assessments,
- G. Fraud, waste, and abuse prevention, detection, and reporting, and
- H. Other areas as directed by the Board.

II. Authority

The Committee has the authority to conduct or authorize audits or investigations into any matter within its scope of responsibility. The Committee is authorized to:

- A. Seek any information it requires from employees or external parties. Employees are directed to cooperate with the Committee's requests,
- B. Have access to all books, records, and physical properties of Tennessee Tech,
- C. Meet with Board and institutional officials, external and internal auditors, legal counsel, or others as necessary, and
- D. Delegate authority to subcommittees, providing that such decisions by any subcommittee are presented to the full Committee at its next scheduled meeting.

III. Responsibilities

The Committee has responsibilities for the following:

- A. Tennessee Comptroller's Office Audits ("State Auditors")
 - 1. Understand the scope and approach used by the State Auditors in conducting their examinations,

- 2. Review results of the Comptroller's examinations of financial statements and any other matters related to the conduct of the audits,
- Review with management and legal counsel any legal matters (including pending litigation) that may have a material impact on the financial statements, and any material reports or inquiries from regulatory or governmental agencies,
- 4. Ensure that the Comptroller is notified of any indications of fraud in the manner prescribed by the Comptroller,
- 5. Resolve any differences between management and the Comptroller's auditors regarding financial reporting, and
- 6. Meet, as needed, with the Comptroller's auditors to discuss any matters that the Committee or State Auditors deem appropriate.

B. External Audits

- 1. Understand the scope and approach used by the external auditors in conducting their examinations,
- 2. Review results of the external auditors' examinations and any other matters related to the conduct of the external audits, and
- 3. Meet, as needed, with the external auditors to discuss any matters that the Committee or external auditors deem appropriate.

C. Internal Audit Activities

- Ensure that the Director of Internal Audit reports directly to the Committee and has direct and unrestricted access to the chair and other committee members.
- 2. Review and approve the charter for the Tennessee Tech's Internal Audit department,
- 3. Review and approve the annual audit plans for Tennessee Tech's Internal Audit department, including management's request for unplanned audits,
- 4. Receive and review significant results of internal audits performed,
- 5. Work with Tennessee Tech management and Internal Audit to assist with the resolution of cooperation issues and to ensure the implementation of audit recommendations,
- 6. Review the results of the year's work with the Director of Internal Audit, and
- 7. Ensure the Tennessee Tech Internal Audit function maintains a quality assurance and improvement program, including internal procedures and assessments and a periodic external quality assessment of conformance with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.

D. Internal Audit Administration

- 1. Ensure the Director of Internal Audit's administrative reporting relationship to the President is independent.
- 2. Ensure that Tennessee Tech Internal Audit has adequate resources in terms of staff and budget to effectively perform its responsibilities.

- 3. Review and approve the appointment, compensation, reassignment, or dismissal of the Director of Internal Audit, and
- 4. Review and approve the compensation and termination of campus internal auditors.

E. Risk, Internal Control and Compliance

- Consider the effectiveness of the internal control system and compliance with laws and regulations, including computerized information system controls and security,
- 2. Review and evaluate risk assessments performed by institutional management and the Board, and
- 3. Inform the Comptroller of the Treasury of the results of risk assessments and controls completed by Tennessee Tech management.

F. Fraud

- 1. Ensure that the Board and the institution have an effective process in place to prevent, detect, and report fraud, waste and abuse.
- 2. Facilitate audit and investigative matters, including advising auditors and investigators of any pertinent information received by the Committee.

G. Other

- 1. Review and assess the adequacy of the Committee's charter every four years or as needed, whichever is earlier, requesting Board approval for any proposed changes.
- 2. Ensure there are procedures for the receipt, retention, and treatment of complaints about accounting, internal controls, or auditing matters.
- Review Tennessee Tech's code of conduct and /or policies regarding employee conduct to ensure that they are easy to access, are widely distributed, are easy to understand and implement, include a confidential mechanism for reporting code violations, are enforced, and include a conflict of interest policy.
- 4. Review Tennessee Tech's conflict of interest policy to ensure that the term "conflict of interest" is clearly defined, the policy is comprehensive, annual signoff is required, and potential conflicts are adequately resolved and documented.

IV. Independence

Each member shall strictly adhere to Board Policy 001 (Code of Ethics and Conduct and Conflict of Interest).

V. Membership

A. Pursuant to Tennessee Code Annotated Section 4-35-104, the Committee shall have at least three but not more than five members,

- B. The Committee and its chair shall be appointed annually from the Board membership by the Board pursuant to Board Policy 005 (Board Committees),
- C. Each Committee member shall serve for a term not to exceed two years and may be reappointed,
- D. The Committee chair shall serve for a term not to exceed two years and may be reappointed,
- E. The Committee chair preferably shall have accounting and financial management expertise, and
- F. The other members of the Committee shall be generally knowledgeable in financial, management, and auditing matters.

VI. Meetings

- A. The Committee shall meet as necessary, but at least annually, and also whenever requested by the chair of the Committee or Board or the Comptroller of the Treasury.
- B. The Committee may invite Board management, auditors, or others to attend and provide relevant information.
- C. The Board Secretary or designee shall take minutes at each meeting of the Committee and maintain approved minutes as the official record of such meeting.
- D. A majority of the members of the Committee shall constitute a quorum for the transaction of business.
- E. All meetings of the Committee shall adhere to the Open Meetings Act, Tennessee Code Annotated Title 8, Chapter 44, except that pursuant to Tennessee Code Annotated Section 4-35-108(b), the Committee may hold confidential, nonpublic executive sessions for the sole purpose of discussing the following:
 - 1. Items deemed not subject to public inspection under Tennessee Code Annotated, Sections 10-7-503 and 10-7-504, and all other matters designated as confidential or privileged under state or federal law,
 - 2. Litigation,
 - 3. Audits or investigations, and
 - 4. Matters involving information under Tennessee Code Annotated Section 4-35-107(a) where the informant has requested anonymity.

Approvals

Approved by:		Date:	
	Teresa Vanhooser		
	Chair of the Audit & Business Committee		
Approved by:		Date:	
	Thomas Jones		
	Chairman of the Board		



Agenda Item Summary

Date: June 15, 2017			
Division: Internal Audit			
Agenda Item: Approval of	Internal Audit Charter		
Review	Action	No action required	
			•

PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

The Internal Audit Charter describes Internal Audit's purpose, authority and scope, responsibility and role, organizational reporting structure, and the standards adhered to in the department.

Per Tennessee Code Annotated (TCA) § 4-3-304(9), Internal Audit must follow the Standards for the Professional Practice of Internal Auditing as prescribed by the Institute of Internal Auditors (IIA). The IIA standards require Internal Audit have a charter that addresses the purpose, authority, and responsibility of the internal audit activity.

The Chair of the Audit Committee and the Director of Internal Audit must sign the charter.

Tennessee Tech University

Internal Audit Charter

Purpose

Tennessee Tech Internal Audit is an independent objective assurance and consulting activity designed to add value and improve Tennessee Tech University management systems. Internal Audit helps Tennessee Tech University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. Internal Audit assists Tennessee Tech University's management in the effective discharge of their duties and responsibilities by evaluating activities, recommending improvements and providing other information designed to promote effective controls.

Assurance services involve the internal auditor's objective assessment of evidence to provide an independent opinion or conclusions regarding an entity, operation, function, process, system, or other subject matter. The nature and scope of the assurance engagement are determined by the internal auditor. There are generally three parties involved in assurance services: (1) the person or group directly involved with the entity, operation, function, process, system, or other subject matter — the process owner, (2) the person or group making the assessment — the internal auditor, and (3) the person or group using the assessment — the user.

Consulting services are advisory in nature, and are generally performed at the specific request of an engagement client. The nature and scope of the consulting engagement are subject to agreement with the engagement client. Consulting services generally involve two parties: (1) the person or group offering the advice — the internal auditor, and (2) the person or group seeking and receiving the advice — the engagement client. When performing consulting services the internal auditor should maintain objectivity and not assume management responsibility.

Tennessee Tech University's management has the primary responsibility for establishing and maintaining a sufficient system of internal controls.

Authority and Scope

Internal Audit's review of operations may include the examination and evaluation of the effectiveness of all aspects of institutional operations at Tennessee Tech University. In the course of its work, Internal Audit has full and complete direct access to all Tennessee Tech University books, electronic and manual records, physical properties, and personnel information relative to the performance of duties and responsibilities. All documents and information given to Internal Audit

during their work will be handled in the same prudent manner that Tennessee Tech University expects of the employees normally accountable for them.

Internal Audit has neither direct responsibility for, nor authority over, any of the activities, functions, or tasks it reviews nor shall their review relieve others of their responsibilities. The internal auditors must maintain a high degree of independence and not be assigned duties or engage in any operations or decision making in any activities that they would normally be expected to review or evaluate as part of the normal audit function.

Responsibility and Role

The role of Internal Audit is to assist members of the organization in the effective discharge of their responsibilities. Meaningful internal auditing requires cooperation among Internal Audit, Tennessee Tech University's administration, and the department under audit. In fulfilling their responsibilities, Internal Audit will:

- Comply with auditing standards established by the Institute of Internal Auditors to ensure the effectiveness and quality of the internal audit effort.
- Develop and implement audit plans and programs that respond to both risk and cost effectiveness criteria.
- Review the reliability and integrity of information, and the information technology processes that produce that information.
- Verify compliance with applicable policies, guidelines, laws, and regulations.
- Suggest policies and procedures or improvements to existing policies and procedures where appropriate.
- Provide audit reports that identify internal control issues and make cost-effective recommendations to strengthen control.
- Facilitate the resolution of audit issues with administrators who have the most direct involvement and accountability.
- Review institutional operations (financial and other) on an advisory basis to inform and assist management in the successful execution of their duties.
- Assist with audits or perform certain agreed upon procedures for external parties.
 External parties include but are not limited to audit offices of federal and state governments and related agencies.
- Review management's risk assessment process and advise management on the reasonableness and propriety of the assessment.
- Promote and evaluate fraud prevention and identification programs and investigate allegations involving fraud, waste, and abuse.
- Demonstrate and promote appropriate ethics and values within the organization.

• Communicate activities and information among the board, internal auditors, external auditors and the administration.

Organizational Status/Reporting Structure

The Tennessee Tech Director of Internal Audit reports directly to the Tennessee Tech Audit Committee and is administratively attached to the President's office. The budget for Internal Audit is approved by the Tennessee Tech Audit Committee.

Audit Standards and Ethics

Annrovals

The Internal Audit function adheres to The Institute of Internal Auditors' mandatory guidance including the Definition of Internal Auditing, the Code of Ethics, the Core Principles for the Professional Practice of Internal Auditing, and the *International Standards for the Professional Practice of Internal Auditing (Standards)*. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of internal auditing and for evaluating the effectiveness of the internal audit activity's performance.

Periodic Review of Internal Audit Charter

This charter will be periodically assessed by the Tennessee Tech Director of Internal Audit to determine whether the purpose, authority, and responsibilities defined in this charter are adequate to enable the internal auditing activity to accomplish its objectives. The results of the periodic assessment will be communicated to senior management and the Tennessee Tech Audit Committee.

Approvats			
Approved by	<u>:</u>	Date:	
	Teresa Vanhooser		
	Chair of the Audit & Business Committee		
Approved by	·	Date:	
	Deanna Metts		
	Director of Internal Audit		



Agenda Item Summary

Date: June 15, 20	017			
Division: Internal	Audit			
Agenda Item: Ap	proval of Policy 130-I	nternal Audit		
Review	Action	n 🗌	No action required	

PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

Policy 130 addresses Internal Audit's personnel, general responsibilities, planning, and reporting.

The Administrative Council and University Assembly have already approved this policy.

Tennessee Technological University Policy No. 130



Effective Date: July 1, 2017

Policy No.: 130

Policy Name: Internal Audit **Policy Subject:** Internal Auditing

Date Revised:

I. Purpose

This policy addresses staffing, responsibilities of the internal audit function, audit planning, and reporting on Tennessee Tech Internal Audit activities.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Tennessee Tech Director of Internal Audit, with recommendations for revision presented to the Audit & Business Committee and the Board of Trustees.

III. Definitions

- A. Internal Auditing an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.
- B. Risk the possibility of an event occurring that will have an impact on the achievement of an institution's goals and objectives.
 - 1. Risk is measured in terms of the impact an event may have and the likelihood that the event will occur.
 - 2. To optimize the achievement of the institution's goals and objectives, the Board and management act to minimize the related risks by implementing reasonable procedures to control and monitor the risks.
- C. Governance processes the combination of processes and structures implemented by the Board to inform, direct, manage, and monitor the activities of the organization toward the achievement of its objectives. Examples of such processes include:
 - 1. The organizational structure within an institution or a department;
 - 2. Policies, guidelines, and procedures instituted by the Board or management to direct and control a particular activity such as maintenance fees or hiring practices; and
 - 3. Preparation and review procedures for preparing reports such as annual financial statements or federal grant or financial aid reports.

IV. Policy

A. General Statement

- Internal Audit contributes to the improvement of Tennessee Tech's
 operations by providing objective and relevant assurance regarding risk
 management, control, and governance processes to management and the
 Board.
- 2. Management is responsible for identifying, evaluating, and responding to risks that may impact the achievement of the institutions objectives and establishing and maintaining adequate controls and processes.
- 3. To provide relevant information, Internal Audit will consider Tennessee Tech's goals, management's risk assessments, and other input from management in determining its risk-based audit activities.
- B. Pursuant to Tennessee Code Annotated § 4-3-304(9), Internal Audit shall adhere to The Institute of Internal Auditors' (IIA) International Standards for the Professional Practice of Internal Auditing, the IIA Code of Ethics, and the IIA Core Principles for the Professional Practice of Internal Auditing.
- C. To assure compliance with the IIA Standards, Internal Audit must implement and maintain a quality assurance and improvement program that incorporates both internal and external review activities.
 - 1. Internal reviews must include both ongoing and periodic review activities.
 - 2. External reviews must be performed at least every five years by a qualified, independent reviewer.
 - 3. Results of quality assurance reviews will be communicated to the Board Audit Committee and management.

D. Internal Audit Personnel

- 1. Internal Audit's staff must possess the professional credentials, knowledge, skills, and other competencies needed to perform their individual responsibilities.
- 2. The Internal Audit function collectively must possess or obtain the knowledge, skills, and other competencies needed to perform its responsibilities.
- 3. The Internal Audit Director must be licensed as a Certified Public Accountant or a Certified Internal Auditor, maintain an active license and annually complete sufficient, relevant continuing professional education to satisfy the requirements for the professional certification held.
- 4. Other internal auditors should annually complete sufficient, relevant continuing professional education to satisfy the requirements for their related professional certification or, in the absence of professional

- certification requirements, forty hours of relevant continuing professional education.
- 5. Pursuant to Tennessee Code Annotated § 49-14-102, the President shall recommend the appointment of the Internal Audit Director subject to approval by the Board Audit Committee.
- 6. Compensation of the Internal Auditors is subject to review by the Board Audit Committee.
- 7. Pursuant to Tennessee Code Annotated § 49-14-102, the Board may remove the Director of Internal Audit only for cause and by a majority vote.

E. Internal Audit Role and Scope

- 1. The Director of Internal Audit reports to the Board Audit Committee and is administratively attached to the President's Office.
- 2. The Internal Auditors' responsibilities include, but are not limited to:
 - a. Working with management to assess institutional risks and developing an audit plan that considers the results of the risk assessment;
 - b. Evaluating institutional controls to determine their effectiveness and efficiency;
 - c. Coordinating work with external auditors, program reviewers, and consultants:
 - d. Determining the level of compliance with internal policies and procedures, state and federal laws, and government regulations;
 - e. Testing the timeliness, reliability, and usefulness of institutional records and reports;
 - f. Recommending improvements to controls, operations, and risk mitigation resolutions;
 - g. Evaluating program performance;
 - h. Performing consulting services and special requests as directed by the Board Audit Committee or the President; and
 - i. Investigating allegations of fraud, waste, and abuse.
- 3. The scope of internal auditing extends to all aspects of institutional operations and beyond fiscal boundaries. The Internal Auditors shall have access to all records, personnel, and physical properties relative to the performance of duties and responsibilities.
- 4. The scope of a particular internal audit activity may be as broad or as restricted as required to meet management needs.
- 5. Internal Audit personnel are not responsible for the development and installation of systems and procedures, preparation of records, or any other activities that the internal audit staff may review or appraise. However, Internal Audit personnel may be consulted on the adequacy of controls

- incorporated into new systems and procedures or on revisions to existing systems.
- 6. To facilitate these responsibilities, Internal Audit will receive notices or copies of external audit reviews, program reviews, fiscally-related consulting reports, cash shortages, physical property losses, and employee misconduct involving fraud, waste, or abuse.
- F. Management is responsible for identifying, evaluating, and responding to potential risks that may impact the achievement of the institution's objectives.
- G. Audit Plans and Activity Reports
 - 1. Each year, after consultation with the President and other institution management, Internal Audit will prepare an annual audit plan.
 - 2. Audit plans will be reviewed and approved by the Board Audit Committee.
 - 3. Each year, Internal Audit will send an annual activity report of all significant audit services performed to the Board Audit Committee.
 - 4. Annual activity reports and approved audit plans will be provided to the Comptroller's Office, Division of State Audit.
- H. Pursuant to Tennessee Code Annotated § 4-3-304(9), working papers that are created, obtained or compiled by an internal audit staff are confidential and are not an open record.
- I. Communicating Results of Audits and Investigations
 - 1. Internal Audit will provide a written report of each audit and investigation of bona fide fraud, waste, and abuse events to the Board Audit Committee, management, and the Comptroller's Office, Division of State Audit.
 - 2. Internal Audit will communicate the results of follow-ups to findings or recommendations included in internal audit reports, investigation reports, and State Audit reports to the Board Audit Committee.
 - 3. In a case where allegations are of concern to management but do not constitute fraud, waste, or abuse or are de minimis in nature, Internal Audit will refer the case to management, and the case will not result in a written report.
 - 4. In a case where allegations are not substantiated by the review and there are no other operational concerns to report to management regarding the review, Internal Audit may close the case by writing a memo to the working paper file documenting the reason for closing the case.
 - 5. Internal Audit will provide reports on special studies, consulting services, and other non-routine items to the Board Audit Committee as appropriate, given the nature of the assignment.

- 6. The Internal Audit Director will sign all audit reports and transmit them directly to the President in a timely manner.
- 7. The Internal Audit Director will present significant results of internal audit reports to the Board Audit Committee as required by the Board Audit Committee.

V. Interpretation

The Board Audit Committee, or its designee, shall have final authority to interpret the terms of this policy.

VI. Citation of Authority

T.C.A. § 4-3-304(9); T.C.A. § 49-14-101 et seq.

Approved by:

Administrative Council: September 7, 2016

University Assembly: November 16, 2016



Agenda Item Summary

Date: June 15, 201	.7		
Division: Internal A	udit		
Agenda Item: Appr	oval of Policy 131-Preven	ting Fraud, Waste, or Abuse	
Review	Action	No action required	

PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

Policy 131 provides examples of fraud, waste, and abuse and states various stakeholders' responsibility related to preventing, reporting, and investigating fraud, waste, or abuse. This policy also spells out the methods available to report fraud, waste, and abuse, addresses the confidentiality of the information received in those reports, and fulfills the requirement in Tennessee Code Annotated (TCA) § 49-14-103 that the institution's internal audit establish a process by which students, employees, taxpayers, or their citizens may confidentially report suspected illegal, improper, wasteful, or fraudulent activity.

The Administrative Council and University Assembly have already approved this policy.

Tennessee Technological University Policy No. 131

Preventing and Reporting Fraud, Waste, or Abuse

Effective Date: July 1, 2017

Policy No.: 131

Policy Name: Preventing and Reporting Fraud, Waste, or Abuse

Policy Subject: Defining, preventing, reporting, and investigating fraud, waste, or abuse

Date Revised:

I. Purpose

The purpose of this policy is to define fraud, waste, and abuse and describe the procedures related to reporting and investigating fraud, waste, and abuse.

II. Review

The Director of Internal Audit will review this policy every four years or whenever circumstances require a review, whichever is earlier, and make recommendations for revision to the Audit & Business Committee and the Board of Trustees.

III. Definitions

- A. Fraud An intentional deception or attempt to deceive that violates a law or the public trust to obtain a financial or other benefit or to avoid an obligation.
- B. Waste Behavior involving the extravagant, careless, or needless use of government funds, property, and/or personnel. Waste results in the expenditure, consumption, mismanagement, use, or squandering of institutional assets or resources to the detriment or potential detriment of the institution. Waste may also result from incurring unnecessary expenses due to inefficient or ineffective practices, systems, or controls. Waste does not necessarily involve Fraud, violation of laws, regulations, or provisions of a contract or grant agreement.
- C. Abuse Behavior involving the use of government funds or property that a prudent person would not consider reasonable and necessary business practice given the facts and circumstances. Abuse includes misuse of authority or position for personal financial interest or those of an immediate or close family member or business associate. Abuse does not necessarily involve Fraud, violation of laws, regulations, or provisions of a contract or grant agreement. (U.S. Government Accountability Office, Government Auditing Standards, December 2011.)

Examples of Fraud, Waste, and Abuse include, but are not limited to:

- 1. Theft, misappropriation, misapplication, destruction, removal, or concealment of any institutional assets or resources, including but not limited to funds, securities, supplies, equipment, real property, intellectual property, or data,
- 2. Improper use or assignment of any institutional assets or resources, including but not limited to personnel, services, or property,

- 3. Improper handling or reporting of financial transactions, including use, acquisitions, and divestiture of state property, both real and personal,
- 4. Authorization or receipt of compensation for hours not worked,
- 5. Use, alteration, or manipulation of data, computer files, equipment, software, networks, or systems, including hacking, software piracy, or similar acts in violation of Tennessee Tech University Policy 801,
- 6. Forgery or unauthorized alteration of documents,
- 7. Falsification of reports to management or external agencies,
- 8. Pursuit of a personal benefit or advantage in violation of Tennessee Tech Policy 132,
- 9. Acceptance of bribes, kickbacks, or any gift, rebate, money, or anything of value, or any promise, obligation, or contract for future reward, compensation, property, or item of value, including intellectual property, except as exempted in Tennessee Tech Policy 132 or state statutes, including, but not limited to, § T.C.A. 3-6-305,
- 10. Employees making significant use of Tennessee Tech facilities, equipment, materials, or other resources, not otherwise available to the public, in the course of activities that are not related to Tennessee Tech, without prior disclosure and approval of their direct supervisor and the Business Office, and
- 11. Faculty or administrators' use of Tennessee Tech students or support staff for personal or non-Tennessee Tech related tasks that are more than incidental or de minimis in nature while the student or support staff is being paid by Tennessee Tech University.
- D. Executive Administrator Employees in administration who report directly to the President or are included in the EEO Code 100 classification as well as other select positions. This includes, the President, Assistant to the President, Provost, Associate Provosts, Deans, University Counsel, Vice-Presidents, Associate Vice Presidents, Assistant Vice Presidents, Compliance Officer, and Directors of Athletics, Institutional Research, Internal Audit, Purchasing, Affirmative Action, and the Cookeville Higher Education Campus.
- E. Internal Control Processes performed by management and employees to provide reasonable assurance of:
 - 1. Safeguards over institutional assets and resources, including, but not limited to, cash, securities, supplies, equipment, property, records, data, or electronic systems,
 - 2. Effective and efficient operations,
 - 3. Reliable financial and other types of reports, and
 - 4. Compliance with laws, regulations, contracts, grants, and policies.

Typical examples of Internal Controls may include, but are not limited to:

- 1. Adequate separation of duties among employees,
- 2. Sufficient physical safeguards over cash, supplies, equipment, and other resources,
- 3. Appropriate documentation of transactions,
- 4. Independent validation of transactions for accuracy and completeness,
- 5. Documented supervisory review and approval of transactions or other activities, and
- 6. Proper supervision of employees, processes, projects, or other operational functions.

IV. Policy

A. Prevention and Detection of Fraud, Waste, or Abuse

- 1. Tennessee Tech is committed to the responsible stewardship of public resources and endeavors to maintain a work environment that promotes honest and ethical behavior.
- 2. No employee shall engage in Fraud, Waste, or Abuse.
- 3. Each department is responsible for the prevention and detection of Fraud, Waste, and Abuse and must develop and follow Internal Controls for its prevention and detection.
- 4. Internal Audit, the Tennessee Comptroller of the Treasury (State Audit), and other federal, state, or outside agencies may perform audit procedures to detect or make recommendations to prevent Fraud, Waste, or Abuse.

B. Responsibility for Reporting Fraud, Waste, or Abuse

- 1. Tennessee Tech Executive Administrators with a reasonable basis for believing that Fraud, Waste, or Abuse has occurred must report such incidents immediately. Failure to report may result in disciplinary action.
- 2. Other employees with a reasonable basis for believing that Fraud, Waste, or Abuse has occurred are strongly encouraged to immediately report such incidents (T.C.A § 8-50-116).
- 3. Students, citizens, and others are also encouraged to report known or suspected acts of Fraud, Waste, or Abuse.
- 4. Proof of an improper activity is not required at the time the incident is reported.
- 5. Employees who knowingly make false accusations may be subject to disciplinary action.

C. Confidentiality of Reported Information

- 1. During investigations, investigators will limit information sharing to a "need to know" basis.
- 2. Pursuant to T.C.A § 49-14-103 (a), the following information is confidential and not subject to disclosure in a public records request;

- a. Detailed information received by the internal auditor about an ongoing investigation,
- The identities of persons communicating information in an investigation concerning allegations of Fraud, Waste, or Abuse, and
- c. Working papers of the internal auditor created during an investigation.
- 3. Although every attempt will be made to keep information confidential, circumstances such as a court order or subpoena may result in disclosure of individual identities and information.
- Because Tennessee Tech has a separate legal obligation to investigate certain complaints (e.g., complaints of illegal harassment or discrimination), Tennessee Tech cannot ensure anonymity or complete confidentiality in certain cases.
- D. Methods for Reporting Fraud, Waste, or Abuse.
 - 1. Employees, including supervisors, should not confront the suspected individual or initiate an investigation on their own since such actions could compromise the investigation.
 - 2. To report Fraud, Waste, or Abuse, employees, including supervisors, must report the matter as described below.
 - 3. Incidents of Fraud, Waste, or Abuse should be reported to one of the following:
 - a. A supervisor or department head,
 - b. An institutional executive (e.g. Dean, Associate Vice President, Vice President, President),
 - c. Tennessee Tech Internal Audit at 931-372-3045 or Tennessee Tech's Internal Audit Fraud, Waste, and Abuse online Report Form here, or
 - d. The Tennessee Comptroller of the Treasury's hotline for Fraud, Waste, and Abuse at 800-232-5454 or online here.
 - 4. If the incident involves the reporting employee's immediate supervisor, s/he should report the incident to the next highest-level supervisor or one of the executives or offices listed above.
 - 5. A department head, supervisor, or institutional executive who receives notice of known or suspected Fraud, Waste, or Abuse must immediately report the incident to Internal Audit or one of the following:
 - i. President.
 - ii. Vice President for Planning and Finance, or
 - iii. University Police,
 - who will immediately notify Tennessee Tech Internal Audit.
 - 6. The Director of Internal Audit will notify the Tennessee Comptroller of the Treasury of instances of Fraud, Waste, or Abuse.

7. Management will evaluate the information provided and make a determination concerning any other external reporting obligations.

E. Cooperation of Employees

Employees should assist with and cooperate in an investigation, and failure to cooperate may result in disciplinary action up to and including termination.

F. Protection from Retaliation

Tennessee Tech prohibits discrimination or retaliation against employees for reporting facts or allegations related to Fraud, Waste, or Abuse, or for cooperating with auditors conducting an investigation. Tennessee Tech will impose disciplinary actions, up to and including termination, on anyone who engages in retaliatory behavior.

G. Disciplinary Actions

Employees who engage in Fraud, Waste, or Abuse may be disciplined, up to and including termination, and may be subject to criminal prosecution.

H. Cases Involving Gross Misconduct

- 1. If an employee suspected of gross misconduct resigns during the investigation, the employee's personnel file will reflect the situation as of the date of the resignation and the outcome of the investigation.
- 2. An employee who is dismissed for gross misconduct or who resigns or retires to avoid dismissal for gross misconduct shall not be entitled to any payment for accrued but unused annual leave at the time of dismissal.

I. Referrals

In a case where allegations are of concern to management but do not constitute Fraud, Waste, or Abuse, or are de minimis in nature, Internal Audit will refer the case to the appropriate office for pertinent action, if any.

V. Interpretation

The President or his/her designee has the final authority to interpret the terms of this policy.

VI. Citation of Authority

T.C.A. § 3-6-305; T.C.A. § 4-35-107; T.C.A. § 8-19-501; T.C.A. § 8-50-116; T.C.A. § 8-50-807; T.C.A. § 49-14-101 et seq.

Approved by:

Administrative Council: September 7, 2016

University Assembly: November 16, 2016



Agenda Item Summary

Date: June 15, 2017			
Division: Internal Audit			
Agenda Item: Approval of	Policy 133-President	's Expenditures	
Review	Action	No action required	

PRESENTERS: Deanna Metts, Director of Internal Audit

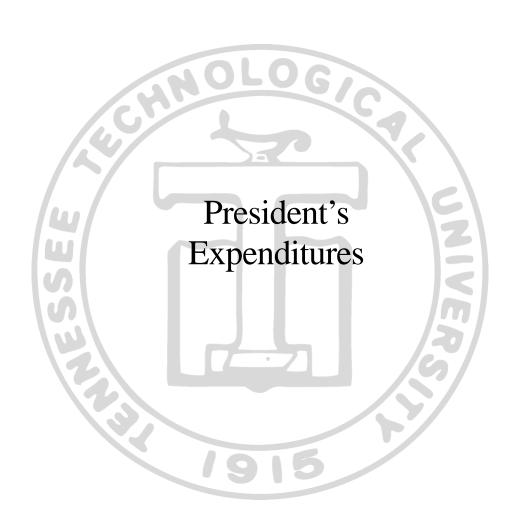
PURPOSE & KEY POINTS:

This policy describes the requirements of reporting the President's expenditures as outlined in Tennessee Code Annotated (TCA) § 43-14-104 and TCA § 47-7-3001.

TCA § 49-14-104 requires that the governing boards of each institution establish a policy requiring annual reports of expenditures made by, at the direction of, or for the benefit of the chief executive of the institution.

This policy replaces the Tennessee Board of Regents (TBR) policy of the same name.

Tennessee Technological University Policy No. 133



Effective Date: July 1, 2017

Policy No. 133

Policy Name: President's Expenditures

Policy Subject: Requirements for reporting expenditures and limitations on spending authority

I. Purpose

The purpose of this policy is to describe requirements related to the reporting of expenditures by the President of Tennessee Tech ("President").

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Director of Internal Audit, with recommendations for revision presented to the Board of Trustees.

III. Definition

Expenditure—any costs made by, at the direction of, or for the benefit of the President. Such costs include, but are not limited to, discretionary spending of unrestricted gifts, foundation funds, athletic funds, sponsorship fees, licenses and royalty fees, and other such funds not included in the operating budget for the President's office.

IV. Policy

- **A.** On or before December 1 of each year, the Director of Internal Audit shall file a financial audit of the President's office and Expenditures with the Board.
- **B.** The Board shall review the report at its next regular meeting.
- **C.** The President shall not have authority to grant himself/herself an exception to fiscal, spending, or travel policies established by Tennessee Tech or by statute.

V. Interpretation

The Board Chair or his/her designee has the final authority to interpret the terms of this policy.

VI. Citation of Authority for Policy

TCA § 49-14-104; TCA § 49-7-3001

Approved by the Board of Trustees:



Agenda Item Summary

Date: June 15, 20	017		
Division: Plannin	g and Finance		
Agenda Item: Co	mpensation Plans		
Review	Action	No action required	

PRESENTERS: Dr. Leslie Crickenberger, Associate Vice President for Human Resources

PURPOSE & KEY POINTS:

The Compensation Plans are intended to:

- Support the mission of Tennessee Technological University (TTU) in providing leadership and outstanding programs that benefit the people of Tennessee
- Attract, motivate and retain a well-qualified workforce
- Offer competitive compensation within relevant labor markets
- Recognize and reward individual initiative and achievements
- Ensure compliance with applicable laws and regulations



Agenda Item Summary

Date : June 15, 2017				
Division: Planning and Finance				
Agenda Item: Compensation Plans				
Review Action	No action required			

PRESENTERS: Dr. Leslie Crickenberger, Associate Vice President for Human Resources

PURPOSE & KEY POINTS:

The Compensation Plan is intended to:

- Support the mission of Tennessee Technological University (TTU) in providing leadership and outstanding programs that benefit the people of Tennessee
- Attract, motivate and retain a well-qualified workforce
- Offer competitive compensation within relevant labor markets
- Recognize and reward individual initiative and achievements
- Ensure compliance with applicable laws and regulations



EXECUTIVE SUMMARY

June 15, 2017

COMPENSATION PLAN

Overview of Current Plan

- Tennessee Tech's current Compensation Plan was developed in 2011 after an extensive compensation study by The Centre Group.
- The compensation study provided guidelines for new job families and pay grades, which allowed Tennessee Tech to identify target levels based on time-in-grade and a market analysis.
- Between 2011 and 2014 only minor changes were made to the compensation plan.
- The compensation plan, as identified in the 2011 study, was never fully funded due to limited state appropriations towards employee salaries.
- As a result, in 2015, Tennessee Tech proposed an addition to their compensation plan based on an internal need for merit based pay. This addition was approved at the Tennessee Board of Regents June 2015 meeting.

Proposed Changes

- Tennessee Tech has a need to be able to offer incentive compensation (bonus) plans in critical areas that focus on grant development and/or fundraising.
- The addition of an incentive compensation (bonus) plan will allow Tennessee Tech to develop specific bonus criteria that employees will have to meet in order to be eligible for a bonus.
- The majority of bonuses will be funded through grants/restricted funds as a result of increased gains in those areas.
- The purpose of the incentive compensation (bonus) plan is to incentivize those employees who
 actively participate in bringing additional funding to Tennessee Tech in support of TTU's
 mission.



JUNE 2017

TENNESSEE TECHNOLOGICAL UNIVERSITY

COMPENSATION PLAN

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Compensation Philosophy & Objectives

The Compensation Plan is intended to:

- Support the mission of Tennessee Technological University (TTU) in providing leadership and outstanding programs that benefit the people of
- Attract, motivate and retain a well-qualified workforce
- Offer competitive compensation within relevant labor markets
- Recognize and reward individual initiative and achievements
- Ensure compliance with applicable laws and regulations

Compensation Plan

TTU administers a compensation plan that attracts, motivates, and retains a well-qualified workforce. The plans are designed to balance internal equity and market competitiveness. Comparable jobs will be compensated within similar pay ranges/grades based on a review of each job and relevant market data. Individuals with similar backgrounds in experience, skills, and education will be hired at comparable rates for the same or similar job classifications.

Human Resources is responsible for completing relevant compensation data analysis for use in the development of compensation strategies that support TTU's objectives while staying within established budgetary constraints and compliance with all applicable laws and regulations. The daily operation of the compensation plan is the responsibility of the Associate Vice President for Human Resources.

TTU's compensation plan is continuously evaluated and revised as needed to ensure that TTU's mission is being met.

Background

In 2010 and 2011, TTU worked with The Centre Group to complete a study of TTU's compensation and classification system. The scope of the work included a review of the compensation system covering Clerical and Support, Administrative/Professional, and Executive positions. As a result of the study, new job families and pay grades were established for the Clerical and Support positions, and new pay grades were established for the Administrative/Professional and Executive positions. Once the new pay grades were developed, a target level of pay was calculated for each employee based on the time in the job and the pay range to which the job was assigned. A pay-to-market gap was calculated representing the difference between the employee's current pay and the target pay level. As TTU's goal was to pay at market, not above, those employees whose pay was at or above market (midpoint) were considered to be at or above target level. Following TBR approval of TTU's compensation plan at the September 2011 board meeting, TTU implemented the results of the compensation study for non-faculty employees with an effective date of October 1, 2011.

Between 2011 – 2016, TTU submitted minor changes to the compensation plan. In 2016, TTU conducted an overall internal assessment of the compensation plan and determined a need for merit based pay. The revised compensation plan included merit based pay and was presented and approved by TBR at the June 2016 Board Meeting.

Coverage

The TTU employee compensation plan includes:

- Non-exempt employees (regular positions involved in clerical, technical, paraprofessional, skilled crafts and service, and maintenance work); and,
- Exempt employees (regular administrative, managerial, and professional non-faculty positions).

These plans exclude faculty, the President, academic department chairpersons, coaches, and other positions exempted upon implementation.

Both the administrative/professional plan for exempt employees and the clerical/support plan for non-exempt employees are based on a market pricing approach - review and systematic evaluation of the relevant jobs and comparison of salaries with surveyed market data.

Compensation Guidelines

All compensation decisions will follow Tennessee Tech Policy 644 Compensation.

New Hires

The starting compensation for all new employees regardless of classification will generally fall between the range minimum and range midpoint contingent on 1) prior relevant experience; 2) education/training in excess of position's qualifications; and 3) market conditions.

For each year of relevant experience in excess of the position's requirements, a new employee will receive 0.5 years of credit, up to a maximum of three (3) years of credit.

For a degree above what is required for the position, a new employee will receive one (1) additional year of credit. Therefore, relevant experience and degrees in excess of stated requirements will support a higher starting salary.

Based on the degree and experience, Human Resources will provide recommendations on starting salary decisions. See Table 1 for an example of a new hire salary calculation.

For positions that have proven unusually hard to fill, the hiring department should communicate with Human Resources to discuss possible strategies.

No new employee will start employment below the minimum of the salary range.

Table 1.

	Salary Calculation Sheet			
Item	Data	Explanation		
Position Title	Manager			
Position Number	123654			
Grade	45			
Grade Minimum	\$47,476			
Grade Midpoint	\$59,481			
Required Exp (yrs)	3	3 yrs related experience		
Attained Related Exp	9.00			
Additional Exp CREDIT	3.0	Administrative/Professional: 0.5 years credit per year, up to a maximum of 3 ye credit		
Required Training/Cert	BS	Bachelor's Degree		
Additional Training	MS	Master's Degree		
Additional Training CREDIT	1	Degrees, certifications, licenses above job requirements will receive 1 years cr		
Total Years of CREDIT	4.0			
Calculate Salary:				
Grade Minimum	\$47,476			
Grade Midpoint	\$59,481			
Difference	\$12,005			
Total Years of CREDIT	4			
ADD to Minimum	\$9,604	TTL Yrs Credit=4.0 yrs/5ths of difference between Min and Mid		
Subtotal	\$57,080			
Recommended Start Salary	\$57,080			
Apply Suppy & Demand Premium				
Supply & Demand Premium	\$0	For exceptionally hard-to-fill roles, a premium of up to 10% of the midpoint may be ad with VP's approval, not to exceed midpoint		
Starting Salary	\$57,080			

Position Changes

If an employee is promoted to a higher grade job, the new hire guidelines are applied unless the calculated salary is less than their current salary. If the calculated salary is less than current salary, the employee will receive a 5% increase to their current salary. New time in grade is effective at promotion date.

If an employee is transferred to a new position at the same grade as prior position, the employee will receive the larger compensation amount of either their current salary or their salary calculated using the new hire guideline. This transfer is considered a lateral transfer and the time in grade date will be unchanged.

If, after market analysis and appropriate justification, a job is reclassified to a higher grade, the employee will receive an increase in compensation based on the application of the new hire guidelines. If the calculated salary is less than current salary, the employee will receive a 5% increase to their current salary. The time in grade date will be the date of the position reclassification.

If an employee is demoted to a lower grade job, the employee's compensation will be adjusted using the new hire guidelines, or adjusted to the same pay position-in-range in the new grade as

was in the prior grade. The time in grade date will remain unchanged if the experience of the prior position is relevant to the new position.

If an employee is appointed as interim, the compensation is the minimum of the pay grade or a 5% increase to their current salary, whichever is more.

Position Reclassification

TTU is committed to a consistent, competitive, and equitable position classification process based on the requirements of the position.

Pursuant to TTU Policy 659, position reclassifications must establish significant, permanent changes, which include:

- Substantial and permanent changes in job duties, job complexity, and/or knowledge and skills required that could result in a higher pay grade; or
- Increase in supervisory responsibility due to departmental changes; or
- Reclassification of a vacant position to a position with new, permanent responsibilities.

It is important to note that not all changes in a position should result in the position being reclassified. In cases where changes in job duties occur, but are not substantial enough to justify a higher pay grade through reclassification, the department supervisor should initiate an update of the existing Job Analysis Questionnaire (JAQ).

Reclassification of Vacant Positions

A department supervisor may request a vacant position review if the requirements for a position reclassification are met.

A vacant position reclassification request is initiated by the Department (supervisor/hiring manager) with the review and approval of the division Vice President. A vacant reclassification request must include the following:

- An approval memo for the position reclassification review addressed to the Associate Vice President for Human Resources that includes business justification and the appropriate Vice President's signature; and
- A copy of the proposed Position Reclassification JAQ reflecting the new job title, job responsibilities, benefits to Tennessee Tech, expected operational enhancements, and funding source.

The Associate Vice President for Human Resources will review the request and make a determination on whether the request meets the identified qualifications.

Upon approval by the Associate Vice President for Human Resources, the Compensation Manager will review the information and make a pay grade recommendation to the Associate Vice President for Human Resources.

The Associate Vice President for Human Resources will make a determination and notify the department supervisor making the request.

If the request is approved, the department supervisor will submit the new position reclassification through the appropriate channels for approval.

Reclassification of Current Employees

A department supervisor may request a current position review if the requirements for a position reclassification are met.

Employees must have at least six (6) months of continuous service in his/her current position to be eligible for a position reclassification review.

Employees currently on a performance improvement plan are not eligible for a position reclassification review.

A position reclassification request is initiated by the Department (supervisor/hiring manager) with the review and approval of the division Vice President. A reclassification request must include the following:

- An approval memo for the position reclassification review addressed to the Associate Vice President for Human Resources that includes business justification and the appropriate Vice President's signature; and
- A copy of the current position JAQ; and
- A copy of the new position reclassification JAQ reflecting the new/additional duties and tasks being performed, benefits to the University, expected operational enhancements and funding source.

The Associate Vice President for Human Resources will review the request and make a determination on whether the request meets the identified qualifications.

Upon approval by the Associate Vice President for Human Resources, the Compensation Manager may conduct a market analysis, internal assessment, complete a desk audit with the employee, and outline a recommendation.

The Compensation Manager will present the completed position reclassification assessment to the Compensation Review Committee for position reclassification determination.

The Compensation Review Committee may approve without changes, approve with proposed changes, or not approve the position reclassification.

The Compensation Manager will notify the department supervisor of the Compensation Review Committee's position reclassification determination.

The Compensation Manager will notify the employee of the position reclassification determination and any salary adjustments associated with the determination.

If the Compensation Review Committee does not approve a position reclassification, a supervisor may not submit a request for a position reclassification for the same position within one (1) year of the original submission absent extraordinary circumstances.

The Compensation Review Committee's determination is final.

Salary Adjustments

Human Resources will process any approved position reclassification that includes a salary adjustment on the first of the month following the approval determination.

Human Resources will not approve a request for a retroactive salary adjustment absent extraordinary circumstances.

Compensation Review Committee

Compensation Review Committee members are chosen by the Director for Affirmative Action with approval from the Associate Vice President for Human Resources.

The Compensation Review Committee will include a representative sample of employees.

Committee members serve a minimum of one (1) fiscal year and meet quarterly throughout the fiscal year.

Recognition for Degree Attainment

An employee who receives a degree at a higher level than their current academic standing and who has been employed with TTU one (1) year or more at the time the degree is granted, will be eligible to receive a salary increase in the following amounts.

Degree	Pay Increase
Bachelor's	\$1,000
Master's	\$1,500
Doctorate	\$2,500

Merit Based Pay

Subject to legislative appropriations, the availability of funds, approval by the Board of Trustees, and TTU administrator instructions, a merit bonus and/or salary increase based on documented work performance may be granted to eligible employees. Merit based pay should be understood to mean exceptional achievement of performance that is distinctly above and beyond the competent and professional fulfillment of regular duties. TTU has established a performance evaluation process that incorporates an electronic evaluation system, a supervisor training program focused on performance rating and rating bias, and a review process by Human Resources and Affirmative Action to identify any adverse impact.

Incentive Compensation (Bonus) Plans

The purpose of the incentive compensation (bonus) plan is to motivate and reward key employees for accomplishing individual performance goals established in accordance with the business targets of the College or Department. Incentive compensation (bonus) plans are subject to review and approval by the appropriate Vice President or Provost and the Associate Vice President for Human Resources. Incentive (bonus) awards must be approved by the Associate Vice President for Human Resources prior to payment.

Cost of Living Increases

Subject to legislative appropriations, the availability of funds, approval by the Board of Trustees, and TTU administrator instructions, cost of living increases may be granted to eligible employees.

Indexing

TTU will complete yearly reviews of indexing based on reliable, relevant market information. Any range adjustments will be consistent with the average salary increases as reported by CUPA-HR, annual salary surveys, and World at Work annual salary increase survey, minus 1.0%. The 1.0% is subtracted to reflect a historical trend showing that pay structure changes are typically 1.0% to 1.5% less than average actual pay increases. For example, if CUPA reports a 2.0% average pay increase and World at Work reports a 2.7% increase, the average, 2.35% less 1.0%, would yield 1.35% as a structure adjustment.

For review of the Current Salary Ranges see Appendix A.

Appendix A

Executive Salary Ranges

Grade	Min	Mid	Max
EX20	48,112	62,543	76,975
EX21	52,919	68,792	84,676
EX22	58,207	75,679	93,141
EX23	64,038	83,245	102,452
EX24	70,433	91,563	112,693
EX25	77,476	100,728	123,968
EX26	85,230	110,791	136,362
EX27	93,747	121,878	149,999
EX28	103,121	134,063	165,006
EX29	113,435	147,470	181,496
EX30	124,783	162,215	199,647
EX31	137,261	178,434	219,617
EX32	150,982	196,282	241,573
EX33	166,082	215,907	265,733
EX34	182,697	237,497	292,307
EX35	201,581	261,250	321,536

Range Spread	60%
Midpoint Differential	10%

Administrative Salary Ranges

Grade	Min	Mid	Max
40	29,260	36,575	43,890
41	32,249	40,316	48,373
42	35,540	44,433	53,316
43	39,177	48,969	58,760
44	43,179	53,974	64,769
45	47,476	59,481	71,384
46	52,449	65,563	78,678
47	57,809	72,262	86,714
48	63,714	79,639	95,576
49	70,224	87,780	105,336
50	77,403	96,746	116,100
51	85,303	106,632	127,960
52	94,019	117,531	141,033
53	103,622	129,528	155,444
54	114,208	142,768	171,317
55	125,881	157,356	188,821

Range Spread	50%
Midpoint Differential	10%

Clerical & Support Salary Ranges

Grade	Min	Mid	Max		
1	15,153	18,183	21,214		
2	16,741	20,085	23,439		
3	18,497	22,196	25,885		
4	20,430	24,516	28,602		
5	22,572	27,076	31,590		
6	24,934	29,918	34,903		
7	27,536	33,053	38,561		
8	30,420	36,512	42,594		
9	33,607	40,337	47,056		
10	37,129	44,559	51,978		
11	41,016	49,220	57,423		
12	45,322	54,387	63,451		
13	50,079	60,096	70,111		

Range Spread	40%
Midpoint Differential	10%

June 15, 2017, Board	Materials - Audit & Busine	ss Commitee Report and Rec	commendations



Agenda Item Summary

Date: June 15, 2017										
Division: Planning and Finance										
Agenda Item: Tuition and Mandatory Fees										
Review Action No action required										
PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance										
PURPOSE & KEY POINTS:										
Recommendation of Tennessee Tech's 2017-18 undergraduate, graduate, and out-of-state tuition and mandatory fees.										

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O N Agenda Item:

IV. A & B

DATE:

May 11, 2017

SUBJECT:

Tuition and Fee Ranges (REVISED)

ACTION RECOMMENDED:

Approval

BACKGROUND INFORMATION

Since 2010, the Complete College Tennessee Act has required the Commission to make student fee and state appropriation recommendations concurrently. Numerous factors impacted the tuition recommendation, including affordability and financial aid, the income profile of students attending Tennessee public institutions, and institutional revenues and cost inflation. The FOCUS Act expanded THEC's authority on student fee levels, requiring that the Commission issue binding tuition ranges each year. These ranges apply only to resident, undergraduate students on the tuition (maintenance fee) rate, as well as the total maintenance and mandatory fee charge.

TENNESSEE'S TUITION AND FEE PROFILE

Average full-time, annual tuition and mandatory fees for 2016-17 is \$8,987 at public universities, \$4,224 at community colleges, and \$3,647 at the Tennessee Colleges of Applied Technology (TCATs). Tennessee's public higher education tuition and fee levels are considered average compared to peers across the states in the Southern Regional Education Board. Over the last five years, tuition and mandatory fees have increased an average of four to five percent across the sectors, while state appropriations have increased an average of nearly four percent per year.

Tennessee's financial aid resources are among the highest in the U.S., according to data provided by the National Association of State Student Grant Aid Programs (NASSGAP). Tennessee had the fifth largest financial aid program in the nation and the fourth largest per capita. Funding for the lottery scholarship and the Tennessee Student Assistance Award comprise the majority of financial aid. In part due to these funding levels, Tennessee college graduates had the 14th lowest debt level in the nation, according to data published by the Institute for College Access & Success. It should be noted, however, that no data are available for debt among students who do

not graduate. With the introduction of Tennessee Promise in the fall of 2015, Tennessee saw a reduction in the number of student loan originations, suggesting that the relative debt level of Tennessee students to our state peers may continue to decrease in the coming years.

RECOMMENDATION

At the November 2016 Commission meeting, the Commission approved a tuition and fee guidance range of zero to four percent, incorporating a budget increase request of \$48 million in new state funds.

Taking into account the Governor's budget recommendation for formula units of \$55.1 million (inclusive of increases for outcomes productivity and a partially-funded three percent salary pool), THEC staff maintain the initial recommendation of a tuition binding range of zero to four percent at universities, community colleges, and TCATs and a combined total tuition and mandatory fees binding range of zero to four percent at universities, community colleges, and TCATs. Scenarios for minimum and maximum tuition and mandatory fee increases for 2017-18 are presented and summarized in Attachment I for each university and community college, as well as the TCAT system.

Attachment II details the comparison of 2016-17 tuition and mandatory fee rates with the maximum allowed increase (i.e., four percent) for each university and community college, as well as the TCAT system. Currently, the average full-time, annual tuition and mandatory fees for 2016-17 is \$8,987 at public universities, \$4,224 at community colleges, and \$3,647 at TCATs. If each of these institutions increased maintenance and mandatory fees by four percent (the maximum allowed), the average full-time, annual tuition and mandatory fees for 2017-18 would be \$9,347 at public universities, \$4,393 at community colleges, and \$3,793 at TCATs—increases of \$359, \$169, and \$146, respectively.

Note: Revisions to this coversheet and attachments are due to a change in reporting of Middle Tennessee State University's Student Government Association (SGA) fee and a re-weighting of the university average for institutions with differentiated tuition levels.

2017-18 Binding Tuition Ranges (REVISED) Maximum Increase of Maintenance (Tuition) and Maintenance + Mandatory Fees: 4.00%

	2017-18 Binding Ranges					
	Mainter	nance Fee		Maintenance +	Mandato	ry Fees
	Minimum	M	aximum	Minimum	Ma	ximum
Austin Peay	\$0 or Less	\$	261	\$0 or Less	\$	320
East Tennessee ¹	\$0 or Less	\$	280	\$0 or Less	\$	347
Middle Tennessee	\$0 or Less	\$	277	\$0 or Less	\$	344
Tennessee State	\$0 or Less	\$	261	\$0 or Less	\$	303
Tennessee Tech	\$0 or Less	\$	295	\$0 or Less	\$	342
University of Memphis	\$0 or Less	\$	314	\$0 or Less	\$	380
Chattanooga	\$0 or Less	\$	157	\$0 or Less	\$	170
Cleveland	\$0 or Less	\$	157	\$0 or Less	\$	169
Columbia	\$0 or Less	\$	157	\$0 or Less	\$	168
Dyersburg	\$0 or Less	\$	157	\$0 or Less	\$	169
Jackson	\$0 or Less	\$	157	\$0 or Less	\$	169
Motlow	\$0 or Less	\$	157	\$0 or Less	\$	169
Nashville	\$0 or Less	\$	157	\$0 or Less	\$	166
Northeast	\$0 or Less	\$	157	\$0 or Less	\$	170
Pellissippi	\$0 or Less	\$	157	\$0 or Less	\$	170
Roane	\$0 or Less	\$	157	\$0 or Less	\$	169
Southwest	\$0 or Less	\$	157	\$0 or Less	\$	169
Volunteer	\$0 or Less	\$	157	\$0 or Less	\$	169
Walters	\$0 or Less	\$	157	\$0 or Less	\$	169
UT Chattanooga	\$0 or Less	\$	271	\$0 or Less	\$	342
UT Knoxville (admitted before 2013-14) ²	\$0 or Less	\$	369	\$0 or Less	\$	442
UT Knoxville (admitted in 2013-14)	\$0 or Less	\$	428	\$0 or Less	\$	500
UT Knoxville (admitted after 2013-14)	\$0 or Less	\$	437	\$0 or Less	\$	509
UT Martin (Full-Time w/ 60+ SCH & All Part-time) ³	\$0 or Less	\$	283	\$0 or Less	\$	339
UT Martin (Full-Time w/ fewer than 60 SCH)	\$0 or Less	\$	307	\$0 or Less	\$	364
TN Coileges of Applied Tech	\$0 or Less	\$	137	\$0 or Less	\$	146
University Avg ⁴	\$0 or Less	\$	299	\$0 or Less	\$	359
Community College Avg	\$0 or Less	\$	157	\$0 or Less	\$	169

^{1 -} In 2016-17, Freshmen, Sophomores and Juniors paid an additional debt service fee of \$240 and an additional Student Activity fee of \$50 in FY17 for the DP Culp Center renovation. As these classes progress, the additional fees will remain part of the mandatory fees. Therefore, the 2017-18 tuition and fee ranges reported in this line will apply to 2017-18 Freshmen, Sophomores, Juniors and Seniors.

^{2 -} The 2016-17 tuition rate for students admitted in Fall 2013 or later at UT Knoxville were flat rates for 15 semester credit hours, regardless of the number of credit hours taken by the student. This policy was approved in 2012 by the UT Board for introduction in Fall 2013. Therefore, the tuition and fee ranges will differentiate based on when students enrolled at UT Knoxville.

^{3 -} The 2016-17 tuition rate for full-time students who have completed fewer than 60 credit hours was a flat rate for 15 hours a semester regardless of how many hours the student is enrolled in. Full-time students with more than 60 credit hours and all part-time students are charged on a per credit basis up to 12 credit hours, and are not charged additional fees above that. Therefore, the tuition and fee ranges differentiate based on enrollment status of UT Martin students.

^{4 -} This average incorporates a weighted tuition for UT Knoxville and UT Martin students to reflect both institutions' differentiated tuition levels.

2017-18 Binding Tultion Ranges (REVISED)
2017-18 Maintenance and Mandatory Fee Increase Scenario and Comparison - 4.00% Limit

				2016-17						2017-18			Г	Combined	Combined
	Mainte	nance Fee	N	Mandatory Fee	1	Maintenance + Mandatory	Maintenance	Fee	٨	Mandatory Fee		Combined		Increase	% Increase
Austin Peay	\$	6,522	\$	1,473	\$	7,995	\$ 6	783	\$	1,532	\$	8,315	\$	320	4.00%
East Tennessee ¹	\$	7,002	\$	1,669	\$	8,671	\$ 7	282	\$	1,736	\$	9,018	\$	347	4.00%
Middle Tennessee	\$	6,930	\$	1,680	\$	8,610	\$ 7	207	\$	1,747	\$	8,954	\$	344	4.00%
Tennessee State	\$	6,528	\$	1,039	\$	7,567	\$ 6	789	\$	1,081	\$	7,870	\$	303	4.00%
Tennessee Tech	\$	7,380	\$	1,171	\$	8,551	\$ 7	675	\$	1,218	\$	8,893	\$	342	4.00%
University of Memphis	\$	7,860	\$	1,637	\$	9,497	\$ 8	174	\$	1,702	\$	9,877	\$	380	4.00%
Chattanooga	\$	3,930	\$	319	\$	4,249	\$ 4	,087	\$	332	\$	4,419	\$	170	4.00%
Cleveland	\$	3,930	\$	299	\$	4,229	\$ 4	087	\$	311	\$	4,398	\$	169	4.00%
Columbia	\$	3,930	\$	271	\$	4,201	\$ 4	,087	\$	282	\$	4,369	\$	168	4.00%
Dyersburg	5	3,930	5	299	\$	4,229	\$ 4	,087	\$	311	\$	4,398	\$	169	4.00%
Jackson	\$	3,930	\$	285	\$	4,215	1985	,087		296		4,384		169	4.00%
Motlow	5	3,930	\$	307	\$	4,237		,087	\$	319	\$	4,406		169	4.00%
Nashville	\$	3,930	\$	225	\$	4,155	565	,087		234		4,321		166	4.00%
Northeast	\$	3,930		311	\$	4,241	100	,087		323		4,411		170	4.00%
PellissIppi	\$	3,930	\$	323	\$	4,253	5	,087		336		4,423		170	4.00%
Roane	\$	3,930	\$	303	\$	4,233	3.00	,087		315		4,402		169	4.00%
Southwest	\$	3,930		305		4,235	2.00	,087		317		4,404		169	4.00%
Volunteer	5	3,930		293		4,223	15	,087		305		4,392		169	4.00%
Walters	\$	3,930	\$	288	\$	4,218	\$ 4	,087	\$	300	\$	4,387	\$	169	4.00%
ÜT Chattanooga	\$	6,768	\$	1,776	\$	8,544	\$ 7	,039	\$	1,847	\$	8,886	2.7	342	4.00%
UT Knoxville (admitted before 2013-14) ²	\$	9,228	\$	1,810	\$	11,038	\$ 9	,597	\$	1,882	\$	11,480		442	4.00%
UT Knoxville (admitted in 2013-14)	\$	10,688	\$	1,810	\$	12,498	\$ 11	,116	\$	1,882	\$	12,998		500	4.00%
UT Knoxville (admitted after 2013-14)	\$	10,914	\$	1,810	\$	12,724	\$ 11	351	\$	1,882	\$	13,233	\$	509	4.00%
UT Martin (Full-Time w/ 60+ SCH & All Part-time)3	\$	7,070	\$	1,408	\$	8,478	\$ 7	,353	\$	1,464	\$	8,817	\$	339	4.00%
UT Martin (Full-Time w/ fewer than 60 SCH)	\$	7,680	\$	1,408	\$	9,088	\$ 7	,987	\$	1,464	\$	9,452	\$	364	4.00%
		2.447		222		2.647		EE 4	d	220	đ	2 702	l.	146	4.00%
TN Colleges of Applied Tech	\$	3,417	_	230		3,647		,554	_	239	_	3,793	-		
University Avg ⁴	\$	7,469	_		\$	8,987		,768	-		\$	9,347	-	359 169	4.00%
Community College Avg	\$	3,930	\$	294	\$	4,224	ļ\$ 4	,087	\$	306	\$	4,393	12	169	4.00%

^{1 -} In 2016-17, Freshmen, Sophomores and Juniors paid an additional debt service fee of \$240 and an additional Student Activity fee of \$50 in FY17 for the DP Culp Center renovation. As these classes progress, the additional fees will remain part of the mandatory fees. Therefore, the 2017-18 tultion and fee ranges reported in this line will apply to 2017-18 Freshmen, Sophomores, Juniors and Seniors.

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^{4 -} This average incorporates a weighted tuition for UT Knoxville and UT Martin students to reflect both institutions' differentiated tuition levels.



Agenda Item Summary

Date: June 15, 201/										
Division: Planning and Finance										
Agenda Item: 2016-17 Estimated and 2017-18 Proposed Budgets										
Review Action No action required										
PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance										
PURPOSE & KEY POINTS:										

Review recommendation and approval of Tennessee Tech's 2016-17 Estimated and 2017-18 Proposed Budgets.

Revenues - Current Estimate FY2016-17 and Proposed Budget FY2017-18

	Current Estimate FY2016-17	Proposed Budget FY2017-18
Tuition and Fees	\$ 97,480,500	\$ 98,559,500
State Appropriations	\$ 41,991,800	\$ 45,448,900
Contracts and IDC	\$ 971,400	\$ 971,400
Sales and Services	\$ 1,900,100	\$ 1,676,800
Other Activities	\$ 3,712,421	\$ 3,446,810
Athletics (inlc student fee)	\$ 6,195,279	\$ 5,892,390
Total Revenues	\$ 152,251,500	\$ 155,995,800

Expenses by Budget Category - Current Estimate FY2016-17 and Proposed Budget FY2017-18

	Current Estimate FY2016-17	Proposed Budget FY2017-18
Instruction	\$ 66,713,300	\$ 66,572,800
Research	\$ 3,200,100	\$ 2,583,800
Public Service	\$ 3,128,700	\$ 2,579,400
Academic Service	\$ 13,127,300	\$ 12,204,400
Student Services	\$ 24,818,700	\$ 23,278,600
Institutional Support	\$ 15,578,800	\$ 14,635,600
Oper. & Maint. of Plant	\$ 14,697,500	\$ 14,088,400
Scholarships & Fellowships	\$ 11,588,900	\$ 12,929,600
Total Expenses	\$ 152,853,300	\$ 148,872,600

Expenses by Natural Classification - Current Estimate FY2016-17 and Proposed Budget FY2017-18

	Current Estimate FY2016-17	Proposed Budget FY2017-18
Salaries and Wages	\$ 75,751,900	\$ 76,362,200
Fringe Benefits	\$ 28,997,400	\$ 28,957,400
Travel	\$ 2,630,500	\$ 1,895,000
Operating & Utilities	\$ 33,362,400	\$ 28,379,900
Scholarships & Fellowships	\$ 11,588,900	\$ 12,929,600
Capital	\$ 522,200	\$ 348,500
Total Expenses	\$ 152,853,300	\$ 148,872,600

E&G Unrestricted Budget Summary - Current Estimate FY2016-17 and Proposed Budget FY2017-18

	Current Estimate FY2016-17	Proposed Budget FY2017-18
Beginning Fund Balance	\$ 15,950,850	\$ 10,049,167
E&G Revenues	\$ 152,251,500	\$ 155,995,800
E&G Expenses	\$ 152,853,300	\$ 148,872,600
Mandatory Transfers	\$ 518,400	\$ 328,400
Non-mandatory Transfers	\$ 4,781,600	\$ 6,699,900
Ending Fund Balance	\$ 10,049,167	\$ 10,100,215

Breakdown of E&G Fund Balance - Current Estimate FY2016-17 and Proposed Budget FY2017-18

	Current Estimate FY2016-17				
		Beginning Fund Balance		Ending Fund Balance	
Allocation for Encumbrances	\$	740,600	\$	740,600	
Allocation for Working Capital	\$	4,046,200	\$	4,046,200	
Special Allocations*	\$	9,737,950	\$	5,262,367	
Unallocated Balance	\$	1,426,100	\$		
Total E&G Fund Balance	\$	15,950,850	\$	10,049,167	
*2% to 5% Reserve	\$	7,554,985	\$	3,079,307	
*Student Activity Fee	\$	693,638	\$	693,638	
*Technology Access Fee	\$	1,430,213	\$	1,430,213	
*Specialized Academic Course Fee	\$	59,162	\$	59,162	
Total Special Allocations	\$	9,737,998	\$	5,262,320	

	Proposed Budget FY2017-18				
	Beginning Fund Balance			Ending Fund Balance	
Allocation for Encumbrances	\$	740,600	\$	740,600	
Allocation for Working Capital	\$	4,046,200	\$	4,046,200	
Special Allocations*	\$	5,262,367	\$	5,313,415	
Unallocated Balance	\$	· ·	\$	ш	
Total E&G Fund Balance	\$	10,049,167	\$	10,100,215	
*2% to 5% Reserve	\$	3,079,307	\$	3,130,376	
*Student Activity Fee	\$	693,638	\$	693,638	
*Technology Access Fee	\$	1,430,213	\$	1,430,213	
*Specialized Academic Course Fee	\$	59,162	\$	59,162	
Total Special Allocations	\$	5,262,320	\$	5,313,389	

E&G Transfers - Current Estimate FY2016-17 and Proposed Budget FY2017-18

		Current Estimate FY2016-17		Proposed Budget FY2017-18
	-	Debt Service and	Une	expended Plant
Debt Service Perf Contract	\$	518,420	\$	328,360
Debt Service Fitness Center	\$	2,082,700	\$	2,030,490
Debt Service Univ Center	\$	94,000	\$	89,850
Debt Service Eblen Center	\$	206,850	\$	197,660
Facilities Development (fee)	\$	964,020	\$	939,400
Parking and Transportation	\$	878,465	\$	774,575
West Property Purchase	\$	886,630	\$	·
Extraordinary Maintenance	\$	90,000	\$	90,000
Small Projects	\$	341,778	\$	1,115,800
Total Debt Service & Unexp Plant	\$	6,062,863	\$	5,566,135
		Renewal and	Re	placement
IT Computer Equipment	\$	377,110	\$	277,110
Electronic Upgrades	\$	335,000	\$	350,000
Equipment - Departments	\$	25,000	\$	160,000
Reserves	\$	(1,500,000)	\$	675,000
Total R&R	\$	(762,890)	\$	1,462,110
GRAND TOTAL All Transfers	\$	5,299,973	\$	7,028,245

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Tennessee Tech University Summary Of Unrestricted Current Funds Available And Applied July Budget 2017-18

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	Actual 2015-16	October Budget 2016-17	Estimated Budget 2016-17	% Change Over Actual	July Budget 2017-18	% Change Over Actual
Unrestricted Current Fund Balances						
at Beginning of Period	706 340	740 600	740 600	07.0	740 600	07.0
Allocation for Encumbrances Allocation for Working Capital	796,340 2,174,263	740,600	740,600 4,046,200	-07.0 86.1	740,600	-07.0 86.1
Special Allocations	12,377,275	4,046,200 10,578,300	10,578,300	-14.5	4,046,200 6,092,200	-50.8
Unallocated Balance	9,603,358			-14.5 -85.1	6,092,200 N	-100.0
Unallocated Balance	9,603,358	1,426,100	1,426,100	-85.1	U	-100.0
Total Unrestricted Current Fund Balances	24,951,236	16,791,200	16,791,200	-32.7	10,879,000	-56.4
Revenues						
Education and General						
Tuition and Fees	100,040,784	98,372,400	97,480,500	-02.6	98,559,500	-01.5
State Appropriations	38,849,188	41,991,800	41,991,800	08.1	45,448,900	17.0
Federal Grants and Contracts	913,141	869,700	869,700	-04.8	869,700	-04.8
Local Grants and Contracts	0	3,200	3,200		3,200	
State Grants and Contracts	49,911	59,400	59,400	19.0	59,400	19.0
Private Grants and Contracts	34,819	39,100	39,100	12.3	39,100	12.3
Private Gifts	18,400	0	0	-100.0	0	-100.0
Sales & Services of Educ Activities	2,020,942	1,784,400	1,900,100	-06.0	1,676,800	-17.0
Sales & Services of Other Activities	8,508,479	8,783,400	9,114,700	07.1	8,655,700	01.7
Other Sources	691,183	973,000	793,000	14.7	683,500	-01.1
Total Education and General	151,126,847	152,876,400	152,251,500	00.7	155,995,800	03.2
Sales & Services of Aux Enterprises						
Sales and Services of Aux Enterprises	16,807,005	14,766,300	16,596,700	-01.3	17,473,700	04.0
•			, ,			
Total Revenues	167,933,852	167,642,700	168,848,200	00.5	173,469,500	03.3
Expenditures and Transfers						
Education and General						
Instruction	67,238,629	67,375,800	66,713,300	-00.8	66,572,800	-01.0
Research	2,753,723	2,817,600	3,200,100	16.2	2,583,800	-06.2
Public Service	2,544,420	2,820,100	3,128,700	23.0	2,579,400	01.4
Academic Support	12,342,954	12,950,600	13,127,300	06.4	12,204,400	-01.1
Student Services	24,777,470	24,379,600	24,818,700	00.2	23,278,600	-06.0
Institutional Support	14,596,236	15,660,500	15,578,800	06.7	14,635,600	00.3
Operation & Maintenance of Plant	13,427,964	14,646,800	14,697,500	09.5	14,088,400	04.9
Scholarships & Fellowships	9,843,463	9,674,700	11,588,900	17.7	12,929,600	31.4
Total Education and General	147,524,859	150,325,700	152,853,300	03.6	148,872,600	00.9
Mandatory Transfers for:						
Principal & Interest	508,968	514,300	518,400	01.9	328,400	-35.5
Renewals & Replacements	0	0	0		0	
-						

FZRJF01 TBR8: 1.1 Form I

Tennessee Tech University Summary Of Unrestricted Current Funds Available And Applied July Budget 2017-18

Page 2 Run Date 15-MAY-2017 Run Time 11:05 AM

	Actual 2015-16	October Budget 2016-17	Estimated Budget 2016-17	% Change Over Actual	July Budget 2017-18	% Change Over Actual
Loan Fund Matching Grant	0	0	0		0	
Total Mandatory Transfers	508,968	514,300	518,400	01.9	328,400	-35.5
Non-Mandatory Transfers for: Transfers to Unexpended Plant Fund Transfers to Renewal & Replacements Transfers to Other Funds Transfers from Unexpended Plant Fund Transfers from Renewal & Replacements Transfers from Other Funds	6,536,592 2,143,570 1,924,355 0 0	3,383,200 1,735,700 2,390,000 0 0	3,160,900 737,100 2,383,600 0 -1,500,000	-51.6 -65.6 23.9	2,919,800 1,462,100 2,318,000 0 0	-55.3 -31.8 20.5
Total Non-Mandatory Transfers	10,604,517	7,508,900	4,781,600	-54.9	6,699,900	-36.8
Total Education and General	158,638,344	158,348,900	158,153,300	-00.3	155,900,900	-01.7
Auxiliary Enterprises Expenditures Auxiliary Enterprises Expenditures	6,557,788	7,324,100	7,303,300	11.4	7,222,400	10.1
Total Auxiliary Expenditures	6,557,788	7,324,100	7,303,300	11.4	7,222,400	10.1
Mandatory Transfers for: Principal & Interest Renewals & Replacements Loan Fund Matching Grant Total Mandatory Transfers	3,542,681 0 0 3,542,681	3,961,100 0 0 3,961,100	4,019,600 0 0 4,019,600	13.5 00.0 00.0	5,596,000 0 0 5,596,000	58.0 00.0 00.0
Non-Mandatory Transfers for: Transfers to Unexpended Plant Fund Transfers to Renewal & Replacements Transfers to Other Funds Transfers from Unexpended Plant Fund Transfers from Renewal & Replacements Transfers from Other Funds	7,355,041 0 0 0	3,583,100 0 0 0	5,284,200 0 0 0	00.0 -28.2 00.0 00.0 00.0	4,655,300 0 0 0	00.0 -36.7 00.0 00.0 00.0
Total Non-Mandatory Transfers	7,355,041	3,583,100	5,284,200	-28.2	4,655,300	-36.7
Total Auxiliary Enterprises	17,455,510	14,868,300	16,607,100	-04.9	17,473,700	00.1
Total Expenditures And Transfers	176,093,854	173,217,200	174,760,400	-00.8	173,374,600	-01.5
Other Prior Period Adjustment	0	0	0	00.0	0	00.0

FZRJF01 TBR8: 1.1 Form I

Tennessee Tech University Summary Of Unrestricted Current Funds Available And Applied July Budget 2017-18

Page 3
Run Date 15-MAY-2017
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	Actual 2015-16	October Budget 2016-17	Estimated Budget 2016-17	% Change Over Actual	July Budget 2017-18	% Change Over Actual
Other Additions/Deductions	0	0	0	00.0	0	00.0
Total Other	0	0	0	00.0	0	00.0
Unrestricted Current Fund Balances at End of Period Allocation for Encumbrances	740,567	740,600	740,600	00.0	740,600	00.0
Allocation for Working Capital Special Allocations Unallocated Balance	4,046,192 10,578,348 1,426,127	4,046,200 6,429,900 0	4,046,200 6,092,200 0	00.0 -42.4 -100.0	4,046,200 6,187,100 0	00.0 -41.5 -100.0
Total Unrestricted Current Fund Balances	16,791,234	11,216,700	10,879,000	-35.2	10,973,900	-34.6

Budget Summary and Budget Analysis

The complete Budget Summary and Budget Analysis documents can be viewed on the Budget and Planning website:

Direct Link to document – **Summary**: https://www.tntech.edu/assets/usermedia/planning-finance/14893/Budget_Summary_July_FY17-18.pdf

Direct Link to document – **Analysis**: https://www.tntech.edu/assets/usermedia/planning-finance/14893/Budget Analysis July FY17-18.pdf

Historical Budget documents (FY2011 through FY2017):

Budget Summary: https://www.tntech.edu/planning-and-finance/budgeting-and-planning/budgetary-information#julybudgetsummary

Budget Analysis: https://www.tntech.edu/planning-and-finance/budgeting-and-planning/budgetary-information#budgetanalysis



Agenda Item Summary

Date: Jun	ie 15, 2017			
Division:	Planning and Finan	ıce		
Agenda It	tem: Compensation	n		
	Review	Action		No action required
PRESENT	ERS: Dr. Claire Sti	inson, Vice President fo	r Planning a	nd Finance
PURPOSE	E & KEY POINTS:			

Review the FY2017-18 President Salary Proposal and Institutional Compensation Proposal recommendations.

President Salary Proposed Fiscal Year 2017-18

	3% Mandatory Salary		Expense	Car	
Fiscal Year	Adjustment	Salary	Account	Allowance	Total
2016-17		\$316,196	\$5,000	\$8,400	\$329,596
Proposed					
2017-18	\$9,486	\$339,082	\$(5,000)	\$(8,400)	\$339,082
Net					
Increase					\$9,486

Tennessee Technological University

FY 2017-18 Institutional Compensation Proposal

Part I. Creation of Salary Pool

A.	A salary pool is proposed that is equal to the following percent of May 30, 2017 budgeted salaries a	and the
fol	llowing amount:	

Percent: 3%

Budgeted Salaries: \$ 66,792,897

Proposed Salary Pool Amount: \$ 2,003,787

B. The Salary Pool will be used for the following purposes (Enter Amounts):

COLA: \$ 667,929 33.33 %

Comp Plan: \$ 1,164,579 58.12 %

One Time Payment: 0.00

Additional Positions: 0.00

Faculty Promotions: \$ 171,279 8.55 %

\$ 2,003,787 100.00

Part II. COLA

Provide the percent increase provided to employees

1.00 %

Provide narrative addressing any specific parameters for receipt of COLA, such as performance evaluation rating, or other parameters

Active permanent Full-Time or Part-Time employee as of December 31, 2016

Part III. Comp Plan Adjustments

Are you indexing (shifting the salary grades for) your comp plan?

No

If Yes, what percent of the amount dedicated to the comp plan adjustments is being used for this purpose?

What percent of the comp plan adjustment is being used to move specific employee groups to their target salary?

If any portion is for a comp plan increase please complete the remainder of the form. If it is entirely for a COLA, please skip to section D.

Tennessee Technological University

C. Proposed Salary Distribution: By EEO Category Amount Percent Total Percent Comp Plan Funder Faculty Administration Professional Professional Clerical Support Total Percent Total Percent Comp Plan Funder * 46.51% * 8.00% 355,236 30.50% Clerical Support \$174,503 14.98% 100%	
Amount Percent Total Percent Comp Plan Fundo Faculty \$ 541,688 46.51% *	
Amount Percent Total Percent Comp Plan Fundo Faculty \$ 541,688 46.51% *	
Amount Percent Total Percent Comp Plan Fundo Faculty \$ 541,688 46.51% *	
Faculty \$ 541,688 46.51% *	 ed
Administration \$ 93,152 8.00%	
- 601 P-1	ı
Professional \$355,236 30.50%	
Clerical Support \$ 174,503 14.98% 1eave Blank**	
Total \$ 1,164,579 100%	
* TBD - Facility plan includes an eq	uity portion
Part VI. Comp Plan Adjustments	
Provide the number of faculty members affected by using the designated amount of the salary pool above for fa	culty
promotions	
27	
Part V. One-Time Payments	
Amount:	
Amount.	
Provide narrative addressing any specific parameters for receipt of navment i.e. Vears of institution service	
Provide narrative addressing any specific parameters for receipt of payment(i.e. Years of institution service, satisfactory performance evaluation rating etc.)	
Provide narrative addressing any specific parameters for receipt of payment(i.e. Years of institution service, satisfactory performance evaluation rating, etc.)	
satisfactory performance evaluation rating, etc.)	
satisfactory performance evaluation rating, etc.)	
satisfactory performance evaluation rating, etc.)	
Part VI. Timing of Increase Adjustments Effective Date for COLA Increases 7/1/2017	
Part VI. Timing of Increase Adjustments	
Part VI. Timing of Increase Adjustments Effective Date for COLA Increases 7/1/2017	
Part VI. Timing of Increase Adjustments Effective Date for COLA Increases T/1/2017 Effective Date for Comp Plan Increases 8/1/2017	



Agenda Item Summary

Date: June 15, 2017							
Division: Academic Affairs							
Agenda Item: New Academic Unit- College of Fine Arts							
Review Action No action required							
PRESENTERS: Provost Ghorashi							
PURPOSE & KEY POINTS:							
Proposal for the establishment of a new academic unit, the College of Fine Arts, with the existing School of Art, Craft, & Design and School of Music currently within the College of							

Education.

TTU Internal Cover Form for New Academic Units

Please refer to the TTU Office of the Provost website for Policy 227- New Academic Units before developing a proposal. http://www.tntech.edu/provost/new-programs/

Name of New Academic Unit	College of I	ine Arts		
Proposed Implementation Date	e: <u>July 1, 201</u>	17		
Information Contact: Dr. Chi	risty Killman		/ X3467	
	Name		Telephone	
Committee Approvals: Academic Council		Approval Date: 4/1	12/2017	_
Administrative Council		Approval Date:	VA	
University Assembly		Approval Date: 4	/19/2017	
Academic Affairs Approval:	Signa	an JA	1 5-22-1" Date	7 _
President's Approval:	Signature o	f President	, 6/T/20 T	<u>)</u>

Revised 4/2017

New Academic Unit Proposal per THEC Policy A 1.3

Name of the proposed academic unit: College of Fine Arts

Rationale for the proposed academic unit: Tennessee Tech's vision statement asserts that TTU will be nationally recognized as a leading technological university in the South, providing academic, economic, and cultural leadership in the region. A College of Fine Arts would provide cultural leadership throughout the region, state, and nation by highlighting the world-class art and music created here at Tech. Designating a "space" for the Fine Arts to continue to flourish and contribute to the academic and cultural experience at Tech speaks directly to the mission of serving the people of the Upper Cumberland, and others across the state and nation. Tech also offers an array of extracurricular activities as part of student life. A College of Fine Arts would bolster those experiences for increased student participation. Additional benefits of a College of Fine Arts include distinct branding and a unique college identity for students majoring in the Fine Arts. A more homogeneous college alignment strengthens opportunities for recognition of both alumni and current students. Marketing dollars will be better used to advertise a unified message to potential students with focused recruitment materials and efforts. A stand-alone College of Fine Arts will better align to accreditation requirements (NASM & NASAD) and will make the respective schools more visible to prospective students and employers. A College of Fine Arts better aligns curricular offerings at Tennessee Tech with our Flight Plan peers—Tennessee, national, and aspirational (See attached).

The remaining College of Education with the departments of Counseling and Psychology; Curriculum and Instruction; and Exercise Science, Physical Education and Wellness will also better align to accreditation requirements (CACREP & CAEP) and the organizational structure of our Flight Plan peers. Importantly, this restructure will make a positive impact on the College of Education and help us to better achieve the State's goals to improve educator preparation programs. This realignment would strategically assist efforts to produce more and better qualified teachers in critical areas of demand. In order to provide equitable access for P-12 students to high quality teachers across the state and to bolster the teacher pipeline directive from Governor Haslam and Commissioner McQueen, the streamlined College of Education will focus on more high need licensure initiatives.

Inventory of academic program offerings: The current academic program offerings housed in the two units will remain.

- School of Art, Craft & Design with a Bachelor of Fine Arts in: Art Education; Clay; Design (Digital Media); Fibers; Glass; Metals; Painting; Wood
- School of Music with a Bachelor of Music in: Music Education (Concentration in Instrumental or Vocal/General); Music Performance; Jazz Studies; Composition

Updated organizational chart: The new college would report to Academic Affairs and be aligned with the existing colleges at TTU (See attached proposed organizational chart). Tenure appointments will move with respective faculty members.

Cost benefit analysis: Existing departmental budgets for the School of Art, Craft & Design and the School of Music will transfer from the College of Education to the new College of Fine Arts. New costs to support the new academic unit include:

- 1. College of Fine Arts Dean's Office
 - a. New position/line for COFA dean, with no additional costs
 - b. New position/line for administrative associate, level 4 or 5, of \$31,000
 - c. Add permanent operating budget of \$15,000
 - d. Add permanent travel budget of \$6,000
- 2. College of Education Dean's Office
 - a. Move a current associate dean into COEd dean's line
 - b. Increase associate dean salary to dean level, additional \$48,500

New costs are \$21,000 in operating and \$79,500 in salaries, totaling \$100,500 annually. This amount will be reallocated from unrestricted university resources to each respective college (\$48,500 to College of Education; \$52,000 to College of Fine Arts).

Due to more strategic marketing efforts with greater visibility of Art and Music, we expect an enrollment increase of twenty-five additional students per year on top of the current enrollment trend. Student growth at this rate would generate an additional \$205,000 in revenue annually. To educate the additional twenty-five students per year, no supplementary resources are needed; therefore, since capacity will not be exceeded, the full \$205,000 per year will be revenue to the university.

A codomic Voor	New Revenue Generated						
Academic Year	2017-18	2018-19	2019-20	2020-21	2021-22		
Year 1	\$205,000	\$205,000	\$205,000	\$205,000	\$205,000		
Year 2		\$205,000	\$205,000	\$205,000	\$205,000		
Year 3			\$205,000	\$205,000	\$205,000		
Year 4				\$205,000	\$205,000		
Year 5					\$205,000		
Total Revenue	\$205,000	\$410,000	\$615,000	\$820,000	\$1,025,000		

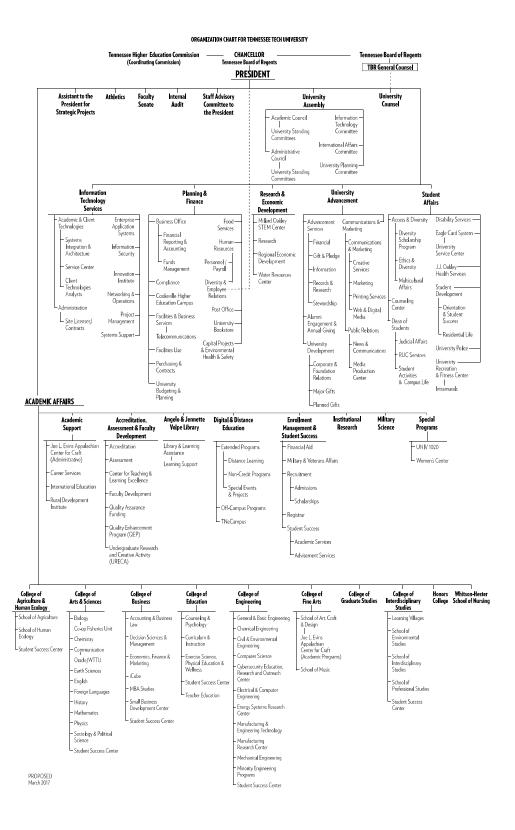
Enrollment trends for the past 10 years are included in the table below. We expect strategic marketing efforts via distinct branding and a unique identity with the College of Fine Arts to bolster recruitment efforts and grow enrollment.

	Fall Enrollment Trend By Program										
	2006 2007 2008 2009 2010 2011 2012 2013 2014 2015 2016								2016		
Art	134	123	128	134	110	110	110	119	132	137	149
Music	175	153	162	181	167	179	187	191	179	168	155

Existing or anticipated facilities for proposed academic unit: Programs in the proposed College of Fine Arts are currently and will continue to be housed in the Bryan Fine Arts Building, Foundation Hall, and the Appalachian Center for Craft. The only additional space required is an office suite for the COFA dean and administrative associate in the Bryan Fine Arts Building. No renovations are required to accommodate the office suite.

Letter of support from President Oldham: see attached

Accompanying name change proposal: The Department of Music proposes to change its name to the School of Music to better reflect its comprehensive programing and to better align with the School of Art, Craft & Design.



	National Peers							
	College of Fine & Applied Arts	Reich College of Education						
Appalachian State	Applied Design; Art; Communication; Military Science & Leadership; Sustainable Development; Sustainable Technology & the Built Environment; Theatre & Dance	Curriculum & Instruction; Family & Child Studies; Human Development & Psychological Counseling; Reading Education & Special Education; Leadership & Educational Studies; Doctoral Program in Educational Leadership						
	College of Art & Architecture	College of Education						
U of Idaho	Architecture; Art & Design; Bioregional Planning; Interior Design; Landscape Architecture; Virtual Technology & Design	Curriculum & Instruction; Leadership & Counseling; Movement Sciences						
	College of Arts, Humanities & Social Sciences	College of Education						
UA Huntsville	Art, Art History & Design; Communication Arts; English; Global Studies; History; Music; Philosophy; Political Science; Psychology; Science, Technology & Society; Sociology; Theatre; Women's & Gender Studies; World Languages & Cultures	Curriculum & Instruction; Kinesiology						
	College of Liberal Arts & Sciences	College of Education & Human Development						
U of Maine	Anthropology; Art; Chemistry; Communication & Journalism; Computing & Information Science; English; History; Mathematics & Statistics; Modern Languages & Classics; New Media; Philosophy; Physics & Astronomy; Political Science; Psychology; School of Performing Arts; Interdisciplinary Studies; International Affairs	School of Educational Leadership, Higher Education & Human Development; School of Kinesiology, Physical Education & Athletic Training; School of Learning & Teaching						
	College of Liberal Arts	College of Education						
Louisiana Tech	Professional Aviation; School of Communication; School of Design; General Studies; School of History & Social Sciences; Interdisciplinary Studies; School of Literature & Language; School of Performing Arts	Curriculum, Instruction & Leadership; Kinesiology; Psychology & Behavioral Sciences						
	College of Arts & Sciences	College of Education & Human Sciences						
South Dakota State	Aerospace Studies; Architecture; Chemistry & Biochemistry; Communication Studies & Theatre; Economics; English; Geography; History, Political Science, Philosophy & Religion; Journalism & Mass Communication; Military Science; Modern Languages & Global Studies; Music; Physics; Psychology; School of Design; Sociology & Rural Studies	Consumer Sciences; Counseling & Human Development; Health & Nutritional Sciences; Teaching, Learning & Leadership						
	College of Humanities & Fine Arts	College of Education & Human Services						
Murray State	Art & Design; English & Philosophy; History; Liberal Arts; Modern Languages; Music; Political Science & Sociology; Psychology; Theatre	Adolescent, Career & Special Education; Community Leadership & Human Services; Early Childhood & Elementary Education; Educational Studies, Leadership & Counseling						

	College of Arts & Sciences	College of Education
New Mexico State	AFROTC; Anthropology; Art; Astronomy; Biology; Biochemistry & Chemistry; Communication Studies; Computer Science; Creative Media Institute; Criminal Justice; English; Geography; Geological Sciences; Government; History; Interdisciplinary Studies; Journalism & Mass Communications; Languages & Linguistics; Mathematical Sciences; Molecular Biology; Music; Philosophy; Physics; Psychology; Sociology; Theatre Arts	Counseling & Psychology; Curriculum & Instruction; Educational Leadership & Administration; Kinesiology & Dance; Special Education & Communication Disorders

Aspirational Peers							
	College of Architecture, Arts and Humanities	College of Education					
Clemson	School of Architecture; Art; Construction Science & Management; English; History; Landscape Architecture; Languages; Performing Arts; Philosophy & Religion; City Planning & Real Estate Development	Education & Human Development; Educational & Organizational Leadership; Teaching & Learning					
	College of Creative Arts	College of Education, Health & Society					
Miami U	Architecture & Interior Design; Art; Music; Theatre	Educational Leadership; Education Psychology; Family Science & Social Work; Kinesiology & Health; Teacher Education					
	College of Visual & Performing Arts	College of Education					
James Madison	Schools of Art, Design & Art History; School of Music; School of Theatre & Dance	Early, Elementary & Reading Education; Educational Foundations & Exceptionalities; Learning, Technology & Leadership Education; Middle, Secondary & Math Education; Military Science					
SUNY	Harper College of Arts & Sciences	Graduate College of Education					
Binghamton	Division of Fine Arts & Humanities; Division of Science & Mathematics; Division of Social Sciences	Teacher Education; Educational Leadership					
	College of Liberal Arts						
U of New Hampshire	Anthropology; Art & Art History; Classics, Humanitie English; Geography; History; Interdisciplinary Stuc Philosophy; Polit	lies; Language, Literatures & Cultures; Music;					

Tennessee Peers								
	College of Arts & Sciences	College of Health, Education and Professional Studies						
UT Chattanooga	Art; Biology, Geology & Environmental Science; Chemistry & Physics; Communication; English; History; Mathematics; Modern & Classical Languages & Literature; Performing Arts; Philosophy & Religion; Political Science & Public Service; Psychology; Social, Cultural & Justice Studies	Health and Human Performance; Occupational Therapy; Physical Therapy; School of Nursing; School of Education; School of Professional Studies						
	College of Communication & Fine Arts	College of Education						
U of Memphis	Architecture; Art; Communication; Journalism & Strategic Media; Rudi E. Scheidt School of Music; Theatre & Dance	Counseling, Educational Psychology & Research; Instruction & Curriculum Leadership; Leadership						
	College of Liberal Arts	College of Education						
MTSU	Art; Communication Studies & Organizational Communication; English; Foreign Languages & Literatures; History; School of Music; Philosophy; Political Science & International Relations; Sociology & Anthropology; Theatre & Dance	Elementary & Special Education; Womack Educational Leadership						
	College of Arts & Sciences	Clemmer College of Education						
ETSU	Appalachian Studies; Art & Design; Biological Sciences; Chemistry; Communication & Performance; Criminal Justice & Criminology; Geosciences; History; Literature & Language; Media & Communication; Mathematics & Statistics; Medical Professions; Music; Philosophy & Humanities; Physics & Astronomy; Political Science, International Affairs & Public Administration; Psychology; Social Work; Sociology & Anthropology	Counseling & Human Service; Curriculum & Instruction; Early Childhood Education; Educational Leadership & Policy Analysis; Sport, Exercise, Recreation & Kinesiology; Educational Foundations & Special Education						



Agenda Item Summary

Date: June	15, 2017				
Division: Ad	cademic Affairs				
Agenda Ite	m: Bachelor of	Scienc	e, Elementary Ec	ducatio	n
Re	eview	\boxtimes	Action		No action required
PRESENTER	RS: Provost Gho	rashi			

PURPOSE & KEY POINTS:

The College of Education is establishing a new Bachelor of Science (B.S.) degree program in Elementary Education from an existing Elementary Education concentration in Multidisciplinary Studies.

TTU Internal Cover Form (Required for All Proposals)

Please refer to the TTU Office of the Provost website for New Programs and Program Modifications before developing a proposal. https://www.tntech.edu/provost/new-programs

Degree Designation	or Type of Certificate	Bachelor of Scie	nce
B.S.	in <u>Elementary</u>	Education	
Formal Degree Abbrev	ation Title of Propos	sed Program to be Esta	blished or Impacted
Concentration(s): _			
Briefly describe cha	inges (if any):		
concentration. C Education conce	ew bachelor of scien Current program: Mu Intration. Itation Date: August 2	ıltidisciplinary St	
For more information	on contact: <u>Dr. Jeremy \</u> Name	Wendt	/X3181 Telephone
Committee Approvals University Curriculum (for undergraduate	n Committee	Approval Date:	2/9/17
Graduate School Exec (for graduate prog		Approval Date:	N/A
Admissions and Credi (if applicable)	ts Committee	Approval Date:	N/A
Academic Council		Approval Date:	4/12/17
Academic Affairs Ap		an nature of Provost	Date 27-17

Dr. Betty Dandridge Johnson Associate Executive Director, Academic Affairs Tennessee Higher Education Commission 404 James Robertson Pkwy., Ste. 1900 Nashville, TN 37243

Dear Dr. Dandridge,

Please be advised, the department of Curriculum and Instruction within the College of Education has proposed the establishment of a new stand-alone Elementary Education B.S. degree program from an existing Elementary Education concentration within the Multidisciplinary Studies B.S. degree program. This proposal has gone through all necessary institutional approval channels and is hereby submitted for your review.

Sincerely,

Bahman Ghorashi, Ph.D. Provost, Vice President for Academic Affairs Tennessee Tech University 1 William L. Jones Dr., Derryberry Hall 201 Cookeville, TN 38505



Academic Program Modifications (APM) Checklist Policy A1.1 Academic Program Modifications

All APMs must be in a paginated document with a table of contents and submitted as a PDF addressing the specific items outlined below. Note: The APM must be submitted upon approval by appropriate institutional or individual governing board processes to THEC for consideration. APM submissions will be reviewed on a rolling basis.

The Department of Curriculum & Instruction proposes the creation of a stand-alone degree from a current concentration. The B.S. in Multidisciplinary Studies with a concentration in Elementary Education would transition to the B.S. in Elementary Education. Changes in teacher licensure, accreditation, and promotional needs have driven the request (additional info below).

The following items must be included in APM submission:

- CoverLetterfromChiefAcademicOfficerVerifyingtheProposedProgramSubmission Has Gone Through All Necessary Institutional Approval Channels
- Current and Proposed Program Name (and any concentrations), Degree Designation, and CIP
 Code (The current program name including all concentrations, degree designation and CIP code should also be provided).

Before the Prop (List as it now appears Program Inventory at T	on the officia		After the Proposed Change (List as it should appear on the official Academic Program Inventory at THEC, once approved.)			
Title Title of Existing Academic Program (include all existing concentrations before program modification)	Degree	CIP Code	Title Title of New Program after program modification is approved (including all concentrations)	Degree	CIP Code	
Multidisciplinary Studies Elementary Education	BS	08.13.120 6.00	Elementary Education	BS	08.13.120 2.00	

- Proposed Implementation Date: Fall 2017
- Proposed Termination Dates for Any Concentrations Proposed as Free Standing Academic Programs: NA
- Anticipated Delivery Site: <u>TTU Main campus and 2+2 locations</u> (Motlow State Tullahoma, McMinnville; Roane State Crossville, Huntsville, Harriman, Oak Ridge; Pellissippi State)

June 15, 2017, Board Materials - Academic & Student Affairs Committee Report and Recomm	nendations
 AcademicProgramLiaison(APL)NameandContactInformation: Jeremy Wendt, Department Chair, Curriculum & Instruction; 931-372-3181; jwendt 	·@tntech.edu
ECAcademicProgramModificationChecklist-Jan2017	Page 2

 Background for Proposed Academic Program Modification (State the rationale for the proposed change.)

Historically, the concentration has had several names, but was placed under the title of multidisciplinary studies in the 1980's. Given the current enrollment fluctuations in the field of education, it is vital that the program be very visible and easily identified. Other elementary education programs in the state of Tennessee vary in title, but none specifically offer a "B.S. in Elementary Education". This will create a unique opportunity for student degrees. In addition, as the state changes licensure requirements, no additional changes will be required.

Need for Program

Changes in licensure and educator supply and demand have created a competitive environment that has prompted the College of Ed to establish a free-standing degree program from an existing concentration. TTU proposes to move the *Multidisciplinary Studies Elementary Education* concentration to a stand-alone B.S. program in *Elementary Education*. The largest concentration in the College of Education seeks to change to a more visible title that is easily recognized by prospective students and professionals. The reorganization of this concentration is intended to create a stronger brand identity for the large Elementary Education program. This request also enables simpler marketing and promotion and identification of majors.

 Potential Impact of Modification on Current Program (including other concentrations within the current Program) and other similar programs within the institution)

New freshmen students, admitted for Fall 2017, will be classified under the title. Current students classified as seniors in Fall 2017 will stay on track under the old title/program and will graduate under the Multidisciplinary Studies degree. Fall 2017 juniors and sophomores will be transitioned over to the newly named program via the change of major process. Coursework will not be impacted since the program of study stays the same. All changes are simply in the program name and will not affect other program concentrations or degrees.

Existing Programs Offered at Public and Private Tennessee institutions—List all programs within the same CIP code definition at the same academic level (Bachelor's, Master's, Doctoral) currently offer in public and private higher education in Tennessee. (Please utilize the following tabular format).
There are no other BS programs in Elementary Education. There are M.Ed. programs in Elementary Education at ETSU, TSU, and UTC.

• Enrollment and Degrees Awarded by Concentration – Complete only if APM request is for elevation of existing concentration to a free-standing degree program. (Please utilize the following tabular format).

	Fall	Fall Headcount Enrollment				Degrees Awarded			
	Year 1	Year 2	Year 3	3 Year Fall Average	Academic Year 1	Academic Year 2	Academic Year 3	3 Year Average	
1 Concentration	630	554	380	521	469	426	414	436*	
Total Program									

^{*}This average does not include Elementary Education licenses at the graduate level, as the concentration is not identified as Elementary Education, but Curriculum & Instruction.

• Student Learning Outcomes – Describe what students should know, understand and/or be able to do at the conclusion of the program.

Goals

Candidates seeking initial licensure at the undergraduate level complete course work in general education, giving them a broad background in the arts and sciences and strengthening basic skills in communication. They complete a teaching field major and a professional education component that:

- Leads to a high level of scholarship in the content they will teach,
- · Builds understanding of learning and the learning process,
- · Develops teaching competencies,
- Cultivates skills in establishing and maintaining a positive and productive classroom climate, and
- Builds competence in a variety of strategies for performance assessment, its interpretation, and its implications for instruction.

Candidate Dispositions

Professional dispositions provide the guiding network for the collection of evidence that prepare candidates for teaching, principal, school counselor or school psychologist licensure who:

- Demonstrate scholarship in subject matter, understand tools of inquiry, and effectively integrate learning across the curriculum.
- Communicate effectively, using verbal, nonverbal, and media techniques to foster active inquiry, collaboration, and supportive interaction in the classroom.
- Demonstrate positive relationships and collaborate effectively with partners in the educational process.
- Accept the responsibility to provide a supportive, safe, and technologically integrated environment and to facilitate learning in ways that promote critical thinking, problem solving and intellectual growth.
- Establish an atmosphere of respect and create an environment conducive to learning that considers the values, backgrounds, and learning needs of individual learners.
- Engage in reflection that leads to appropriate professional behavior, effective educational decision making and a commitment to lifelong learning and professional growth.

Throughout the professional education preparation program, basic elements of caring are modeled, stressed, and assessed. Regularly encouraged in class and in field experiences are such qualities as:

- Respect for each individual student.
- Empathy based on understanding the student as a unique individual.
- Effective use of verbal and nonverbal communication skills.
- Active listening.
- Open---mindedness that facilitates collaboration and intellectual growth.
- Communicating high---expectations founded on confidence that each student can achieve excellence.

- Assessment Provide a plan for assessing student learning outcomes while the students are in the program and after they have completed the program.
 Student learning outcomes are assessed through multiple measures as dictated by SACSCOC requirements, CAEP national accreditation standards, and State of Tennessee licensure and program approval requirements. https://www.tntech.edu/education/
- Accreditation CAEP/SACSCOC will be notified with program approval
- Current and Proposed Curriculum Requirements- see attached
- NewCoursesNeeded-n/a
- Curriculum Crosswalk of Proposed Curriculum to Accreditation Competencies n/a
- Distance Learning n/a
- Current and Proposed Admission, Retention and Graduation Policies no change in current university policies

• Current Faculty - List the name, rank, highest degree, primary department and estimate of the level of involvement of all faculty members who will participate in the proposed program. If the program is at the graduate level, also list the number of masters' theses and doctoral dissertations each of these faculty members have directed to completion. (Please utilize the following tabular format).

Name	Rank	Highest Degree	Primary Department	FTE in Program
Dr. James Akenson	Professor	Doctorate	C&I	
Dr. Jennifer Meadows	Assistant Professor	Doctorate	C&I	
Dr. Amy Rogers	Lecturer	Doctorate	C&I	
Dr. Amber Spears	Assistant Professor	Doctorate	C&I	
Dr. Stephanie Wendt	Assistant Professor	Doctorate	C&I	

• Finance – no major financial projections or changes to current structure are anticipated

Multidisciplinary Studies, Elementary Education Concentration, B.S.									
F l					C l	V			
Freshman				{	Sophomo				Credit Hours
		of Biology 8		3	EDPY 2200-Educational Psychology				3
		of Chemis	try	3	ENGL 2130-Topics in American Literature			3	
}	-English Coi			3	ENGL 2230-Topics in British Literature OR			_	
{······		mposition II		3	ENGL 2330-Topics in World Literature			3	
		ach. & Tech		2	SPCH 2410				
		Experience			PC 2500-Communicating in the Profession			3	
FOED 1822-Ir	tro. Field Exp	perience & O	rientation	1	GEOL 1310)-Concepts	of Geology	1	3
GEOG 1120	O-Human G	eography		3	HEC 3500-De			olescence	3
HIST 2010-	American H	istory I		3	PHYS 1310	 Concepts 	of Physics		3
HIST 2020-	American H	istory II		3	Humanitie	s/Fine Arts	Elective (G	en Ed)	3
MATH 1410	0-Number 0	Concepts for	Teachers	3	Social/Beh	avioral Scie	ences Elect	ive (Gen Ed)	3
MATH 1420	0-Geometry	/ Concepts f	or Teachers	3	MATH Elec	tive			3
Total: 30					Total: 30				
Junior Yea	r			Credit Hours	Senior Yea	ır			Credit Hours
CUED 4700)-Ed Data 8	գ Assessme	nt	2	CUED 4800-Student Engagement				3
ECSP 4100-De	evelopmenta	Illy App Practi	ces: K-4	3	ELED 4871-Residency I				5
ELED 3140	-Teaching o	of Social Stu	udies	2	ELED 4872-Professional Seminar I			5	
ELED 3152	-Teaching o	of Mathem	atics	3	ELED 4881-Residency II			10	
ELED 4142-	Teaching of	Science		3	ELED 4882-Professional Seminar II			2	
ESLP 4100	(5100)-ESL	M&M for P	K-12	3	Total: 25				
FOED 3010-Integ. Inst. Tech. into Classrm.			3						
FOED 3800-Field Experiences in Education			2						
FOED 3810-Field Exp. in Education			2						
READ 3311-Literacy I			7						
SPED 3000-Teach Persons with Disabilities			3	·····					
Elective			2						
Total: 35									
				ž					

	Elementary Education, B.S.								
Freshman	Year			Credit Hours	Sophomo	re Year			Credit Hours
BIOL 1310-	-Concepts	of Biology 8	& Envirn	3	EDPY 2200	-Education	al Psycholo	gy	3
CHEM 131	0-Concepts	s of Chemis	try	3	ENGL 2130	ENGL 2130-Topics in American Literature			3
ENGL 1010	-English Co	mposition I		3	ENGL 2230	ENGL 2230-Topics in British Literature OR			
ENGL 1020	-English Co	mposition II		3	ENGL 2330	ENGL 2330-Topics in World Literature			
FOED 2011	-Intro to Te	ach. & Tech	nology	2	SPCH 2410				
FOED 1820	-Intro. Field	l Experience	OR		PC 2500-Communicating in the Profession				3
FOED 1822-In	tro. Field Ex	perience & O	rientation	1	GEOL 1310	GEOL 1310-Concepts of Geology			3
GEOG 1120	O-Human G	eography		3	HEC 3500-De	vel: Middle C	hildhood/Ad	olescence	3
HIST 2010-	American H	listory I		3	PHYS 1310	- Concepts	of Physics		3
HIST 2020-	American H	listory II		3	Humanitie	s/Fine Arts	Elective (G	en Ed)	3
MATH 1410	0-Number (Concepts for	Teachers	3	Social/Beh	avioral Scie	ences Elect	ive (Gen Ed)	3
MATH 1420	0-Geometry	/ Concepts f	or Teachers	3	MATH Elec	tive			3
Total: 30					Total: 30				
Junior Year				Credit Hours	Senior Yea	Senior Year			Credit Hours
CUED 4700)-Ed Data 8	ձ Assessme	nt	2	CUED 4800-Student Engagement			3	
ECSP 4100-De	evelopmenta	ally App Pract	ices: K-4	3	ELED 4871-Residency I			5	
ELED 3140	-Teaching	of Social St	udies	2	ELED 4872-Professional Seminar I			5	
ELED 3152	-Teaching o	of Mathem	atics	3	ELED 4881	ELED 4881-Residency II			10
ELED 4142-	Teaching of	f Science		3	ELED 4882	ELED 4882-Professional Seminar II			2
ESLP 4100((5100)-ESL	M&M for P	K-12	3	Total: 25				
FOED 3010)-Integ. Ins	t. Tech. into	Classrm.	3					
FOED 3800-Field Experiences in Education			2						
FOED 3810-Field Exp. in Education			2						
READ 3311-Literacy I			7						
SPED 3000-Teach Persons with Disabilities			3						
Elective			2						
Total: 35									
					-				



Date: June 15, 2017
Division: Academic Affairs
Agenda Item: M.S. in Chemical Engineering, Non-Thesis Option
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
The College of Engineering proposes to establish a Non-Thesis Option for the Master of Science in Chemical Engineering.

Please refer to the TTU Office of the Provost website for New Programs and Program

TTU Internal Cover Form (Required for All Proposals)

Modifications before developing a proposal.

https://www.tntech.edu/provost/new-program	ms
Degree Designation or Type of Certificate	Master of Science ,
M.S. in Chemical Eng Formal Degree Abbreviation Title of Propose	tineering and Program to be Established or Impacted
Concentration(s):	
Briefly describe changes (if any):	**************************************
Creation of a non-thesis option for the program.	e Chemical Engineering M.S. degree
Proposed Implementation Date: August 20	017
For more information contact: <u>Dr. Pedro Are</u> Name	ce /X3297 Telephone
Committee Approvals: University Curriculum Committee (for undergraduate programs)	Approval Date:
Graduate School Executive Committee (for graduate programs)	Approval Date: 4/4/17
Admissions and Credits Committee (if applicable)	Approval Date:
Academic Council	Approval Date: 4/12/17
Academic Affairs Approval: Signature Signature	nure of Provosi Date



Approved by TTU
Graduate School Executive Committee
Date Approved in Committee: 4/4//7

Chemical Engineering

TENNESSEE TECH

Memo

To: Graduate School Executive Committee

Via: College of Engineering Graduate Committee

Via: Dr. Pedro E. Arce, Chair

From: CHE Graduate Committee

Robby Sanders, Chair Sand

The Department of Chemical Engineering requests approval to offer a non-thesis option in its MS degree program. The information presented below provides additional details regarding the program and request.

ADD: MS-CHE with Non-thesis Option

MS-CHE with Non-thesis Option: The MS-CHE program of study with non-thesis option requires a minimum of 34 credit hours of course work and shall include: CHE 6920 - Graduate Seminar (1 credit) to be completed during the first fall semester of study; 9 credit hours of graduate level breadth (core) courses from a list maintained by the CHE department; a minimum of twelve (12) credit hours of graduate level CHE elective courses; a three (3) credit hours CHE 6970: Non-Thesis Design Project course that will enhance independent learning skills, and a maximum of nine (9) hours of graduate level elective courses from outside the department. Additionally, each student should also pass a written comprehensive exam administered by the department.

Example curriculum:

9 credits of graduate level breadth courses

- CHE 6010: Advanced Chemical Engineering Thermodynamics
- CHE 6140: Physical Transport I
- CHE 6210: Advanced Kinetics

12 credits of graduate level CHE elective courses

• Examples of representative courses are provided on the following page.

Tennessee Tech Box 5013 Cookeville TN 38505 931-372-3297 F 931-372-6352 tntech.edu/che

Page 2

3 credit hour project

CHE 6970: Non-Thesis Design Project

9 credit hours of graduate levels courses from outside the department

Examples of representative courses are provided on the following page.

Justification: The non-thesis option in CHE is designed for students interested in acquiring advanced chemical engineering knowledge as part of professional development with less of a focus on research. The program outlined above is in-line with that in other College of Engineering MS non-thesis option programs.

Effective starting in the Fall 2017 semester.

DELETE: N/A

CHANGE: N/A

Elective courses offered in the CHE Department in the last few years include:

- CHE 5210. Chemical Reaction Engineering
- CHE 5330. Polymer Engineering
- CHE 5661. Transport in Biochemical / Biological Processes
- CHE 6810. Advanced Fuel Cells
- CHE 6810. Advanced Issues in Polymer Engineering
- CHE 6810. Advanced Protein Biophysics and Simulation
- CHE 6810. Biofuels and the Rural Socioecology
- CHE 6810. Catalytic Systems
- CHE 6810. Modeling of Chemical Engineering Systems
- CHE 6810. Physical Transport I
- CHE 6810. Special Topics in Chemical Engineering
- CHE 7970. Survey of Protein Engineering
- CHE 7970. Advanced Application of Protein Engineering
- CHE 7970. Electrokinetics-Hydrodynamics
- CHE 7970. STEM Design: Team Management & Assessment
- CHE 7980. Advanced Kinetics in the Environment

Page 3

Examples of courses outside the Department taken by CHE graduate students include:

- BIOL 5040. Immunology
- BGMT 6200. Organizational Leadership
- EDPY 6310. Educational Statistics
- EVS 7900. Scientific Writing and Grantsmanship
- CEE 5430. Water / Wastewater Treatment
- CEE 6200. Statistical Inference for Engineers
- CEE 6900. Introduction to Finite Element Analysis
- CHEM 5210. Chemistry of Polymers
- CHEM 5620. General Biochemistry
- CHEM 6410. Advanced Analytical Chemistry
- CHEM 6610. Advanced Biochemistry
- MATH 5510. Advanced Math for Engineers
- MATH 6510. Finite Difference Solutions
- MATH 6810. Partial Differential Equations
- ME 6360. Introduction to Continuum Mechanics
- ME 6810. Advanced Materials Science I
- NURS 6103. Advanced Pathophysiology
- NURS 6104. Advanced Pharmacology



PRESENTERS: Provost Ghorashi	
Review Action No action required	
Agenda Item: Ph.D. in Environmental Sciences, Changes to Admission Requirements	
Division: Academic Affairs	
Date: June 15, 2017	

PURPOSE & KEY POINTS:

The College of Interdisciplinary Studies proposes to establish new GRE admission requirements for the Ph.D. in Environmental Sciences. This change applies to both concentrations within the degree program.

TTU Internal Cover Form (Required for All Proposals)

Please refer to the TTU Office of the Provost website for New Programs and Program Modifications before developing a proposal. https://www.tntech.edu/provost/new-programs

Degree Designation or Type of Certificate	octor of Philosophy ,
Ph.D. in Environmenta	al Sciences
	d Program to be Established or Impacted
Concentration(s): Biology, Chemistry	
Briefly describe changes (if any):	
Establishing new GRE admissions requ Change applies to both concentration	
Proposed Implementation Date: August 20	017
For more information contact: <u>Dr. Hayden Name</u>	Mattingly / X3698 Telephone
Committee Approvals: University Curriculum Committee (for undergraduate programs)	Approval Date: N/A
Graduate School Executive Committee (for graduate programs)	Approval Date: 4/4/17
Admissions and Credits Committee (if applicable)	Approval Date: N/A
Academic Council	Approval Date: 4 12/17
Academic Affairs Approva	Date

Approved by T T U
Graduate School Executive Committee
Date Approved in Committee: 4/4/17

School of Environmental Studies

Box 5152 • Cookeville, TN 38505-0001 • (931) 372-6246 • Fax (931) 372-6346

MEMORANDUM

TO: Graduate Studies Executive Committee

VIA: Dr. Mike Gotcher, Dean, College of Interdisciplinary Studie

VIA: Environmental Sciences PhD Executive Committee

FROM: Dr. Hayden Mattingly, Interim Director, School of Environmental Studies Hayden Mattingly

DATE: March 22, 2017

RE: Change to admissions requirements for students entering Environmental Sciences Ph.D. degree program

The following change to GRE admissions requirements for the Environmental Sciences Ph.D. degree program is requested, effective July 1, 2017:

Previous requirements:

- Program Requirements
 - o Combined score of at least 1000 on the verbal and quantitative portions of the exam
- Biology Concentration
 - Minimum combined score of 1500 on the verbal, quantitative, and analytical writing (converted score*) portions of the GRE General Test (GRE). *Converted score=(analytical writing score/6) X 800.
- Chemistry Concentration
 - (No special GRE requirements beyond program requirements)

Change to:

• GRE scores of at least 300 (Quantitative + Verbal) and 3.5 (Analytical Writing) for students entering any concentration within the Environmental Sciences Ph.D. degree program

Justification: The previous GRE requirements used the former GRE scoring system and therefore were outdated. In addition, EVS faculty and executive committee members agreed that a uniform GRE standard for admission to the program was preferable to the previous situation where GRE criteria differed between the two concentrations (Biology vs. Chemistry). This requested change is expected to simplify and streamline admission decisions, and create more equitable criteria for student entry into the degree program. All other admissions requirements for the EVS PhD program will remain the same (GPA, Language Proficiency, letters of recommendation, etc.).

Financial Impact: None.



Date: June 15, 2017					
Division: Academic Affairs					
Agenda Item: P.S.M in Environmental Informatics, Changes to Admission Requirements					
Review Action No action required					
PRESENTERS: Provost Ghorashi					
PURPOSE & KEY POINTS:					
The College of Interdisciplinary Studies proposes to establish new admission requirements for					

the Professional Science Master's degree program in Environmental Informatics.

TTU Internal Cover Form (Required for All Proposals)

Please refer to the TTU Office of the Provost website for New Programs and Program Modifications before developing a proposal. https://www.tntech.edu/provost/new-programs

Degree Designation or Type of Certificate	Professional Science Master's
P.S.M. in Environmen	tal Informatics
	sed Program to be Established or Impacted
Concentration(s):	
Briefly describe changes (if any):	
Establishing new admissions require Master's program in Environmental	
Proposed Implementation Date: August 2	2017
For more information contact: Dr. Hayden	Mattingly / X3698 Telephone
	10000000
Committee Approvals: University Curriculum Committee (for undergraduate programs)	Approval Date: N/A
Graduate School Executive Committee (for graduate programs)	Approval Date: 4/14/17
Admissions and Credits Committee (if applicable)	Approval Date: N/A
Academic Council	Approval Date: 4/12/17
Academic Affairs Approval:	mature of Provost Date



Approved by TTU **Graduate School Executive Committee**

School of Environmental Studies

Box 5152 • Cookeville, TN 38505-0001 • (931) 372-3507 • Fax (931) 372-6346

MEMORANDUM

TO: **Graduate Studies Executive Committee**

Dr. Mike Gotcher, Dean, College of Interdisciplinary Studies VIA:

FROM: Dr. Hayden Mattingly, Interim Director, School of Environmental Studies & Mattingly

DATE: March 13, 2017

RE: Change to admissions requirements for students entering Professional Science Master's Environmental Informatics degree program

The following changes to admissions requirements for the PSM-Environmental Informatics degree program are requested, effective April 17, 2017:

Previous requirements:

- Undergraduate GPA of at least 3.0 on a 4.0 scale in environmental sciences, natural resource management, environmental engineering, or equivalent field of study.*
- Total of at least 1000 on the verbal and quantitative portions of the GRE® General Test (GRE) (306 New revised score) along with a 3.5 score on the analytical writing portion of the test.
- Official transcripts from all previously-attended colleges or universities
- Three (3) letters of recommendation from faculty familiar with the academic ability of the applicant.
- International applicants must also meet the English Language Requirement by providing test results on one (1) of the following:
 - o TOEFL 550 minimum (213 computer-based or 79 internet-based)
 - o IELTS minimum base score of 6.0
- *Applicants that have baccalaureate degrees in a closely related field will be evaluated on a case-by-case basis and may be admitted to full standing upon completion of identified background courses.

Change to:

- Undergraduate degree in science, technology, engineering, or mathematics discipline* with GPA of at least 3.0 on a 4.0 scale; [OR] a total score of at least 300 on verbal and quantitative portions of the GRE® General Test along with a score of at least 3.5 on the analytical writing portion of the test.
- Official transcripts from all previously attended colleges or universities
- Three (3) letters of recommendation from faculty or supervisors familiar with the academic ability of the applicant.

- International applicants must also meet the English Language Requirement by providing test results on one (1) of the following:
 - o TOEFL 550 minimum (213 computer-based or 79 internet-based)
 - o IELTS minimum base score of 6.0
- *Applicants that have baccalaureate degrees in a closely related field will be evaluated on a case-by-case basis and may be admitted to full standing upon completion of identified background courses.

Justification: Beginning Fall 2017, the PSM-Environmental Informatics program will be offered in an online format in addition to the existing on-ground format. Along with this change, we anticipate that a significant portion of new applicants will be working professionals who have been out of college for several years. GRE test scores for these new applicants may not be accurate indicators of their potential for success in the degree program. In addition, some PSM programs at other universities do not require the GRE for admission. This issue was discussed at the most recent PSM-Environmental Informatics Industrial Advisory Board meeting (Fall 2016) and the board members recommended making a change to our admissions requirements to allow such flexibility in our admissions requirements.

Financial Impact: There will be no additional costs.



Date: June 15, 2017			
Division: Academic Affairs			
Agenda Item: P.S.M in Enviror Track Program		s, Change	s to Admission Requirements in Fast-
Review	Action	N	o action required
PRESENTERS: Provost Ghorash	าi		

The College of Interdisciplinary Studies proposes to establish new admission requirements for the Professional Science Master's degree program in the Environmental Informatics Fast-Track program option.

PURPOSE & KEY POINTS:

TTU Internal Cover Form (Required for All Proposals)

Please refer to the TTU Office of the Provost website for New Programs and Program Modifications before developing a proposal. https://www.tntech.edu/provost/new-programs

Degree Designation or Type of Certificate I	Professional Science Master's
P.S.M. in Environment	al Informatics
	ed Program to be Established or Impacted
Concentration(s): <u>Fast-Track Program C</u>	ption
Briefly describe changes (if any):	***************************************
Establishing new admissions requirer Master's program in Environmental I	
Proposed Implementation Date: August 20	017
For more information contact: <u>Dr. Hayden Name</u>	Mattingly / X3698 Telephone
Committee Approvals: University Curriculum Committee (for undergraduate programs)	Approval Date:
Graduate School Executive Committee (for graduate programs)	Approval Date: 4/4/17
Admissions and Credits Committee (if applicable)	Approval Date: N/A
Academic Council	Approval Date: 4/12/17
Academic Affairs Approval: Sign	ature of Provost Date



Approved by T T U **Graduate School Executive Committee** Date Approved In Committee: _

School of Environmental Studies

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MEMORANDUM

Graduate Studies Executive Committee TO:

VIA: College of Interdisciplinary Studies Curriculum Committee

VIA: Dr. Mike Gotcher, Dean, College of Interdisciplinary Studies

FROM: Hayden Mattingly, Interim Director, School of Environmental Studies Hayden Mattingly

DATE: March 14, 2017

RE: Requirements for undergraduate students entering a fast-track option for the Professional Science Master's Environmental Informatics degree program

Effective April 15, 2017, we request approval of a fast-track program for undergraduate students who wish to earn credit that can apply at the graduate level in the Professional Science Master's Environmental Informatics degree program:

Fast-Track Professional Science Master's Degree in Environmental Informatics

This will allow selected undergraduates to enroll for up to six (6) hours of graduate courses prior to formal admission to the P.S.M., Environmental Informatics program. The courses taken during the student's junior/senior year can be used to satisfy both undergraduate and graduate degree requirements. Participation does not change the requirements for either the undergraduate or graduate program in Environmental Informatics. Once admitted to this program, the student will be allowed to enroll in appropriate courses in the junior or senior year with the consent of the student's undergraduate advisor and the Director of the P.S.M. program. Courses completed at the Graduate Level are only guaranteed to apply to the completion of the P.S.M. Environmental Informatics program.

Admission to Fast-Track

Minimum requirements for admission are:

- Applicant must be earning a baccalaureate degree in a related field, which will be evaluated on a case-by-case basis
- Recommendation of a faculty member in the student's major
- Overall GPA of 3.0
- Program participants should consult with their future P.S.M. advisor regarding appropriate graduate courses to take during their junior/senior year.
- The student must earn a minimum grade of "B" in the graduate courses in order to apply them to their P.S.M program of study.
- All requirements for full admission to Graduate School must be met upon undergraduate graduation. Students in the Fast-Track program must still apply for admission to the

- Graduate School and meeting Fast-Track requirements does not necessarily guarantee admission to the PSM-Environmental Informatics degree program.
- Students who do not succeed in their first graduate course (B grade or better) will be advised to withdraw from the Fast Track program and complete their B.S. degree in a normal manner.

Fulfilling the above minimum requirements does not guarantee acceptance into the Professional Science Master's, Environmental Informatics Fast Track program. Students who meet the above minimum requirements must consult with the College of Interdisciplinary Studies and the School of Environmental Studies for eligibility and acceptance.

Financial Impact: We do not anticipate any new costs implementing this fast-track program.



Date: June 15, 2017		
Division: Academic Affairs		
Agenda Item: M.A. in Exercise to Admission Re		Education, & Wellness, Online Program Changes
Review	Action	No action required
PRESENTERS: Provost Ghorash	ni	

PURPOSE & KEY POINTS:

The College of Education proposes to change the admission requirements for the Online Master of Arts in Exercise Science, Physical Education, & Wellness. These changes do not apply to the program's hybrid or traditional delivery methods.

Please refer to the TTU Office of the Provost website for New Programs and Program

TTU Internal Cover Form (Required for All Proposals)

Modifications before developing a proposal.

https://www.tntech.edu/provost/new-programs Degree Designation or Type of Certificate Master of Arts in Exercise Science, Physical Education, & Wellness Formal Degree Abbreviation Title of Proposed Program to be Established or Impacted Concentration(s): Online Program only Briefly describe changes (if any): Changes to the admission requirements for the Online M.A. in Exercise Science. These changes do not apply to the program's hybrid or traditional delivery methods. Proposed Implementation Date: August 2017 For more information contact: Dr. Christy Killman Committee Approvals: University Curriculum Committee Approval Date: N/A (for undergraduate programs) Approval Date: 3/14/17 Graduate School Executive Committee (for graduate programs) Admissions and Credits Committee Approval Date: (if applicable) Approval Date: Academic Council Academic Affairs Approval

MEMORANDUM

TO: Graduate School Executive Committee (GSEC)

VIA: College of Education Executive Leadership Council (ELC)

VIA: Dr. Lisa Zagumny, Associate Dean, College of Education

FROM: Dr. Christy Killman, Chair, Department of Exercise Science, Physical Education & Wellness

DATE: February 22, 2017

SUBJECT: Revised Admission Requirements for the On-line MA program in Exercise Science

EFFECTIVE DATE: FALL 2017

JUSTIFICATION: Changing to these proposed admission requirements will provide flexibility in seeking and

admitting well qualified MA candidates into the online Master of Arts in Exercise Science

program.

Admission requirements

FROM:

Admission Requirements for Provisional Standing:

- Undergraduate GPA of 2.25
- Three (3) current letters of recommendation from those who have supervised a previous education or work experience
- A letter describing interest in program and future professional goals
- Official test scores on the MAT (372 minimum) or GRE® General Test (GRE): Exceed 150 on Verbal Reasoning and score 138 or above on Quantitative Reasoning AND a score of 4.0 or above is required on Analytical Writing. -OR- Exceed 141 on Quantitative Reasoning and score 143 or above on Verbal Reasoning AND a score of 4.0 or above is required on Analytical Writing.

Admission Requirements for Full Standing:

- Undergraduate GPA of 2.50
- Three (3) current letters of recommendation from those who have supervised a previous education or work experience
- A letter describing interest in program and future professional goals

• Official test scores on the MAT (380 minimum) or GRE^(®) General Test (GRE): Exceed 150 on Verbal Reasoning and score 138 or above on Quantitative Reasoning AND a score of 4.0 or above is required on Analytical Writing. -OR- Exceed 141 on Quantitative Reasoning and score 143 or above on Verbal Reasoning AND a score of 4.0 or above is required on Analytical Writing.

Students entering the graduate program in Exercise Science, Physical Education and Wellness are required to participate in an initial on-campus orientation before starting classes. Orientations are offered on specific Saturdays in August, January, and May prior to the start of the academic term. The orientation addresses the online course management system, outlines course sequences for each program of study, and provides an overview of appropriate online academic practices. Students are also required to take comprehensive exams on campus during their last semester of classes.

TO:

Applicants for admission to the MA in Exercise Science are expected to have earned a BS degree from an approved program. There is no restriction on undergraduate program of study. Admission is decided based on a multi-parameter criterion that can include the following and will be evaluated by the graduate faculty in the department:

- 1. Minimum 2.5 undergraduate GPA for provisional admission and minimum 2.75 undergraduate GPA for full standing;
- 2. Waive entrance exam with undergraduate GPA of 3.75 or higher;
- 3. Waive entrance exam for students who have a passing score on EdTPA and minimum 3.0 undergraduate GPA;
- 4. Minimum MAT score of 370 for provisional and 380 for Full standing or GRE^(®) General Test (GRE): Exceed 150 on Verbal Reasoning and score 138 or above on Quantitative Reasoning AND a score of 4.0 or above is required on Analytical Writing. -OR- Exceed 141 on Quantitative Reasoning and score 143 or above on Verbal Reasoning AND a score of 4.0 or above is required on Analytical Writing;
- 5. Minimum of 2 letters of recommendation from someone who can address scholarly aptitude;
- 6. All undergraduate transcripts;
- 7. Candidate provide a writing sample from an undergraduate 4000 level class or complete the provided writing prompt;
- 8. Letter of Intent outlining the purpose and proposed outcomes of being in the program:
- 9. Participate in face-to-face or skype interview if required.

Based on the level of satisfaction of the above criteria, the department will either recommend admission to full standing, provisional standing, or deny admission. Standing status may be changed to Full standing after the student satisfies the requirements specified by the department at the time of admission or upon departmental review.



Date: June 15, 2017				
Division: Academic Affairs				
Agenda Item: M.A. in Counseling & Psychology, Changes to Admission Requirements				
Review Action No action required				
PRESENTERS: Provost Ghorashi				
PURPOSE & KEY POINTS:				
The College of Education proposes to change the admission requirements for the Master of Arts in Counseling and Psychology.				

Please refer to the TTU Office of the Provost website for New Programs and Program

TTU Internal Cover Form (Required for All Proposals)

Modifications before developing a proposal. https://www.tntech.edu/provost/new-programs Degree Designation or Type of Certificate Master of Arts M.A. in Counseling and Psychology Formal Degree Abbreviation Title of Proposed Program to be Established or Impacted Concentration(s): Briefly describe changes (if any): Changes to the admission requirements for the M.A. in Counseling and Psychology. Proposed Implementation Date: August 2017 For more information contact: <u>Dr. Barry Stein</u> Committee Approvals: Approval Date: N/A University Curriculum Committee (for undergraduate programs) Graduate School Executive Committee Approval Date: 10/4/14 (for graduate programs) Approval Date: Admissions and Credits Committee (if applicable) Approval Date: Academic Council



College of Education • *Department of Counseling and Psychology* Box 5031 • Cookeville, TN 38505-0001 • (931) 372-3457

MEMORANDUM

TO: Graduate School Executive Committee (GSEC)

VIA: College of Education Executive Leadership Council (ELC)

VIA: Teacher Education Committee

FROM: Dr. Barry Stein, Chairperson of Counseling and Psychology

DATE: August 26, 2016

SUBJECT: Proposed changes in admission criteria for the Master of Arts (MA) degree in the Department of Counseling and Psychology.

The Counseling and Psychology department would like to request a change in our graduate admissions policy. This change allows successful Fast Track program students to be admitted without having to take the GRE. The current and proposed criteria are attached.

Proposed Changes in Admissions Requirements for MA in Counseling and Psychology

Current Admission Requirements Counseling & Psychology:

Master of Arts Degree Admission Criteria

Students pursuing graduate study in the Department of Counseling and Psychology can select from among several concentrations that are designed to lead to licensure in the State of Tennessee or that lead to non-licensure degrees.

Admission Criteria:

The Department offers admission to applicants who appear to have the highest potential for graduate study and who have the disposition to be successful in their concentration. The minimum admission requirements are:

- 1. A bachelor's degree from an accredited institution.
- 2. Satisfactory undergraduate grade point average, usually a minimum of 2.75 on a 4.0 scale.
- 3. Enough undergraduate training in psychology to do graduate work in the chosen concentration.
- 4. Three acceptable letters of recommendation for graduate study from faculty members or other persons who have adequate knowledge of the applicant's professional qualities or potential for success as a graduate student.
- 5. A score of 400 (old format) or 146 (new format) on the verbal portion, and 400 (old format) or 140 (new format) quantitative portions of the GRE® General Test (GRE) along with a 4.0 score on the analytical writing portion.

Satisfying minimal standards, however, does not guarantee your admission. Admission decisions are based on departmental review, using a combination of factors, including an interview to evaluate dispositions for professionals in the chosen concentration.

Students may be admitted with provisional status if they do not meet all of the criteria above but do meet the minimum requirements of the graduate school and are approved for provisional status by the departmental admissions committee. Provisional status will limit students to a maximum of nine (9) hours before the departmental admissions committee makes a recommendation for full admission. To advance from provisional to full admission a student must earn a 3.0 GPA on the nine (9) semester hours of graduate study in the concentration and be approved by the departmental admissions committee.

Evidence of English Language Proficiency

All applicants from countries in which the official language is not English are required to submit evidence of proficiency in English equivalent to level 9 in FLS.

Proposed Admission Requirements Counseling & Psychology:

Master of Arts Degree Admission Criteria

Students pursuing graduate study in the Department of Counseling and Psychology can select from among several concentrations that are designed to lead to licensure in the State of Tennessee or that lead to non-licensure degrees.

Admission Criteria:

The Department offers admission to applicants who appear to have the highest potential for graduate study and who have the disposition to be successful in their concentration. The minimum admission requirements are:

- 1. A bachelor's degree from an accredited institution.
- 2. Satisfactory undergraduate grade point average, usually a minimum of 2.75 on a 4.0 scale.
- 3. Enough undergraduate training in psychology to do graduate work in the chosen concentration.
- 4. Three acceptable letters of recommendation for graduate study from faculty members or other persons who have adequate knowledge of the applicant's professional qualities or potential for success as a graduate student.
- 5. A score of 400 (old format) or 146 (new format) on the verbal portion, and 400 (old format) or 140 (new format) quantitative portions of the GRE® General Test (GRE) along with a 4.0 score on the analytical writing portion. Students who have successfully completed TTU's Fast Track program and meet all other requirements for admission to graduate school may be exempted from taking the GRE.

Satisfying minimal standards, however, does not guarantee your admission. Admission decisions are based on departmental review, using a combination of factors, including an interview to evaluate dispositions for professionals in the chosen concentration.

Students may be admitted with provisional status if they do not meet all of the criteria above but do meet the minimum requirements of the graduate school and are approved for provisional status by the departmental admissions committee. Provisional status will limit students to a maximum of nine (9) hours before the departmental admissions committee makes a recommendation for full admission. To advance from provisional to full admission a student must earn a 3.0 GPA on the nine (9) semester hours of graduate study in the concentration and be approved by the departmental admissions committee.

Evidence of English Language Proficiency

All applicants from countries in which the official language is not English are required to submit evidence of proficiency in English equivalent to level 9 in FLS.



Date: June 15, 2017 Division: Academic Affairs				
Review Action No action required				
PRESENTERS: Provost Ghorashi				
PURPOSE & KEY POINTS:				
Policy 202, Academic Freedom and Responsibility, establishes and details Tennessee Tech's policy regarding academic freedom and responsibility.				

Tennessee Technological University Policy No. 202



Effective Date: July 1, 2017

Policy No.: 202

Policy Name: Academic Freedom and Responsibility

Policy Subject: Policy statement establishing and detailing Tennessee Tech's policy on

academic freedom and responsibility **Date Revised:** January 1, 2015

I. Purpose

This policy statement establishes and details Tennessee Tech's policy regarding academic freedom and responsibility.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Provost, with recommendations for revision presented to the Academic Council, University Assembly and the Board of Trustees.

III. Policy/Procedure

- A. Academic Freedom and Responsibility
- 1. The faculty member is entitled to freedom in the classroom in discussing his/ her subject, being careful not to introduce into the teaching unrelated subject matter.
- 2. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, including and consistent with any and all policies pertaining to clinical and research practices. Research for financial gain must be based upon an understanding with the authorities of Tennessee Tech, which is documented, reduced to writing, and signed by the faculty member and the appropriate academic officer(s).
- 3. The faculty member is a citizen, a member of a learned profession, and an officer of Tennessee Tech. When the faculty member speaks or writes as a citizen, he/she should be free from Tennessee Tech censorship or discipline, but his/her special position in the community imposes special obligations. As a man or woman of learning and an educational officer, he/she should remember that the public may judge the profession and Tennessee Tech by the faculty member's utterances. Hence, a faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for Tennessee Tech.
- **4.** Academic freedom is essential to fulfill the ultimate objectives of an educational university/college the free search for and exposition of truth and applies to teaching, research, and faculty participation in institutional governance. Freedom in research is fundamental to the advancement of truth, and academic freedom in teaching is fundamental for the protection of the rights of the faculty member in

teaching and of the student to freedom in learning. Faculty participation in institutional governance is fundamental to the development and maintenance of effective academic policies, national and regional accreditation, and shared responsibility for the delivery of educational programs and services to students. Implicit in the principle of academic freedom are the corollary responsibilities of the faculty who enjoy that freedom. Incompetence, indolence, intellectual dishonesty, gross misconduct, failure to carry out assigned duties, arbitrary and capricious disregard of standards of professional conduct, falsification of information on an employment application or other information concerning qualifications for a position, failure to comply with Tennessee Tech policy when such policy and assignment are reasonable and nondiscriminatory, violation of Tennessee Tech Policy 141 Discrimination and Harassment or Tennessee Tech Policy 143 Sexual Misconduct and other grounds as set forth in Tennessee Code Annotated Section 49-8-302 may constitute adequate cause for dismissal or other disciplinary sanctions against faculty members.

5. The right to academic freedom imposes upon the faculty an equal obligation to take appropriate professional action against faculty members who are derelict in discharging their professional responsibilities. The faculty member has an obligation to participate in tenure and promotion review of colleagues as specified in Tennessee Tech policy. Thus, academic freedom and academic responsibility are interdependent, and academic tenure is adopted as a means to protect the former while promoting the latter. While academic tenure is essential for the protection of academic freedom, the full benefits and responsibilities of academic freedom extend to all individuals teaching at Tennessee Tech whether or not they are eligible for tenure.

IV. Interpretation

The Provost or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 49-8-301(a)

Approved by:

Academic Council: September 7, 2016

University Assembly: April 19, 2017



Date: June 15, 2017				
Division: Academic Affa	airs			
Agenda Item: Policy 20	3, Faculty Roles and I	Responsibilities		
Review	Action	No action required		

PRESENTERS: Provost Ghorashi

PURPOSE & KEY POINTS:

Policy 203, Faculty Roles and Responsibilities, delineates and defines the primary roles and responsibilities of Tennessee Tech faculty. In addition, this policy establishes the method by which each faculty member annually shall determine how to allocate appropriately his/her time among these roles and responsibilities. The policy also affirms the faculty role in academic and governance matters.

Tennessee Technological University Policy No. 203



Effective Date: July 1, 2017

Policy No.: 203

Policy Name: Faculty Roles and Responsibilities **Policy Subject:** Faculty Roles and Responsibilities

Date Revised:

I. Purpose

This policy delineates and defines the primary roles and responsibilities of Tennessee Tech faculty. In addition, this policy establishes the method by which each faculty member annually shall determine how to allocate appropriately his/her time among these roles and responsibilities. The policy also affirms the faculty role in academic and governance matters.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Provost, with recommendations for revision presented to the Academic and Administrative Councils and University Assembly.

III. Scope

The term "faculty" shall not, for the purposes of this policy, include members of Tennessee Tech instructional personnel defined as adjuncts, part-time instructors, one-year appointments, post-doctoral fellows, visiting lecturers, and graduate students.

IV. Definition

A. Faculty

- Full-time benefitted personnel whose principal activities include teaching, research/scholarship/creative activity, and/or service/outreach and who hold academic rank as professor, associate professor, assistant professor, tenured or tenure-track instructor or as lecturer, senior lecturer, or master lecturer.
- 2. If not otherwise included within the above definition of "faculty," the term "faculty" may include academic deans, academic vice presidents, and the president, provided they hold academic rank. In addition, the term "faculty" may include persons previously designated as members of the faculty who are assigned to other positions at Tennessee Tech.
- B. Full time benefitted Tennessee Tech faculty employed on a continuing basis, expected to exceed one academic year, and who have a regular work week of 37.5 hours or who carry a full teaching load or its equivalent (to include modified fiscal year [nine-month] employees).
- C. Principal activities the person's regular assignment in the areas of teaching,

research/scholarship/creative activity, and service/outreach.

- Teaching any strategy in which information is imparted so that others may learn, and may include, but is not limited, to a variety of techniques including instruction, mentoring, development of course materials or courseware, and development of innovative approaches to instruction.
- 2. Research/scholarship/creative activity the studious inquiry, examination, or discovery that contributes to disciplinary and interdisciplinary bodies of knowledge and includes garnering internal and external resources to foster and develop such activities. Research/scholarship/creative activity may include, but is not limited to, disciplinary and interdisciplinary activities that focus on the boundaries of knowledge, field-based scholarship, and creative activities.
- 3. Service/outreach involvement within the community as defined by Tennessee Tech's role and mission, service to Tennessee Tech, and service within the bounds of the faculty member's discipline and budgeted assignment.
- D. Academic rank an element of faculty status that generally correlates with the faculty member's title and may be assigned only to faculty who meet or exceed the minimum rank criteria as described in Tennessee Tech's promotion policy.
- E. Adjuncts instructional or research employees who do not hold academic rank and who are employed for a single term at a time rather than for a complete academic or fiscal year.

The president may make an exception to these definitions with Board approval.

V. Policy

- A. The faculty play a vital role in academic and governance matters.
 - Academic matters The creation, change, and approval of curricula and new
 programs begin with the faculty. Faculty participate in the creation and
 development of the curriculum through membership on appropriate
 department or school curriculum committees, college-level curriculum
 committees, and the university Curriculum Committee and/or the Graduate
 Studies Executive Committee in the case of changes in the curriculum that
 involve graduate credit. Each department, interdisciplinary major, or school
 assigns faculty to oversee curriculum development and review.

- 2. Governance matters Tennessee Tech is committed to shared governance. The University recognizes that faculty participation in institutional governance is fundamental to the development and maintenance of effective academic policies. Through membership on University standing and special purpose committees, faculty members provide advice and expertise to administrators. The Faculty Senate conveys faculty concerns to administrators and advises administrative officers on University policy.
- B. The responsibilities of full-time faculty members generally include the following three principal functions: teaching, research/scholarship/creative activity, and/or service/outreach. In addition, some faculty members may have duties in advising and/or administration. Prior to the end of the spring semester, each faculty member and the administrator to whom he/she immediately reports shall determine in a cooperative fashion the activities and percentage of effort in each area of responsibility for the coming academic year.
- C. The terms "teaching," "research/scholarship/creative activity," and "service/outreach" shall be limited to those academic activities properly assignable to Tennessee Tech's current funds expenditures accounts designated as "Instruction," "Research," "Public Service," and "Academic Support." The terms exclude those activities properly assigned to accounts for "Student Services," "Institutional Support," "Operation and Maintenance of Plan," etc.*

VI. Interpretation

The Provost or his/her designee has the final authority to interpret the terms of this policy.

VII. Citation of Authority for Policy

T.C.A §49-8-301(a)

Approved by:

Academic Council: 2016-11-09

Administrative Council: 2017-01-25

University Assembly: 2017-04-19

^{*}Reference: "Financial Accounting and Reporting Manual for Higher Education" (NACUBO FARM Section 703.03 – Primary Functional Expense Classifications



Agenda Item Summary

Date: June 15, 2017	
Division: Academic Affairs	
Agenda Item: Policy 204, Faculty Appointments	
Review Action No action required	
PRESENTERS: Provost Ghorashi	
PURPOSE & KEY POINTS:	
Policy 204, Faculty Appointments, establishes the criteria and processes regarding faculty appointments at Tennessee Tech.	

Tennessee Technological University Policy No. 204



Effective Date: July 1, 2017

Policy No: 204

Policy Name: Faculty Appointments
Policy Subject: Faculty Appointments

I. Purpose

The purpose of this policy is to establish the criteria and processes regarding faculty appointments at Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Provost, with recommendations for revision presented to the Academic Council, the University Assembly, and the Board of Trustees.

III. Policy

The types of faculty appointments at Tennessee Tech include tenure-track, tenure, lecturer, clinical-track, research-track, and temporary appointments.

A. Tenure-Track Appointments

- 1. Tenure-track appointments are appointments for full-time faculty with academic rank and may be for the academic or fiscal year.
- 2. Tenure-track appointments are for faculty who are employed in a probationary period of employment prior to consideration for tenure.
- 3. Tenure-track appointments shall not include any right to permanent or continuous employment, shall not create any manner of legal right, interest, or expectancy of renewal or any other type of appointment, and shall be subject to annual renewal by the institution.

B. Tenure Appointments

- 1. Tenure appointments are appointments of full-time faculty who have been awarded tenure by the Tennessee Tech Board of Trustees pursuant to the provisions of Policy 205 Faculty Tenure.
- 2. To protect academic freedom, tenure appointments include the assurance of continued employment for the academic year for an indefinite period, subject to expiration, relinquishment, or termination of tenure as provided in Policy 205 Faculty Tenure.
- Such appointments do not include assurance of continued employment at any specified salary or position, or employment during summer sessions or intersession.

C. Lecturer Appointments

1. Lecturer appointments are full-time faculty appointments at the rank of Lecturer, Senior Lecturer, or Master Lecturer.

- 2. Lecturer appointments are for a fixed three-year period, are non-tenurable, and are renewable based on satisfactory annual performance reviews.
- Faculty in this classification participate in the academic programs primarily by
 providing instructional services. Lecturers may participate in committee service
 and faculty meetings, excluding those related to tenure or promotion of
 professorial-rank faculty.

D. Clinical-Track Appointments.

- Clinical-track appointments are full-time faculty appointments that are non-tenurable, renewable appointments for fixed terms; permit promotion in rank; and permit conversion of the appointment to tenure-track at any time prior to, but not later than, the expiration of the first three-year term, depending on funding availability and faculty performance.
- 2. Faculty in this classification participate in the academic programs by providing professional services, by exposing students to their professional expertise, and by directing students' educational experiences in clinical/professional settings where the faculty members practice.
- 3. Clinical-track appointments may be supported, in whole or in part, by appropriated funds or funding from grants or contracts, from clinical practice or clinical/professional facilities, or from other sources.

E. Research-Track Appointments

- Research-track appointments are full-time faculty appointments, are non-tenurable, renewable appointments for fixed terms; permit promotion in rank; and permit conversion of the appointment to tenure track at any time prior to, but no not later than, the expiration of the first three-year term, depending on funding availability and faculty performance.
- Faculty in this classification participate in the academic programs by conducting independent research projects and by mentoring students involved in the research process.
- 3. Research-track appointments may be supported, in whole or in part, by appropriated funds or funding from grants or contracts, or other sources.

F. Temporary Appointments

- 1. Temporary appointments are for a specific purpose for a time appropriate for that purpose. Temporary appointments may be terminated according to the terms of the contract of employment or appointment. Ordinarily, temporary appointments should be used only for lecturers, adjunct or part-time faculty, faculty employed to replace regular faculty on leave of absence, and faculty employed pursuant to grants or for projects funded in whole or in part by non-appropriated funds.
- 2. In addition, temporary appointments may be used for faculty employed on the basis of state-appropriated funds in academic departments/units where the

- permanent and continued need for the position has not been established, provided that such appointments normally should not exceed three academic years.
- 3. After that, the position can be re-advertised, and the instructor can apply again and be hired if he/she is the best candidate.
- 4. Appointments of faculty members supported by more than fifty percent grant funds, or other soft money sources, may be approved by the President for periods exceeding three years.
- 5. Other extensions of temporary appointments for periods exceeding three years require approval of the Tennessee Tech Board of Trustees.

IV. Interpretation

The Provost or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority

T.C.A. § 49-8-301(a)

VI. Approved by:

Academic Council: April 12, 2017

University Assembly: April 19, 2017



Agenda Item Summary

Review Action	No action required	
Agenda Item: Policy 213, Faculty Voluntary S	eparation Policy	
Division: Academic Affairs		
Date: June 15, 2017		

PURPOSE & KEY POINTS:

This policy establishes and details the process to be followed by faculty members who voluntarily choose to separate from Tennessee Tech by resignation or retirement. Nothing in this policy is intended to contradict or in any way limit the provisions of other applicable Tennessee Tech policies.

Tennessee Technological University Policy No. 213



Effective Date: July 1, 2017

Policy No.: 213

Policy Name: Faculty Voluntary Separation Policy

Policy Subject: Policy and procedure for the voluntary separation of faculty members from

Tennessee Tech by resignation or retirement

Date Revised:

I. Purpose

This policy establishes and details the process to be followed by faculty members who voluntarily choose to separate from Tennessee Tech by resignation or retirement. Nothing in this policy is intended to contradict or in any way limit the provisions of other applicable Tennessee Tech policies.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Provost with recommendations for revision presented to the Academic Council, University Assembly, and the Board of Trustees.

III. Policy

- **A.** Except in extraordinary circumstances, the effective date of a voluntary separation by retirement or resignation for faculty¹ shall be at the end of an academic semester.
- **B.** Non-teaching faculty who voluntarily choose to separate from employment with Tennessee Tech are expected to provide written notice of their intent to separate to their direct supervisor (dean, department chair or school director) as soon as possible, but in no event less than one month prior to the end of the academic semester.
- 1. An employee who chooses to retire from Tennessee Tech must notify his/her direct supervisor and the human resources department in writing no less than sixty (60) days from the date of retirement, absent extraordinary circumstances.
- **2.** An employee's retirement notification and retirement date cannot be rescinded once the human resources department has been formally notified, absent extraordinary circumstances.
- **C.** Teaching faculty who intend to separate from employment prior to the beginning of the upcoming academic year are expected to provide written notice of such intent to their dean, department chair, or school director as soon as possible, but

¹ For purposes of this policy only, "faculty" shall include full-time faculty, one-year appointments, and adjuncts.

no later than April 15 of the academic year in which he or she intends to retire/resign.

D. The procedure for separating from Tennessee Tech through voluntary resignation or retirement shall be governed by TTU Policy 663.

IV. Interpretation

The Provost or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(4)

Approved by:

Academic Council: September 7, 2016

University Assembly: November 16, 2016



Agenda Item Summary

Date: June 15, 2017
Division: Academic Affairs
Agenda Item: Policy 217, Student Academic Misconduct
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
Policy 217, Student Academic Misconduct, establishes the policies and procedures for addressing Academic Misconduct at Tennessee Tech.

Tennessee Technological University Policy No. 217



Effective Date: July 1, 2016

Policy No: 217

Policy Name: Student Academic Misconduct Policy

Policy Subject: Responsibilities Related to Academic Misconduct and Processes that

Govern Student Academic Misconduct Proceedings

Date Revised: February 14, 2017; June 15, 2017

I. Purpose

This policy establishes the policies and procedures for addressing Academic Misconduct at Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Senior Associate Provost with recommendations for revision presented to the Academic Council and University Assembly.

III. Guiding Principles in Developing this Policy

- A. Academic integrity is at the foundation of the educational process.

 Maintaining high standards of academic integrity in every class at Tennessee
 Tech is critical to the reputation of Tennessee Tech, its students, alumni, and
 the employers of Tennessee Tech graduates.
- B. All Students have the right to due process as described in this policy when charged with Academic Misconduct and may not be penalized with respect to grades or other means without being informed of the right to due process.

IIII. ¹Definitions and Examples of Academic Misconduct

A. "Academic Misconduct" – any action or attempted action that may result in creating an unfair academic advantage for oneself or an unfair academic advantage or disadvantage for any other member or members of the academic community. This includes a wide variety of behaviors such as cheating, plagiarism, altering academic documents or transcripts, gaining access to materials before they are intended to be available, and helping a friend to gain an unfair academic advantage. Individual departments at Tennessee

¹The definitions of Academic Misconduct in this section are from "Definitions & Examples of Academic Misconduct," Center for Student Conduct, Division of Student Affairs, University of California, Berkeley and are used with permission.

Technological University may have differing expectations for Students, so Students are responsible for seeking out information when unsure of what is expected.

Below are some basic definitions and examples of academic misconduct. Please note that this list is not exhaustive.

1. Cheating

Cheating is defined as fraud, deceit, or dishonesty in an academic assignment, or using or attempting to use materials, or assisting others in using materials that are prohibited or inappropriate in the context of the academic assignment in question, such as:

- a. Copying or attempting to copy from others during an exam or on an assignment.
- b. Communicating answers with another person during an exam.
- c. Preprogramming a calculator to contain answers or other unauthorized information for exams.
- d. Using unauthorized materials, prepared answers, written notes, or concealed information during an exam.
- e. Allowing others to do an assignment or portion of an assignment for oneself, including the use of a commercial term-paper service.
- f. Submission of the same assignment for more than one class without prior approval of all the instructors involved.
- g. Collaborating on an exam or assignment with any other person without prior approval from the instructor.
- h. Taking an exam for another person or having someone take an exam for oneself.

2. Plagiarism

Plagiarism is defined as use of intellectual material produced by another person without acknowledging its source, for example:

- a. Wholesale copying of passages from works of others into one self's homework, essay, term paper, or dissertation without acknowledgment.
- b. Use of the views, opinions, or insights of another without acknowledgment.
- Paraphrasing of another person's characteristic or original phraseology, metaphor, or other literary device without acknowledgment.

3. Class Materials

- a. Removing, defacing, or deliberately keeping from other Students library materials that are on reserve for specific classes.
- b. Contaminating laboratory samples or altering indicators during a practical exam, such as moving a pin in a dissection specimen for an anatomy class.
- c. Selling, distributing, website posting, or publishing class lecture notes, handouts, readers, recordings, or other information provided by an instructor, or using them for any commercial purpose without the express permission of the instructor.
- 4. False Information and Representation, Fabrication or Alteration of Information
 - a. Furnishing false information in the context of an academic assignment.
 - b. Failing to identify oneself honestly in the context of an academic obligation.
 - c. Fabricating or altering information or data and presenting it as legitimate.
 - d. Providing false or misleading information to an instructor or any other University official.
- 5. Theft or Damage of Intellectual Property
 - a. Sabotaging or stealing another person's assignment, book, paper, notes, experiment, project, electronic hardware or software.
 - b. Improper access to, or electronically interfering with, the property of another person or the University via computer or other means.
 - c. Obtaining a copy of an exam or assignment prior to its approved release by the instructor.
- 6. Alteration of University Documents
 - a. Forgery of an instructor's signature on a letter of recommendation or any other document.
 - b. Submitting an altered transcript of grades to or from another institution or employer.
 - c. Putting one's name on another person's exam or assignment.
 - d. Altering a previously graded exam or assignment for purposes of a grade appeal or of gaining points in a re-grading process.
- B. "Dean" the Dean of the College offering the course in which the cheating allegedly occurred.

- C. "Department Chair" Chair of the Student's academic department.
- D. "Instructor" the person listed as the 'Instructor of Record' for the class.
- E. "Student" for the purposes of this policy, any person who is admitted and/or registered for study at Tennessee Tech for any academic period. This shall also include any period of time that the student may be completing the requirements to clear an "Incomplete" grade, but not otherwise registered for classes.
- F. "Requirement" Any assignment, project, exam, quiz, or assessment tool, regardless of its name, that is used in determining the Student's grade in the class.

V. Responsibilities

A. Instructor Responsibility

- 1. The Instructor has the primary responsibility for maintenance of academic integrity, including filing a charge of Academic Misconduct when s/he reasonably believes such has occurred.
- 2. The Instructor shall provide in the class syllabus a definition of what resources are allowed and what resources are not allowed for completion of Student Requirements, including any differences between allowable resources for in-class and outside-of-class Requirements.
- 3. The Instructor may impose additional restrictions/allowances during the class for a specific Requirement but must clearly communicate any changes to the Students.
- 4. Before penalizing a Student for Academic Misconduct, the Instructor must file a charge of Academic Misconduct following this policy if s/he has evidence that reasonably supports a charge of Academic Misconduct.
- 5. In cases where an Instructor reasonably believes that the integrity of a requirement has been compromised but is unable establish by a preponderance of the evidence the parties involved in the matter, the

Instructor may discard the results of the original assignment only if the Instructor re-administers the exam or assignment to the entire class.

B. Student Responsibilities

- 1. The Student is responsible for understanding and abiding by this policy, including reading Academic Conduct information provided in the class syllabus and asking for clarification if unclear about what is and is not allowed in the production of all Requirements in the class.
- 2. The Student is responsible for following any instructions related to additional restrictions/allowances for a specific Requirement provided in class and asking for clarification if necessary. In the event of a class absence, the burden is on the Student to ask the Instructor what, if any, restrictions/allowances for a specific Requirement were provided during the missed class

VI. Procedures for Filing a Charge of Academic Misconduct

A. An Instructor must follow the procedures outlined in this policy if s/he believes a charge of Academic Misconduct is warranted.

Step 1 - The Instructor shall document in writing the charge, including details of the evidence of Academic Misconduct, a recommendation related to the appropriate penalty and the Student's right to a hearing Academic Misconduct Charging Document Template

- B. Step 2 The Instructor must provide the Charging Document to the Student, the Department Chair, Dean, the Provost's Office and the Office of the Registrar within five business days of the Instructor's determination that Academic Misconduct has occurred.
 - 1. For the purposes of this policy, a Charging Document sent from the Instructor's Tennessee Tech email account to the Student's Tennessee Tech email account will constitute "in writing." Instructors may not use any other type of email accounts for communicating with the Student.
 - 2. Possible recommendations for a penalty may include, but are not limited to, the following:
 - a. Reduced grade for the Requirement; (College Committee sanction)

- b. "F" or Zero for the Requirement; (College Committee sanction)
- c. "F" grade for the class; (College Committee sanction)
- d. Reprimand; (University Committee sanction)
- e. Probation; (University Committee sanction)
- f. Suspension; or (University Committee sanction)
- g. Expulsion. (University Committee sanction)
- 3. If an Instructor recommends a penalty in excess of an "F" grade for the class in the Charging Document, the University Academic Misconduct Committee must review and approve that recommendation in accordance with the procedures described in Step 7 below.
- 4. Once an Instructor determines that a charge of Academic Misconduct against a Student is warranted, Tennessee Tech will not allow the Student to withdraw from the class to avoid the charge of Academic Misconduct. If the deadline for submission of grades to the Office of the Registar occurs prior to the resolution of the charge of Academic Misconduct, the Instructor shall enter a grade of "I", which will be updated within a reasonable time in accordance with the final outcome of all applicable procedures described in this policy.
- C. Step 3 The Student's Options after a Charge of Misconduct is Filed
 - 1. Option 1: Student Does Not Dispute the Charge
 - a. If the Student has not filed a Academic Misconduct Request for Hearing
 Form within three (3) business days of receipt of the Charging
 Document the Dean's Office shall inform the Instructor and the
 Provost.
 - b. Failure to dispute the charge will result in imposition of a penalty and may be used as evidence in any subsequent proceeding.

- c. The Instructor may then assign a reduced grade for the Requirement, an "F" or "zero" for the Requirement or an "F" in the class as originally described in the Charging Document.
- d. If a penalty greater than an "F" in the class (reprimand, probation, suspension, expulsion) was recommended by the Instructor or the Office of the Provost in a Charging Document, the Instructor may enter a grade of "F" for the class and the case proceeds to the University Academic Misconduct Committee (Step 7).
- e. A Student who fails to file a timely appeal will not be allowed to appeal a reduced grade or a grade of "F" assigned for a Requirement or class due to Academic Misconduct.
- f. The process either ends here or proceeds to Step 7 as prescribed in d. above.
- 2. Option 2: The Student Disputes the Charge
 - a. The Student must file an appeal with the Office of the Dean using a Academic Misconduct Request for Hearing Form within three (3) business days after receipt of the Charging Document, absent good cause.
 - b. For the purposes of this policy, "receipt" means the date the Instructor sent the Charging Document to the Student's Tennessee Tech email account or three business days after the Instructor mailed the Charging Document to the Student.
 - c. The Process continues to Step 4.
- D. Step 4 College Academic Misconduct Committee Procedures If the Student files a timely Request for Hearing, the Office of the Dean shall notify the Chairperson or Alternate, if Chairperson is not available, of the College Academic Misconduct Committee ("College Committee") of the need for the College Committee to meet to hear the dispute.
- E. Step 5 The Office of the Dean shall, after consultation with the Chairperson or Alternate if the Chairperson is not available, notify the Student, the

- Instructor, the Department Chair and College Committee members of the date, time and place of the hearing.
- F. Step 6 The hearing shall be held within five (5) business days, absent good cause, but not sooner than three (3) business days of the Student filing a timely Request for Hearing.
 - 1. The Instructor and Student shall appear before the College Committee in person to present their cases. In the event one or the other cannot attend, the Instructor and/or Student may present their cases in writing.
 - 2. The College Committee must communicate its decision in writing to the Student and Instructor within two (2) business days of the hearing, absent good cause. For the purposes of this policy, a decision sent from the Chairperson of the College Committee's Tennessee Tech email account to the Student's Tennessee Tech email account and the Instructor's Tennessee Tech email account will constitute "in writing." The College Committee may not use any other type of email accounts for communicating with the Student or Instructor.
 - 3. If the College Committee finds that the preponderance of evidence supports the charge, the College Committee shall advise the Instructor that s/he may assign a reduced grade for the Requirement, an "F" or "zero" for the Requirement or an "F" in the class as originally described in the Charging Document.
 - a. The decision of the College Committee is final.
 - b. The Student may not appeal the College Committee's finding through the Grade Appeal Process.
 - c. The Student may not withdraw from the class.
 - d. The process ends here or may move to Step 7 in the following circumstances;
 - (1) If the Instructor's recommendation was for a penalty greater than an "F" in the class (reprimand, probation, suspension, expulsion), the College Committee shall advise the Instructor that s/he may assign an "F" for the class.

- (2) Either the College Committee or the Provost may then refer the case to the University Academic Misconduct Committee for further action (Step 7).
- (3) If the College Committee finds the preponderance of evidence does not support the charge, the College Committee shall recommend to the Instructor that s/he determine the Student's grade in accordance with the stated class policy without prejudice or penalty associated with the alleged misconduct.
 - (a) The Student may elect to withdraw from the class following Tennessee Tech procedure at this time; the withdrawal date will be effective at the date the original hold was placed by the Registrar or
 - (b) The Student may appeal the Instructor's final grade according to the Grade Appeal Procedure.

G. Step 7 - University Academic Misconduct Procedures

- The University Academic Misconduct Committee ("University Committee") is the sole committee designated to hear Academic Misconduct charges that involve possible suspension, probation or expulsion.
- 2. Based on the Instructor's initial Charging Document; the recommendation of the College Academic Misconduct Committee; or the Office of the Provost, the case can be referred to the University Committee for consideration of additional penalties beyond an "F" in the class. In cases where the Charging Document does not include information related to additional penalties, the Student must receive an amended Charging Document.
- 3. The Office of the Provost may request the University Committee hear any charge of Academic Misconduct whenever the Provost deems, in her/his sole discretion that the circumstances of the charge warrant such a request, including but not limited to cases where the Student has been found guilty on another occasion of Academic Misconduct. In such cases, the Office of the Provost shall provide an amended Charging Document to the Student.

- H. Step 8 The Office of the Provost shall notify the Student of the intent to seek additional Penalties.
- I. Step 9 A Student who contests the charge of Academic Misconduct before the University Committee has two options (1 or 2, below):
 - In cases where the penalty sought is suspension or expulsion, the Student may elect to have the case disposed of under the Uniform Administrative Procedures Act (UAPA) in accordance with applicable contested case procedures. The Tennessee Tech process ends and the UAPA process begins.
 - 2. In all cases referred to the University Committee, the Student may elect to continue under the procedures established by this policy in sections 10-13 below ("Tennessee Tech Procedures").
 - a. A Student accused of Academic Misconduct who elects to have the case disposed of under Tennessee Tech Procedures must execute a written waiver of his/her right to a disposition of the case under the Uniform Administrative Procedures Act. [Academic Misconduct Waiver of UAPA Hearing]
 - b. The process continues to Step 10 -13, which are the procedures before the University Committee.
- J. Step 10 The Office of the Provost shall notify the Chairperson or Alternate, if Chairperson is not available, of the University Committee of the need for the University Committee to meet to hear the appeal.
- K. Step 11 The Office of the Provost shall, after consultation with the Chairperson or Alternate if the Chairperson is not available, notify the Student, the Instructor, the Department Chair, the Dean and University Committee members of the date, time and place of the hearing.
- L. Step 12 The University Committee hearing shall be held within five (5) business days, absent good cause, but not sooner than three (3) business days of the Student filing a timely Request for Hearing.

- a. The University Committee shall require the parties to appear in person to present their cases. In the event one or more parties cannot attend, the party may present their cases in writing.
- b. The Office of the Dean shall present the charge of Academic Misconduct to the University Committee.
- c. If the University Committee finds that the preponderance of evidence presented, including the finding of prior Academic Misconduct by the Student, warrants additional penalties, the University Committee may impose a reprimand, probation, suspension, or expulsion.
- d. If the University Committee finds that the preponderance of evidence, including the finding of prior Academic Misconduct by the Student, does not support additional penalties, the recommendation of the College Committee still stands, but additional penalties are not imposed.
- e. The decision of the University Committee is final.
- M. Step 13 The University Committee must communicate its decision in writing to the Student, the Instructor, the Department Chair and the Dean within two (2) business days of the hearing, absent good cause. For the purposes of this policy, a decision sent from the Chairperson of the University Committee using the Tennessee Tech email account AcademicMisconduct@tntech.edu to the Student's Tennessee Tech email account and the Instructor's Tennessee Tech email account will constitute in "writing." The University Committee may not use any other type of email accounts for communicating with the Student or Instructor.

VII. Committee Structure

- A. College Academic Misconduct Committee
 - 1. The College Academic Misconduct Committee has jurisdiction to hear cases where the penalty sought is a reduced grade for the Requirement or an "F" or Zero for the Requirement or an "F" grade for the class.
 - 2. A College Academic Misconduct Committee shall be established in each of the following academic units:

- a. College of Agriculture and Human Ecology;
- b. College of Arts and Sciences;
- c. College of Business Administration;
- d. College of Education (including ROTC and Crafts Center);
- e. College of Engineering;
- f. College of Interdisciplinary Studies; and
- g. School of Nursing.

B. Membership.

- The College Academic Misconduct Committee of each unit, except for the School of Nursing and the College of Agriculture and Human Ecology, shall consist of
 - a. one (1) Faculty member and one (1) alternate from each department/school within the unit, elected for a three (3) year term by the department and
 - b. one (1) Student and one (1) Student alternate majoring within the academic unit nominated by the President of the Student Government Association and appointed by the President of the University for a one (1) year term.
- 2. The College Academic Misconduct Committees for the School of Nursing shall consist of
 - a. three (3) Faculty members elected for three (3) year terms and
 - b. one (1) Student and one (1) Student alternate nominated by the President of the Student Government Association and appointed by the President of the University for a one (1) year term.

- 3. The College Academic Misconduct Committees for the College of Agriculture and Human Ecology shall consist of
 - a. four (4) Faculty members and two (2) alternates elected for three (3) year terms and
 - b. one (1) Student and one (1) Student alternate nominated by the President of the Student Government Association and appointed by the President of the University for a one (1) year term.

C. Administrative Procedures

- 1. The College Academic Misconduct Committee Chairperson and Alternate Chairperson ("Alternate") shall be elected annually by the Committee members.
- A quorum shall consist of three (3) members including the Chairperson of the College Academic Misconduct Committee or Alternate, the Faculty representative or alternate from the department/school in which the alleged offense occurred and the Student representative or Student alternate.
- 3. In cases where a member of the College Academic Misconduct Committee is charging a Student with academic misconduct, the alternate Instructor member elected by the department for a three (3) year term shall serve on the College Academic Misconduct Committee.
- 4. In cases where the Chairperson of the College Academic Misconduct Committee is charging a Student with academic misconduct, the Alternate Chairperson of the College Academic Misconduct Committee to serve as Chairperson.
- 5. The Office of the College Dean shall provide the support services for the College Academic Misconduct Committee.
- D. University Academic Misconduct Committee

- 1. The University Academic Misconduct Committee has jurisdiction to hear cases of academic misconduct when sanctions may be warranted above and beyond an "F" in the class and may impose penalties including but not limited to, a reprimand, probation, suspension, or expulsion, provided the sanction imposed does not exceed the sanction requested in the Charging Document. The decision of the University Academic Misconduct Committee is final.
- 2. Membership The University Academic Misconduct Committee shall consist of:
 - a. The Chairperson or Alternate Chairperson ("Alternate") of each College Academic Misconduct Committee and
 - b. One (1) Student and one (1) Student alternate nominated by the President of the Student Government Association and appointed by the President of the University for a one (1) year term.

3. Administrative Procedures

- a. The Chairperson and an Alternate of the University Academic Misconduct Committee shall be elected annually by the Committee.
- b. A quorum shall consist of five (5) members, including the Chairperson or Alternate of the University Academic Misconduct Committee, the representative (or alternate) from the college in which the alleged offense occurred, and the Student representative or the Student alternate.
- c. In cases where the college Chairperson is making the charge against the Student, the alternate member from the department shall serve on the University Academic Misconduct Committee.
- d. In cases where the Chairperson of the University Academic Misconduct Committee is making the charge against the Student, the Alternate Chairperson of the University Academic Misconduct Committee to serve as Chairperson.
- e. The Office of the Provost shall provide the support services for the University Academic Misconduct Committee.

Approval:

Approved by President on February 14, 2017, pursuant to TTU Policy 101, Section VII and received by Administrative Council on February 22, 2017.



Agenda Item Summary

Date: June 15, 2017
Division: Academic Affairs
Agenda Item: Policy 223, Distance Education
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
Policy 223, Distance Education, applies to distance education courses and programs originating from Tennessee Tech.

Tennessee Technological University Policy No. 223



Effective Date: July 1, 2017

Policy No.: 223

Policy Name: Distance Education **Policy Subject:** Distance Education

Date Revised:

I. Purpose

The mission of distance education at Tennessee Tech is to support the vision and mission of the university by utilizing technology and remote locations to provide accessible and effective learning opportunities for those students who chose to pursue their education through distance education. This policy applies to distance education courses and programs originating from Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Digital and Distance Education, with recommendations for revision presented to the Academic Council, University Assembly, and Board of Trustees.

III. Policy/Procedure

Distance education is a formal educational process in which the majority of the instruction (interaction between students and instructors and among students) in a course occurs when students and instructors are not in the same place. Instruction may be synchronous or asynchronous.

A. Curriculum and Instruction

- 1. The faculty assumes primary responsibility for the quality and rigor of distance education courses.
- **a.** Distance education courses, like other courses, must be approved following Tennessee Tech policies related to course approval and modifications.
- 2. The technology used must be commensurate with the nature and objectives of the programs and courses. Instructors will clearly communicate expectations concerning the use of technology to students.
- **a.** The Center for Teaching and Learning Excellence will periodically make recommendations for the improvement of teaching technology.
- **b.** Students will be required to follow Tennessee Tech policies related to the use of technology.

- **3.** Course material must adhere to copyright laws, TTU Policy 732 (Intellectual Property), and TN eCampus guideline A-075 (Distance Education and Intellectual Property) if applicable..
- **4.** Program length will be appropriate for each of the institution's educational programs, including those offered through distance education.
- **a.** Distance education courses will follow TTU Policy 222 (Credit Hours). The online course must offer an equivalent learning experience and learning outcomes as other delivery modes.
- **b.** Courses delivered via distance education carry the same curriculum prerequisites as traditional Tennessee Tech courses.
- **c.** Credit hour requirements for degree completion for distance education programs are the same as Tennessee Tech's traditional programs.
- **5.** Distance education courses should be developed in a manner that complements the institution's mission.
- **6.** When entering into consortial arrangements or contractual agreements for the delivery of courses/programs or services offered by distance education, Tennessee Tech will actively participate in ensuring the effectiveness and quality of the courses/programs offered by all of the participants.

B. Faculty

- **1.** Tennessee Tech policies that apply to traditional faculty also apply to faculty teaching courses via distance education.
- **a.** An Agreement on Responsibilities form will be completed and agreed upon by the faculty member and the department in regard to faculty compensation and teaching load.
- **b.** Faculty qualifications and procedures for Faculty Qualification Certification will be the same regardless of delivery mode.
- **c.** Tennessee Tech recognizes distance education's unique technological needs and will provide faculty with appropriate equipment, software, communication, and technical support through the Information Technology Services (ITS) department.
- **2.** Faculty teaching distance learning courses will be hired, promoted, and evaluated in the same manner as faculty in traditional programs, with comparable value assigned regardless of delivery mode.

- **3.** Tennessee Tech will provide appropriate training to faculty who teach in distance education courses/programs, including course management systems training.
- **a.** Faculty teaching via distance education will receive training specific to copyright, intellectual property, and fair use issues unique to distance education.
- **4.** Tennessee Tech policies related to Intellectual Property apply equally to distance education (e.g., TTU Policy 732 (Intellectual Property).

C. Library and Learning Resources

Tennessee Tech's Library will provide resources and services to support the distance education degrees, disciplines, and efforts to the university, including but not limited to:

- 1. Timely access to the Tennessee Tech Library's resources and services in order to meet the informational needs of off-campus and on-line students and faculty.
- **2.** On-line access to research databases, e-books, full-text journal articles, document delivery, and other on-line materials.
- **3.** On-line services provided by Tennessee Tech Library interlibrary loan, research help, tutorials, and other services.
- **4.** A designated distance education library liaison.

D. Student Services

- 1. Students participating in distance education courses will have adequate access to the following student services online, via e-mail, or by telephone:
- **a.** Admissions, registration, health services, financial aid, business services, career services, advisement, and disability accommodations.
- **b.** Bookstore, library resources, course catalog, student handbook, and university calendar through the Tennessee Tech website.
- **c.** Information technology services online and during extended business hours through the Information Technology Services (ITS) department.
- **d.** Tennessee Tech will provide appropriately licensed software and the training to use this software.
- **2.** Distance education students will receive a Tennessee Tech computing account which provides access to Eagle Online, a TTU e-mail address, an online course management platform, and other systems as needed.

- **3.** Distance education students may file a complaint following TTU Policy 301 (TTU Student Complaint).
- **4.** Faculty and staff members are individually responsible for complying with Tennessee Tech policies related to confidentiality, data security, PII (Personally Identifiable Information), and any other policy and procedure related to the security of personal information (e.g., Policy 801 (Information Technology Acceptable Use Policy), and Policy 265 (Confidentiality of Student Records and FERPA)).
- 5. Programs offering distance education courses will comply with TTU Policy 1010 (Publication Policy), TTU Publications Guide, TTU Policy 801 (Information Technology Acceptable Use Policy), and Web Publishing Policy), where applicable, when advertising, recruiting, or sharing admissions information.

E. Institutional Effectiveness

- 1. Tennessee Tech will evaluate its distance learning using accepted assessment tools. Tennessee Tech shall ensure distance education students access to these assessments.
- **a.** Such assessment will occur at least annually.
- **b.** Departmental faculty are responsible for analyzing data received from the University Assessment Office.
- 2. Library services and student support services will be regularly assessed to ensure that distance education students have services that are comparable to those oncampus.

F. Facilities and Finances

- 1. Tennessee Tech will provide appropriate equipment, software, and communications access to faculty to support interaction with students in courses offered using distance education methods.
- 2. Tennessee Tech, in making distance education courses/programs a part of its mission, will provide adequate funding for faculty, staff, services, and technological infrastructure to support the methodology being utilized. Tennessee Tech will provide comparable support for distance education course creation and revision, marketing, and course and program review as it provides for traditional courses.
- **3.** Tennessee Tech will follow TTU Policy 221 (Substantive Change) as it is related to distance education programs.

IV. Interpretation

The Provost or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(B)

Approved by:

Academic Council: 2016-11-09

University Assembly: 2016-11-16



Date: June 15, 2017
Division: Academic Affairs
Agenda Item: Policy 242, International Undergraduate Admission
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
Policy 242, International Undergraduate Admission, establishes minimum requirements for international undergraduate admissions.

Tennessee Technological University Policy No. 242



Policy Name: International Undergraduate Admissions Policy Subject: Admissions of International Undergraduate Students

Date Revised:

I. Purpose

This policy establishes minimum requirements for international undergraduate admissions

II. Review

This policy and website will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Director of International Education with recommendations for revision presented to the International Affairs Committee, University Assembly, and Board of Trustees.

III. Policy

The Office of International Education will establish and publish on its website <u>definitions for student application types</u> and requirements for the admission of international undergraduate applications. The current application types and definitions, along with <u>admissions</u> and <u>English language requirements</u>.

IV. Interpretation

The Senior Associate Provost or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority

T.C.A § 49-8-203(a)(4)

Approved by:

International Affairs Committee:

University Assembly: 2017-04-19



Date: June 15, 2017
Division: Academic Affairs
Agenda Item: Policy 250, Undergraduate Admission Requirements
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
Policy 250, Undergraduate Admission Requirements, creates uniform requirements for domestic undergraduate admission to Tennessee Tech.

Tennessee Technological University Policy No. 250



Policy Name: Undergraduate Admission Requirements for Domestic Students **Policy Subject:** Admission Requirements for Domestic Undergraduate Students

Date Revised:

I. Purpose

This policy creates uniform requirements for domestic undergraduate admission to Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Enrollment Management and Student Success, with recommendations for revision presented to the Academic Council, University Assembly, and the Board of Trustees.

III. Policy

- **A.** Tennessee Tech will establish and publish on its website requirements for the admission of domestic undergraduates. The current definitions and requirements can be found here.
- **B.** Prior to attending classes, new students must comply with Tennessee Tech Policy 360 (Immunization Policy for New Full-Time Students).
- **C.** Tennessee Tech shall assign each student a residency classification using Tennessee Tech Policy 253 (Residency Classification).
- **D.** Tennessee Tech may charge a one-time non-refundable application fee.

IV. Interpretation

The President or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 48-8-203(a)(4)

Approved by:

Academic Council: 2016-09-07

University Assembly: 2017-11-06



Date: June 15, 2017					
Division: Academic Affairs					
Agenda Item: Policy 252, Undergraduate Academic Fresh Start					
Review	Action	No action required			
PRESENTERS: Provost G	ihorashi				
PURPOSE & KEY POINTS	5:				

Policy 252, Undergraduate Academic Fresh Start, describes how Tennessee Tech provides academic forgiveness for undergraduate students who have experienced academic difficulty and who have been separated from institutions of higher education for at least four consecutive years.

Tennessee Technological University Policy No. 252



Policy Name: Undergraduate Academic Fresh Start

Policy Subject: Undergraduate Academic Forgiveness of Previous Coursework

Date Revised:

I. Purpose

The purpose of this policy is to describe how Tennessee Tech provides academic forgiveness for undergraduate students who have experienced academic difficulty and who have been separated from institutions of higher education for at least four consecutive years.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Enrollment Management and Student Success, with recommendations for revision presented to the Academic Council, University Assembly, and the Board.

III. Definitions

Fresh Start – a plan of academic forgiveness that allows undergraduate students who have experienced academic difficulty to make a clean start upon returning to college after having been separated from all institutions of higher education for at least four consecutive years.

IV. Policy

- **A.** Readmitted students who were formerly enrolled at Tennessee Tech, as well as transfer students who meet institutional requirements for admission and who have been separated from all institutions of higher education for a minimum of four consecutive years, are eligible for the Fresh Start.
- **B.** A Fresh Start generally will not improve a student's likelihood of regaining lost federal or state financial aid.

C. Terms of Fresh Start

- 1. A student may be granted a Fresh Start only once.
- 2. A student's permanent record will remain a record of all work; however, courses taken and previously failed will be excluded from the calculation of the GPA. Courses with a D grade will also be excluded from the calculation when a grade of C or better is required as a prerequisite for subsequent courses.
- 3. GPA and credit hours will reflect courses for which passing grades were earned and retained. Retained grades will be calculated in the Fresh Start GPA.

- 4. Tennessee Tech will apply retained credit toward degree requirements following the requirements in effect at the time Tennessee Tech conferred Fresh Start status.
- 5. Courses with D or F grades must be repeated at Tennessee Tech when they are required in the student's current major. All remaining courses for the current degree objectives must be completed at Tennessee Tech, unless otherwise approved by the Associate Vice President for Enrollment Management and Student Success.

A student needing assistance in redeveloping his/her skills in writing, reading, and math may work with Tennessee Tech's Learning Support Program.

- **D.** Students interested in requesting a Fresh Start must complete and sign an application found <u>here</u> no later than the completion of 15 credit hours after subsequent enrollment at Tennessee Tech.
- **E.** Tennessee Tech will decide, in its sole discretion, whether the student has satisfied the four-year separation requirement.
- **F.** The Fresh Start will only be applied to the student's record once the student has completed at least 15 semester hours of earned degree coursework with a minimum QPA of 2.0 in all work attempted since the four-year separation referenced in Section IV.A.
- **G.** A student may appeal Tennessee Tech's decision regarding his/her Fresh Start request by providing a written statement with any supporting documentation to the Provost within 15 calendar days, absent good cause, of receipt of that decision. The Provost will issue a written decision on the student's appeal within 30 calendar days, absent good cause, after the student has provided all supporting documentation. The decision of the Provost is final.

V. Interpretation

The President or his/her designee has the final authority to interpret the terms of this policy.

VI. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(B)

Approved by:

Academic Council: 2016-09-07

University Assembly: 2016-11-16





Date: June 15, 2017				
Division: Academic Affairs				
Agenda Item: Policy 260, Requirements for a Baccalaureate Degree and Graduation				
Review Action No action required				
PRESENTERS: Provost Ghorashi				
PURPOSE & KEY POINTS:				
Policy 260, Requirements for a Baccalaureate Degree and Graduation, establishes and details the				

requirements for obtaining a Baccalaureate Degree and graduating from Tennessee Tech.

Tennessee Technological University Policy No. 260

Requirements for a Baccalaureate Degree and Graduation

Policy Name: Requirements for a Baccalaureate Degree and Graduation

Policy Subject: Requirements for Obtaining a Baccalaureate Degree and Graduating from

Tennessee Tech

I. Purpose

This policy establishes and details the requirements for obtaining a Baccalaureate Degree and graduating from Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Enrollment Management and Student Success, with recommendations for revision presented to the Academic Council, University Assembly, and Board of Trustees.

III. Policy

- **A.** Notwithstanding anything in this policy to the contrary, each student is personally responsible for completing all degree and graduation requirements. While a student's advisor may assist the student in identifying and understanding these requirements, ultimately it is the student's responsibility to inform himself/herself of these requirements. Any substitution, waiver, or exemption for or from any applicable requirement or academic standard may be accomplished only pursuant to policy and/or with appropriate approvals, as applicable.
- **B.** In order to graduate, a student must meet the requirements of
- 1. This policy and
- 2. The degree requirements of the undergraduate catalog in effect, as determined by Tennessee Tech at the time he/she entered the curriculum, provided graduation occurs within seven years from the student's entrance date into the curriculum, or
- 3. The degree requirements of the catalog in effect at the time of graduation.
- C. The relevant departmental chairperson with the approval of the Associate Vice President for Enrollment Management and Student Success may grant, for good cause, an exception to the requirements in Section B, provided the exception is limited to any catalog that was in effect at any time between the date the student entered the curriculum and the date of graduation and was in effect at any time within the seven (7) year period prior to the date of graduation.
- **D.** Degree requirements for all students, regardless of date of enrollment in their curricula, may be subject to change at any time when the implementation of

curricular changes is necessary to maintain quality programs.

- **E.** Students entering a curriculum in any summer term are required to follow the catalog for the next academic year.
- **F.** A Tennessee public community college student may select the Tennessee Tech catalog in effect at the time he/she is admitted and enrolled in a degree-granting or a designated articulation program, collectively "qualifying program," at the community college, provided
- 1. The student enrolls at Tennessee Tech within six years of entering a qualifying community college program and
- **2.** The student continues in the qualifying program.
- **G.** Any credit earned more than ten years prior to the proposed date of graduation is subject to review and approval by the academic department of the student's major.
- H. General Education Requirements
- 1. Tennessee Tech requires the successful completion of a lower-division (e.g., freshman and sophomore level) general education core curriculum of forty-one (41) semester hours as outlined in the Tennessee Tech Undergraduate Catalog in the section labeled "General Education Core."
- 2. In addition to any other requirements to graduate, -students must successfully complete six hours of American History, except those students who are majoring in Chemical, Civil, Computer, Electrical or Mechanical Engineering. In the latter case, if the student has not completed one unit of American History in high school, the student will be required to complete 6 semester hours of American History for the deficiency.
- I. Degree Requirements

In order to be awarded a degree from Tennessee Tech, a student must successfully fulfill the following requirements:

- 1. Successfully complete the general education core curriculum requirements, and
- 2. Successfully complete the curriculum for the major subject and degree chosen.
- **a.** A student must successfully complete at least 6 semester hours of Tennessee Tech 3000 or 4000 level courses in the major chosen.

- **b.** A student must successfully complete at least twenty-five percent of the credit for the degree requirements, including a minimum of 24 semester hours of 3000 and 4000 level course credit at Tennessee Tech.
- **c.** A student must successfully complete a minimum of 120 semester hours, including 36 hours of 3000 and 4000 level upper-division credit approved courses. Some programs of study require more than 120 semester hours.
 - i. Not more than 60 semester hours may be earned toward a baccalaureate degree by Prior Learning Assessment (PLA), including, but not limited, to Advanced Placement, CLEP, International Baccalaureate (IB), special examination, correspondence, portfolio credit, or any combination of these.
 - **ii.** Not more than 12 semester hours in music ensembles, Physical Education 1010-1990, and Military Science activity courses may be counted toward a baccalaureate degree.
- **d.** In addition to the requirements of Section III.I.2.b, a student transferring credit from a two-year institution must complete a minimum of 50 semester hours at a four-year institution.
- **e.** A student must earn a grade point average (GPA) of at least 2.0 (C) as defined below:
 - i. For students who have no transfer credit.
 - (A) A student must earn a 2.0 GPA calculated on all courses, excluding any remedial or developmental courses; and
 - **(B)** A student must earn a 2.0 GPA calculated on all major-related courses. The courses designated as "major-related" are available in each student's academic degree audit in DegreeWorks.
 - ii. For student who have transfer credit,
 - (A) A student must earn a 2.0 GPA calculated on all courses taken at Tennessee Tech, excluding any remedial or developmental courses; and
 - **(B)** A student must earn a 2.0 GPA calculated on all major-related courses taken at Tennessee Tech. The courses designated as "major-related" are available in each student's academic degree audit in DegreeWorks; and
 - (C) Except as provided in (E) below, a student must earn a 2.0 GPA calculated on all courses taken, including courses taken at Tennessee Tech and courses transferred from all institutions; and

- (D) Except as provided in (E) below, a student must earn a 2.0 GPA calculated on all major-related courses, including courses taken at Tennessee Tech and courses transferred from all institutions. The courses designated as "major-related" are available in each student's academic degree audit in DegreeWorks.
- **(E)** A student whose transfer credits are applied to any term after spring semester of 2015 will not have the grades associated with those credits calculated in the GPA or the major-related GPA.
- f. Students who are majoring in areas other than business but are taking course work in the College of Business must limit credit in business courses to 30 hours of the degree requirements as required by the Association to Advance Collegiate Schools of Business ("AACSB").
- 3. Notwithstanding anything in this policy to the contrary, Tennessee Tech may make reasonable academic adjustments to degree requirements for qualified students with disabilities, as determined by joint agreement of the Office of Disability Services and the Office of Enrollment Management and Student Success, after consultation with the college dean and department chairperson, if appropriate. Students with a disability requiring academic adjustments and accommodations must contact the Office of Disability Services.
- J. Academic Minor Requirements
- 1. The awarding of a minor at Tennessee Tech requires the successful completion of a minimum of 15 hours of specified course work in the relevant area of discipline, in addition to fulfilling the requirements for a degree detailed in Section I above. Successfully completed courses may simultaneously fulfill a student's degree requirements and the requirements for a minor.
- **2.** A student may elect to complete multiple minors; however, no more than two minors will appear on the student's academic transcript.
- **3.** The specific course requirements for each minor offered at Tennessee Tech may be found in the portion of the applicable Undergraduate Catalog addressing the relevant academic area or discipline.
- **4.** A student may not earn a minor in the same academic program as his/her major.
- **5.** A student may not earn a minor in the same academic program as his/her concentration.
- **6.** A student who wishes to substitute any course requirements for a minor must receive the approval of the academic unit responsible for the minor requirements. A list of available minors and the ownership of programs is available here.

K. Graduation Requirements

- 1. In addition to completing the degree requirements detailed above, in order to graduate from Tennessee Tech, a student must fulfill the following requirements:
- **a.** All candidates for an undergraduate degree must file an application for graduation found here no later than the deadlines provided below:
 - **i.** For students planning to graduate in the spring semester, the graduation application must be filed no later than September 1 of the previous year;
 - **ii.** For students planning to graduate in the summer semester, the graduation application must be filed no later than December 1 of the previous year;
- **iii.** For students planning to graduate in the fall semester, the graduation application must be filed no later than May 1 of that year.
- b. With the exception of grades for courses taken at another institution during the student's final semester before graduation ("transfer grades"), all requirements for graduation, including, but not limited, to substitution forms, grade changes, major/minor changes, and requests for exception, must be received by the Graduation Office no later than two (2) days prior to graduation date. In addition, all transcripts related to transfer grades must be received by the Graduation Office no later than two (2) weeks after the graduation date. The receipt of such transcripts more than two (2) weeks after the graduation date will result in the student's graduation occurring at the end of the next semester.
- 2. Students who complete degree requirements during the summer term will be allowed to participate in commencement activities along with the fall term graduates in December.

L. Exceptions or Appeals

- 1. A student wishing to request an exception to any portion of this policy may complete the Request for Exception Form and submit it to the Office of Academic Services.
- 2. The Director of Academic Services will notify the student of approval or denial of his/her request within 14 calendar days of receipt of the request.
- 3. A student may appeal the decision of the Director of Academic Services by submitting a written appeal letter to the Associate Vice President for Enrollment Management and Student Success (AVP-EMSS) within 14 calendar days from the notice of the decision. At this time, the student may supply any additional or supplemental information he/she believes is pertinent to the request.

- **4.** The AVP-EMSS will convene a sub-committee of the Admissions and Credits Committee to consider the student's written appeal. The AVP-EMSS on behalf of the sub-committee will notify the student in writing of its decision no later than 14 calendar days after receipt of the appeal and all supporting information.
- **5.** The decision of the sub-committee of the Admissions and Credits Committee is final.

IV. Interpretation

The Provost or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 48-8-203 (a)(1)(B)

Approved by:

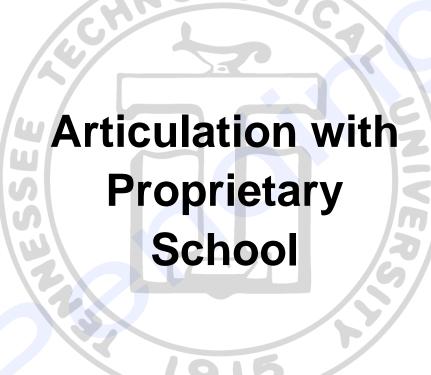
Academic Council: 2016-11-9

University Assembly: 2016-11-16



Date: June 15, 2017			
Division: Academic Affairs			
Agenda Item: Policy 262, Articulation with Proprietary Schools			
Review Action No action required			
PRESENTERS: Provost Ghorashi			
PURPOSE & KEY POINTS:			
Policy 262, Articulation with Proprietary Schools, standardizes how Tennessee Tech evaluates transfer credit from institutions which are proprietary in nature.			

Tennessee Technological University Policy No. 262



Policy Name: Articulation with Proprietary Schools **Policy Subject:** Transfer Credit from Proprietary Schools

Date Revised:

I. Purpose

The purpose of this policy is to standardize how Tennessee Tech evaluates transfer credit from institutions which are proprietary in nature.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Enrollment Management and Student Success, with recommendations for revision presented to the Academic Council, University Assembly, and Board of Trustees.

III. Policy

- **A.** Tennessee Tech evaluates the awarding of transfer credit from proprietary colleges on a case-by-case basis.
- **B.** A student wishing to transfer credit from a proprietary college must provide Tennessee Tech with the following information:
- 1. Official transcripts of courses taken;
- **2.** Documentation of course content, course level, contact hours, and the standards for assessing students' work; and
- 3. Certification of the academic credentials of the course instructor.
- **C.** The Office of Academic Services, after consultation with the appropriate academic unit, will communicate to the student the academic unit's acceptance or denial of the transfer credit.
- **D.** Tennessee Tech's decision on awarding this transfer credit from proprietary colleges is final.

IV. Interpretation

The President or his/her designee has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A § 49-8-8-203(a)(4)

Approved by:

Academic Council: 2016-09-07

University Assembly: 2016-11-16

Board of Trustees:



Date: June 15, 2017		
Division: Academic Affairs		
Agenda Item: Policy 270, General Graduate Admissions Requirements		
Review Action No action required		
PRESENTERS: Provost Ghorashi		
PURPOSE & KEY POINTS:		
Policy 270, General Graduate Admissions Requirements, describes graduate admission requirements and procedures for Tennessee Tech.		

Tennessee Technological University Policy No. 270

General Graduate Admissions Requirements

Policy Name: General Graduate Admissions Requirements

Policy Subject: Graduate Studies

I. Purpose

This policy describes graduate admission requirements and procedures for Tennessee Tech.

II. Review

This policy will be reviewed every four years or upon departmental change request or whenever circumstances require review, whichever is earlier, and will be reviewed by the Dean of the College of Graduate Studies, with recommendation by the Graduate Studies Executive Committee, Academic Council, University Assembly, and the Board of Trustees.

III. Definitions

- **A.** Full Standing A classification that denotes that the student has an adequate background for pursuing graduate work and that all minimum requirements for admission to graduate standing have been met.
- **B.** Provisional Standing A classification that denotes that the student does not qualify for full standing due to deficiencies in meeting specific program requirements. "Provisional Standing" is not equivalent to "conditional" admission for the purpose of international student enrollment.
- **C.** Special Standing A classification that denotes that the student has declared a non-degree graduate objective.
- **D.** Conditional Admission A classification that denotes an applicant has applied for graduate admission, has met minimum GPA requirements, and has been issued a letter to assist with obtaining immigration documents to attend an English language institute. This does not grant admission to the applicant nor does it guarantee admission to Tennessee Tech or specified program.

IV. Policy and Procedure

- **A.** Applicants must submit the following for consideration:
- 1. An application for admission;
- **2.** Official transcripts of undergraduate and graduate credit from all institutions attended;
- **3.** Letters of recommendation from persons acquainted with the applicant's scholastic and professional accomplishments;

- **4.** Graduate admissions test scores, as defined by the major department;
- 5. One-time application fee payment at the graduate level; and
- **6.** Any other applicable requirement described in this policy or required by the major department or division to which the applicant is applying.
- **B.** An applicant who was previously enrolled in a graduate program but had a break in enrollment, excluding the summer term, must reapply.
- **C.** The individual major department or division will determine the minimum test score requirement for admission or readmission, subject to approval by the respective college-level committees, college dean, and the Graduate Studies Executive Committee.
- **D.** The major department or division and the College of Graduate Studies will classify applicants as having Full, Provisional, or Special Standing.
- **E.** The College of Graduate Studies will change a student's Provisional Standing to Full Standing when the deficiencies identified at the time of admission are removed, provided, at the sole discretion of the department and college,
- 1. the deficiencies are cured prior to the completion of 15 graduate hours or
- 2. after acceptable completion of 9 graduate hours if the sole deficiency is caused by an unacceptable admission exam. A student's failure to remove the deficiencies by the deadline established by Tennessee Tech will result in a registration hold being placed on future registrations until such time as the deficiencies have been removed.
- **F.** All application materials become the property of Tennessee Tech and will not be returned to the applicant regardless of whether admission is approved or denied.
- **G.** Tennessee Tech follows Tennessee Tech Policy No 253 (Residency Classification) for determination of residency status.
- H. Additional Admissions Requirements for International Students
- In addition to requirements described in Section IV, international students must submit sufficient proof, as determined by Tennessee Tech, of adequate training and ability in the use of English as evidenced by a satisfactory score on recognized and acceptable tests. A list of acceptable scores may be found here.
- **2.** Tennessee Tech will prepare Form I-20 for those admitted students seeking to apply for F-1 visa and the DS2019 for those admitted students seeking to apply for a J-1 visa.

- **3.** Enrollment in a program is contingent on the student receiving an appropriate visa.
- I. Special Admission Categories
- 1. Admission of Senior Students to Graduate Courses
 - **a.** A senior student within 18 hours of completing the requirements for the Bachelor's Degree may take up to 9 hours of graduate credit (5000 and 6000 levels) provided:
 - i. The student's record gives indication that the student could achieve Full Standing at the conclusion of the undergraduate program and
 - ii. The student's departmental advisor, graduate course instructor(s), chairperson of the department(s), and Associate Dean of the College of Graduate Studies approve the student's request.
 - **b.** A senior student within 18 hours who does not meet the Full Standing criteria may take up to 9 hours of 5000 level courses. Credit earned in this manner may be used for either undergraduate or graduate credit but not both.

2. Admission to Fast Track Programs

- a. The Fast Track program is designed to enable Tennessee Tech undergraduate students to accumulate up to six (6) credit hours of graduate coursework, to satisfy both undergraduate and graduate degree requirements, while still pursuing their undergraduate degree. These hours can include either 4000/5000 dually-listed courses taken at the 5000-level or 6000-level courses.
- **b.** All courses must be taken at Tennessee Tech.
- **c.** The chair of the department must approve the courses as appropriate substitutions in the undergraduate curriculum.
- **d.** Participation does not change the requirements for either the undergraduate or graduate program.
- **e.** A student meeting the minimum admission requirements must apply to the department for admission to the Fast Track program. The department's graduate committee will review the application and make a decision on the application.
- **f.** Upon graduation from the undergraduate degree program, the student must meet all requirements for admission into Full Standing in the appropriate graduate degree program. Meeting these minimum requirements does not guarantee admission to the graduate program.

3. Admission of Transfer Students

- **a.** An applicant for admission who has begun a graduate program at another college or university may be considered for admission to the College of Graduate Studies on a transfer basis consistent with Tennessee Tech Policy 283 General Graduate Transfer Credit Requirements.
- **b.** A transfer applicant must be in good standing at the institutions previously

attended.

- **4.** Admission of Non-degree Graduate Students
 - **a.** Admission to some graduate courses is available to persons who do not seek a graduate degree. Each applicant must submit to the College of Graduate Studies an application, application fee, and proof of having earned the bachelor's degree.
 - **b.** Admission is approved by individual departments, divisions, or their representatives.
 - **c.** International students on an F1 visa are not eligible for admission as non-degree students.
- **5.** Admission of Tech Faculty and Employees to Graduate Programs
 - **a.** In addition to meeting the usual requirements for admission to the graduate degree program, an employee's supervisor, the Dean of the College of Graduate Studies, and the Provost must approve the request.

V. Exceptions

Students requesting exceptions to any provision of this policy or departmental requirements must submit their request to their program chairperson, and the departmental chairperson, college dean, and the Dean of the College of Graduate Studies must authorize the exception in writing.

VI. Interpretation

The Dean of the College of Graduate Studies or his/her designee has final authority to interpret the terms of this policy.

VII. Citation of Authority for Policy

T.C.A § 49-8-203(a)(1)(B)

Approved by:

Graduate Studies Executive Committee: November 1, 2016

Academic Council: November 9, 2016

University Assembly: November 16, 2016



Date: June 15, 2017
Division: Academic Affairs
Agenda Item: Policy 271, General Graduate Degree Requirements
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
Policy 271, General Graduate Degree Requirements, describes graduate program requirements and procedures for Tennessee Tech academic units and graduate students.

Tennessee Technological University Policy No. 271



Policy Name: General Graduate Degree Requirements

Policy Subject: Graduate Studies

I. Purpose

This policy describes graduate program requirements and procedures for Tennessee Tech academic units and graduate students.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Dean of the College of Graduate Studies, with recommendations for revision presented to the Graduate Studies Executive Committee, Academic Council, University Assembly, and the Board of Trustees.

III. Definitions

- A. Academic Course Levels
- 1. UG any course taken at the undergraduate level.
- 2. GR any course taken at the certificate, master's degree, and post-master's certificate level.
- 3. ED any course taken at the specialist degree level.
- 4. DR –any course taken at the doctoral degree level.
- B. Academic Standing designation of progress to degree based upon the Cumulative GPA.
- C. Attempted Hours the total number of all Graduate Courses taken that hold a Credit Hour value.
- D. Background Course courses taken prior to or during enrollment in the current graduate program that are listed on the graduate student's Program of Study. These courses are not used to calculate the Graduate Program Cumulative GPA for awarding the final degree and/or certificate.
- E. Comprehensive Exam an assessment used to ensure a graduate student has a grasp of a broad sample of his/her discipline, and/or will test a graduate student in his/her narrower selected areas of specialty within the discipline.
- F. Credit Hour a numerical value assigned to each Graduate Course that can range from one (1) to nine (9) hours per the Graduate Course description.
- G. Cumulative GPA an indicator of a graduate student's total academic progress to date at Tennessee Tech, which is used in determining Academic Standing, financial aid eligibility, and ,when applicable, it will be inclusive of all graduate level transfer credit prior to spring 2015. The Cumulative GPA is determined by dividing the total Quality Points earned by the cumulative GPA Hours for all semesters.

- H. Current GPA an indicator of a graduate student's current semester academic progress at Tennessee Tech. The Current GPA is determined by dividing the total Quality Points earned by the total GPA Hours in a semester.
- I. Earned Hours the total number of Credit Hours of all Graduate Courses taken that hold a Credit Hour value and where Grades earned are assigned with Quality Points and/or where Grades are earned with an S- Satisfactory or SP Satisfactory Progress.
- J. Good Academic Standing a designation for a graduate student with a 3.0 Current GPA and Cumulative GPA or higher.
- K. Grade an alphabetical value assigned to a course as an indication of a graduate student's final quality of work and/or progress, which may be derived from a combination of factors, as determined by the Graduate Course syllabus requirements.
- L. Grade Point Average (GPA) a measure of a graduate student's academic achievement at Tennessee Tech. Only Graduate Courses in which a Quality Points value are used to calculate the GPA.
- M. GPA Hours –the total number of all earned Graduate Courses taken that hold a Credit Hour value and assigned a Grade earned with a Quality Points value.
- N. Graduate Course a course taken at the 5000, 6000, or 7000 level.
- O. Graduate Program Cumulative GPA— an indicator of a graduate student's total academic progress in his/her Program of Study used to determine eligibility to award his/her graduate program degree or certificate. The Graduate Program Cumulative GPA is determined by dividing the total Quality Points earned by the total hours for all degree related courses listed on the Program of Study.
- P. Mandatory or Pre-requisite Course any course that is required or necessary as a prior condition before taking an advanced course or prior to enrollment in a graduate program. These courses are not used to calculate the Graduate Program Cumulative GPA for awarding the final degree or certificate.
- Q. Non-degree Course –any course taken by a non-degree graduate student and not used to earn a graduate certificate or degree.
- R. Program of Study a written declaration that entails a narrative description and summary of course requirements for the graduate student's certificate or degree program.
- S. Quality Points (QP) –a numerical value assigned to the Grade earned for a Graduate Course. The Quality Point value assigned to each Grade is:
- 1. Four (4) QP for a Grade of A
- 2. Three (3) QP for a Grade of B
- 3. Two (2) QP for a Grade of C
- 4. One (1) QP for a Grade of D

5. Zero (0) QP – are assigned for a Grade of F – Failure, NF –Never Attended Fail, IF – Incomplete Fail, X – Absent from examination, U – Unsatisfactory, and WF – Withdrew Failing.

The following assigned Grades are excluded from Current GPA and Cumulative GPA calculations. I – Incomplete, AU – Audit, W – Withdrew Passing, S – Satisfactory, SP – Satisfactory Progress, NR – Not Reported and NP – No Progress.

IV. Policy

- A. Program requirements for certificates, master's, post-master's certificate, specialist, and doctoral programs are defined by the college and department offering the graduate program.
- B. Some college and department graduate programs may have requirements for continuation or graduation in addition to the minimum requirements set forth in this policy. It is the graduate student's responsibility to be familiar with specific requirements found in his/her college and department program information.
- C. All graduate programs will administer one or more Comprehensive Exam(s) as an indicator of degree progression as defined by the graduate program.
- D. Credit used to satisfy the requirements of one degree or certificate cannot be used to satisfy the requirements of another degree or certificate.
- E. Tennessee Tech will evaluate a request for transfer credits as described in Tennessee Tech Policy 283 (Transfer Credit).
- F. A graduate student must be in Good Academic Standing to maintain graduate student status. Some graduate programs may require a graduate student to have a higher Cumulative GPA to maintain graduate student status in that program.

G. Graduate Courses

- 1. Graduate students will earn graduate credit for a 4000/5000 level course based upon additional work defined by the course syllabus.
- 2. A course taken at the 4000 level may not be taken later at the 5000 level without written permission from the departmental chairperson, college dean, and the Dean of the College of Graduate Studies designee.
- 3. At least seventy percent of the Graduate Course credit to be counted toward a master's degree must be at the 6000 level or above.
- 4. At least fifteen (15) graduate Credit Hours must be taken at the 7000 level for a specialist degree, unless written approval is granted by the graduate student's advisory committee, department chair, and the Dean of the College of Graduate Studies designee.

- 5. No Graduate Course below 6000 level will be counted toward a specialist degree unless written approval is granted by the graduate student's advisory committee, department chair, and the Dean of the College of Graduate Studies designee.
- 6. A non-degree graduate student subsequently admitted into a graduate program may use up to nine (9) previously earned graduate Credit Hours toward the graduate program, upon approval from the graduate student's advisory committee.
- 7. All graduate coursework is part of the graduate transcript and all Grades earned are part of the Cumulative GPA. This applies to all Graduate Courses completed, even if the Graduate Courses are not part of the degree requirements.
- 8. A graduate student must achieve a Grade of at least "C" on all Graduate Courses taken, including those taken for non-degree purposes, Background Courses, Mandatory or Pre-requisite Courses, licensure, certification, endorsement, or personal enrichment.
- 9. A graduate student must achieve a Grade of at least "C" for all undergraduate courses listed on the Program of Study. All courses will appear at each respective Academic Course Level on the graduate student's transcript.
- 10. Tennessee Tech reserves the right to change Graduate Course numbers and Graduate Course descriptions, or to decline to offer the Graduate Course as described when circumstances warrant such action.
- 11. Tennessee Tech will grant credit toward a graduate program for any Graduate Course in which a graduate student earns a Grade of A, B, C, S, or SP toward the final approved Program of Study, unless otherwise required by a specific program. Tennessee Tech, however, will not accept more than six (6) Credit Hours of "C" earned toward any graduate program.
- 12. A graduate student may appeal an assigned Grade through Tennessee Tech Policy 218 (Grade Appeals Policy).

H. Probation and Dismissal

1. Probation

- a) When a graduate student has a Cumulative GPA of less than 3.0 but not less than 2.0 at the end of a semester, he/she will be placed in probationary Academic Standing.
- b) Any graduate student placed in probationary Academic Standing at the end of a semester must return to Good Academic Standing by the end of the next enrolled semester.

2. Dismissal

- a) A graduate student will be dismissed from his/her graduate program if any one of the following conditions occurs:
- (i) The graduate student's Current GPA or Cumulative GPA falls below 2.0.

- (ii) The graduate student fails to achieve Good Academic Standing by the end of the next enrolled semester following a semester that the graduate student was placed in probationary Academic Standing.
- (iii) The graduate student earns two Grades of "F", or equivalent, in any course presented as part of the required graduate program hours.
- (iv) The graduate student has two consecutive semesters of "NP No Progress" in thesis or dissertation Graduate Courses.
- (v) The graduate student fails to meet program-specific requirements.
- (vi) The graduate student does not successfully pass all examinations for admission to candidacy as required by his/her graduate program.
- (vii) A graduate student fails to submit to the College of Graduate Studies the committee-signed certificate of approval page by the end of the following semester in which the graduate student successfully passed his/her defense.
- b) A graduate student who has been dismissed for unsatisfactory performance may request reinstatement through the appeal procedures in Tennessee Tech Policy 281(Graduate Student Dismissal, Reinstatement, and Appeal Procedures).

I. Course Repetition

- 1. A course repetition is required for all Graduate Courses in which a Grade of D, U, X, IF, F, WF, or NF is earned. Both the original Grade and the Grade for the repetition will be counted in the Cumulative GPA.
- 2. Each graduate program in which Graduate Course repetition is permitted is limited to one (1) repetition per Graduate Course.
- 3. The cumulative Graduate Course repetition cannot exceed nine (9) Credit Hours in any graduate program.
- 4. Some Graduate Courses that share the same prefix and number are permitted to be taken more than once for credit and are not considered as repetition due to the change in Graduate Course material. These types of Graduate Courses are noted in Course Descriptions.

J. Grade of "I"

- 1. An instructor may assign an "I" Grade when a graduate student's performance has been satisfactory but for reasons beyond the graduate student's control he/she has not been able to complete the Graduate Course requirements within the allotted time.
- 2. When a Grade of "I" is assigned, the graduate student will not be required to register for the Graduate Course again but must complete the original course requirements with the original instructor, if applicable.
- 3. Upon approval from the instructor, the graduate student has up to one calendar year or until the time of graduation, whichever comes first, to remove the "I".

- 4. Completion of a Graduate Course with a Grade of "I" does not count toward enrollment hours.
- 5. The "I" is excluded from the calculation of the graduate students Current GPA and Cumulative GPA until a Grade is earned.
- 6. If the "I" is not removed within the established time limits, it is automatically changed to a Grade of "IF".
- 7. The Grade of "IF" will remain on the student's academic record permanently and will be included in the Cumulative GPA.

K. Course Loads

- 1. Nine (9) Credit Hours in the fall or spring semester constitute a full load for a graduate student.
- 2. During the summer semester, a full load is six (6) hours, taken in the 1st term, 2nd term, or a combination of both terms.
- 3. The maximum permissible load is sixteen (16) hours per semester, inclusive of all credits earned at all institutions.
- 4. Tennessee Tech Policy 274 (Graduate Assistantship), describes Graduate Course load limits for graduate assistants.
- 5. Tennessee Tech Policy 240 (Full Course of Study Requirements for International Students), describes Graduate Course load minimums for international graduate students.

L. Time limits

- 1. Time limits shall be computed from and include the first semester in which credit applied to the degree is earned at Tennessee Tech.
- 2. All Graduate Courses earned toward a graduate program must be taken within the applicable time limit unless they can be validated pursuant to the course validation procedures.
- 3. A graduate student in a master's, post master's, or specialist program must complete all requirements within six (6) consecutive years.
- 4. A graduate student in a doctoral program must complete all requirements within eight (8) consecutive years.

M. Banking Hours

Graduate students may earn credit for a related advanced degree following the banking course procedures.

N. Second Master's Degree

A graduate student holding an earned master's degree from Tennessee Tech or an accredited institution may qualify for a second master's degree by completion of graduate work approved by the graduate student's advisory committee, provided:

- 1. If the graduate student has previously earned a master's degree at Tennessee Tech then a minimum of twenty-one (21) semester hours taken at Tennessee Tech must be completed for a thesis second master's degree or twenty-four (24) semester hours if non-thesis.
- 2. If the graduate student has not previously earned a master's degree at Tennessee Tech, a minimum of twenty-four (24) semester hours taken at Tennessee Tech must be completed for a thesis second master's degree or twenty-seven (27) semester hours if non-thesis.
- 3. The graduate student successfully completes all requirements prescribed in the specified graduate program.

O. Major

- 1. A graduate student must declare a major as part of the graduate admissions process.
- 2. The graduate student may change the major area of study only if the department of the new major admits the graduate student. The graduate student is responsible for submitting the <u>request for change of major</u> to the College of Graduate Studies.

P. Advisory Committee Formation, Qualifications, and Responsibilities

All requirements related to advisory committee responsibility as defined in Tennessee Tech Policy 282 (Graduate Faculty Appointment and Responsibilities Policy) must be met, except as provided in this section;

- 1. Unless a <u>specific graduate program</u> has direct oversight by a standing advisory committee, all graduate programs must follow the committee formation requirements.
- 2. The graduate student, in consultation with the departmental chairperson or graduate student's academic advisor, will determine the formation of the graduate student's advisory committee as part of the Program of Study.
- a) A minimum of three (3) advisory committee members is required for a master's or specialist degree program.
- b) A minimum of four (4) advisory committee members is required for a doctoral program in Education.

- c) A minimum of five (5) advisory committee members is required for a doctoral programs in Engineering and Environmental Sciences.
- 3. The graduate student's advisory committee members shall represent each of the areas in which the graduate student expects to study, with two (2) members having background in the major area. The graduate student must have at least one (1) committee member with adequate background and research interests in the area in which the student has proposed a research objective.
- 4. A faculty member has the prerogative of accepting or relinquishing an appointment on a graduate student's advisory committee.
- 5. Professionals who are not employed by Tennessee Tech may serve as a consultant on a graduate student's committee upon approval from the graduate student's committee members. Consultants are allowed to participate in all committee meetings, oral examinations, and theses/dissertation defenses, but are not allowed to vote on any matter.
- 6. Approval Requirements;
- a) Three (3) positive votes, or seventy-five percent positive votes, whichever is greater, is required from the advisory committee members of a graduate student pursuing a master's or specialist degree.
- b) A minimum eighty percent positive votes is required from the advisory committee members of a graduate student pursuing a doctoral degree in Engineering or Environmental Sciences.
- c) Unanimous advisory committee vote is required for a graduate student pursuing a doctoral degree in Education.
- 7. The graduate student is responsible for submitting to the College of Graduate Studies any change of advisory committee.

Q. Program of Study

- 1. The graduate student must file his/her proposed <u>Program of Study</u>, with the College of Graduate Studies
- a) before the end of the semester in which nine (9) Credit Hours will be earned as a graduate student in a master's or post master's program, or
- b) before the end of the semester in which fifteen (15) Credit Hours will be earned as a graduate student in a specialist or doctoral program.

Failure to submit the Program of Study will result in a registration hold.

- 2. All required Background Courses, Mandatory, or Pre-requisite Courses must appear on the graduate student's Program of Study.
- 3. A graduate student who needs to add and/or delete any course(s) on his/her Program of Study due to non-academic performance reasons must submit a <u>substitution form</u> or, if needed, a revised Program of Study to the College of Graduate Studies.

4. A graduate student who needs to add and/or delete any course(s) on his/her Program of Study due to academic performance reasons must submit a <u>substitution form</u> or, if needed, a revised Program of Study, along with an advisory committee memo to the College of Graduate Studies stating the justification to add and/or remove the course(s) from the Program of Study.

R. Admission to Candidacy

Prior to requesting admission to candidacy, a graduate student must meet the applicable criteria;

- 1. Master's Degree and Post Master's Certificate
- a) Achieve full standing in his/her graduate program,
- b) Complete nine (9) Credit Hours of Graduate Courses, and
- c) Have a 3.0 Cumulative GPA.
- 2. Specialist Degree
- a) Achieve full standing in his/her graduate program,
- b) Complete fifteen (15) Credit Hours of Graduate Courses,
- c) Have a 3.0 Cumulative GPA, and
- d) Must pass any examination that may be required by his/her graduate program.
- 3. Doctoral Degree
- a) A graduate student must complete approximately eighty percent of the graduate coursework in his/her Program of Study,
- b) Have a 3.0 Cumulative GPA, and
- c) Must pass all parts of the Comprehensive Exam.

Specific graduate programs may allow the graduate student a second attempt to pass any examination that may be required by his/her graduate program. No more than two attempts to achieve admission to candidacy will be permitted.

S. Thesis/Dissertation or Non-thesis Requirements and Procedures

- 1. When a thesis is required in a graduate student's Program of Study, Tennessee Tech will not count more than six (6) Credit Hours for Graduate Course 6990 (master's thesis) towards the degree.
- 2. Required doctoral dissertation Credit Hours are set by the college that confers the doctorate degree.
- 3. Only Grades of SP- Satisfactory Progress and NP-No Progress shall be used to indicate a graduate student's progress in a thesis or dissertation Graduate Course.
- 4. Non-degree students are not eligible to register for a thesis or dissertation Graduate Course.

- 5. A graduate student must register for at least one (1) Graduate Course appropriate to the graduate student's degree objective in order to have access to computer equipment, laboratories, library, and other Tennessee Tech facilities and resources, even if the graduate student is working in absentia on research, a thesis, or dissertation.
- 6. A graduate student pursuing a thesis track master's or dissertation doctorate program will be required to participate in a formal defense of his/her thesis or dissertation.
- a) Prior to scheduling the thesis/dissertation defense, the graduate student must submit the thesis or dissertation certificate of approval page to the College of Graduate Studies for format review and approval.
- b) The graduate student is responsible for scheduling his/her thesis or dissertation defense with his/her advisory committee to allow enough time to submit the defense results to the College of Graduate Studies by the College of Graduate Studies calendar deadline to ensure graduation eligibility.
- c) A graduate student's thesis or dissertation defense is open to the public.
- d) All of the graduate student's advisory committee members are required to attend the thesis or dissertation defense.
- e) Failure to submit the graduate student's thesis or dissertation defense results to the College of Graduate Studies by the posted deadline on the College of Graduate Studies calendar will result in the graduate student's ineligibility to graduate.
- 7. The College of Graduate Studies requires all graduate students to follow the Guide to the Preparation of Theses and Dissertations.
- 8. The College of Graduate Studies will review the graduate student's thesis or dissertation for formatting to ensure the thesis or dissertation adheres to the Guide to the Preparation of Theses and Dissertations. The College of Graduate Studies will not review the paper's content, spelling, or accuracy of the citation.
- 9. Once the graduate student's signed advisory committee certificate of approval page has been submitted to the College of Graduate Studies, the graduate student must submit the thesis or dissertation into the electronic publication system ProQuest. The thesis or dissertation must be submitted by the deadline posted on the College of Graduate Studies calendar, absent good cause, or it will result in the graduate student's ineligibility to graduate.
- 10. The graduate student's failure to complete the thesis or dissertation review and formatting process with the College of Graduate Studies by the posted deadline on the College of Graduate Studies calendar will result in the graduate student's ineligibility to graduate.

- 11. Most non-thesis graduate programs and some thesis graduate programs require that the graduate student successfully pass a Comprehensive Exam conducted by his/her advisory committee at or near the completion of his/her graduate program. Failure to submit the Comprehensive Exam results by the posted deadline on the College of Graduate Studies calendar will result in the graduate student's ineligibility to graduate.
- 12. Some non-thesis graduate programs have a capstone course or project course in which the final course completion is used in place of the Comprehensive Examination.

T. Graduation

- 1. Application for Graduation
- a) In addition to satisfying all degree requirements, a candidate for a degree must file an application for graduation by the deadline posted on the <u>College of Graduate Studies calendar</u> for the semester in which the degree is expected to be conferred.
- b) If a graduate student applies for graduation but fails to satisfy graduation requirements and/or withdraws from graduation, the graduate student must reapply for graduation.
- c) A graduate student must be enrolled for a Graduate Course approved by the graduate advisor during the semester in which the degree is awarded unless all requirements have been completed by the last day to register for the following semester.
- d) Degrees are conferred at the end of each semester.
- 2. Graduation Requirements
- a) All degree requirements as defined by this policy and by each specific program must be met by the deadlines posted on the College of Graduate Studies calendar in the semester for which the degree will be awarded.
- b) Transcripts from other universities used as transfer credit on a Program of Study must be received no later than two (2) weeks after the graduate student's commencement date.
- 3. Commencement/ PhD Hooding
- a) There will not be a commencement ceremony for those graduating in August. Graduate students who wish to participate will be allowed to return to Tennessee Tech for the December commencement ceremony.
- b) Graduate students may participate in only one commencement ceremony for each degree earned at Tennessee Tech.
- c) Certificate and post-master's certificate graduate students do not participate in commencement.

d) No doctoral degree candidate is permitted to participate in commencement until all requirements for the degree are successfully completed.

V. Interpretation

The Dean of the College of Graduate Studies or his/her designee has final authority to interpret the terms of this policy.

VI. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(B)

Approved by:

Graduate Studies Executive Committee: 2016-11-01

Academic Council: 2016-11-09 University Assembly: 2016-11-16



Agenda Item Summary

Date: June 15, 2017						
Division: Academic Affairs						
Agenda Item: Policy 275, Graduate Academic Fresh Start						
Review Action No action required						
PRESENTERS: Provost Ghorashi						
PURPOSE & KEY POINTS:						
Policy 275, Graduate Academic Fresh Start, describes how Tennessee Tech provides academic						

forgiveness for graduate students who have experienced academic difficulty.

Tennessee Technological University Policy No. 275



Effective Date: July 1, 2017

Policy No.: 275

Policy Name: Graduate Academic Fresh Start

Policy Subject: Graduate Studies

I. Purpose

The purpose of this policy is to describe how Tennessee Tech provides academic forgiveness for graduate students who have experienced academic difficulty.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Dean of the College of Graduate Studies, with final approval by the Graduate Studies Executive Committee, Academic Council, University Assembly, and the Board of Trustees.

III. Policy

- **A.** Individuals interested in requesting a Graduate Academic Fresh Start must submit a completed <u>application</u> to the College of Graduate Studies, including a written justification for the request.
- **B.** A Graduate Academic Fresh Start request is limited to situations where the individual wishes to apply to a graduate degree program other than the previously attempted coursework.
- C. An individual seeking a Graduate Academic Fresh Start must:
- 1. Submit a completed change of major form to the College of Graduate Studies;
- 2. Submit all admission documents as required by Tennessee Tech Policy 270; and
- **3.** Meet all the requirements for admission as determined by the program and the College of Graduate Studies.
- **D.** The approval of a request for a Graduate Academic Fresh Start is at the discretion of the department and academic dean for the program to which the individual is applying and Dean of the College of Graduate Studies.
- **E.** An individual may receive only one Graduate Academic Fresh Start.
- **F.** Previous coursework will not be used to satisfy the requirements of the new degree program.

IV. Interpretation

The Dean of the College of Graduate Studies has the final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(B)

Approved by:

Graduate Studies Executive Committee: November 1, 2016

Academic Council: November 9, 2016

University Assembly: November 16, 2016



Agenda Item Summary

Date: June 15, 2017		
Division: Academic A	ffairs	
Agenda Item: Policy 2	281, Graduate Student F	Reinstatement after Dismissal and Appeal Procedure
Review	Action	No action required
PRESENTERS: Provost	Ghorashi	

PURPOSE & KEY POINTS:

Policy 281,- Graduate Student Reinstatement after Dismissal and Appeal Procedures, provides a graduate student reinstatement and appeal process in the event the student is dismissed from a graduate degree program for poor academic performance.

Tennessee Technological University Policy No. 281



Effective Date: July 1, 2017

Policy No: 281

Policy Name: Graduate Student Reinstatement after Dismissal and Appeal Procedures

Policy Subject:

I. Purpose

The purpose of the policy is to provide a graduate student reinstatement and appeal process in the event the student is dismissed from a graduate degree program for poor academic performance (see Tennessee Tech Policy 271 General Graduate Degree Requirements).

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Dean of the College of Graduate Studies, with recommendations for revision presented to the Graduate Studies Executive Council (GSEC), Academic Council, and University Assembly.

III. Reinstatement After Dismissal Procedures

- **A.** A graduate student who wishes to be reinstated following the Graduate College's decision of dismissal must notify the College of Graduate Studies in writing within five business days following notification of the dismissal if the student wishes to re-enroll the following semester. The Graduate College will instruct the student to complete the <u>Request for Exception to University Requirement Form</u> to begin the reinstatement process.
- **B.** Upon consideration by the committee chair, department chair, and college dean, the signed **Request for Exception to University Requirement Form** and reinstatement documentation will be sent to the Dean of the College of Graduate Studies within seven business days of receipt of the student request.
- C. The Dean of the College of Graduate Studies will approve or deny the student request and will notify the student of the decision within five business days of the date the Dean receives the **Request for Exception to University Requirement Form.**
- **D.** If the Dean of the College of Graduate Studies denies the student's request for reinstatement, the student may appeal to the Graduate Studies Executive Committee within five business days of receipt of the denial.
- **E.** The Graduate Studies Executive Committee may, at its discretion, allow the student to appear before the Committee or to provide additional documentation related to the request for reinstatement.

- **F.** The chair of the Graduate Studies Executive Committee will notify the student of the Committee's decision within seven business days of the Committee's meeting or deliberation.
- **G.** The decision issued by the Graduate Studies Executive Committee is final.

IV. Interpretation

The Dean of the College of Graduate Studies or his/her designee has final authority to interpret the terms of this policy.

V. Citation of authority for policy

T.C.A. § 49-8-203(a)(4)

Approvals:

Graduate Studies Executive Committee: November 1, 2016

Academic Council: November 9, 2016

University Assembly: November 16, 2016



Agenda Item Summary

Date: June 15, 2017
Division: Academic Affairs
Agenda Item: Policy 282, Graduate Faculty Appointments and Responsibilities
Review Action No action required
PRESENTERS: Provost Ghorashi
PURPOSE & KEY POINTS:
Policy 282, Graduate Faculty Appointments and Responsibilities, describes the appointment of graduate faculty and its procedures.

Tennessee Technological University Policy No. 282



Effective Date: July 1, 2017

Policy No: 282

Policy Name: Graduate Faculty Appointment and Responsibilities Policy Policy Subject: Policies and Procedures Related to Graduate Faculty

I. Purpose

This policy describes the appointment of graduate faculty and its procedures.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Dean of the College of Graduate Studies, with recommendations for revision presented to the Graduate Studies Executive Committee (GSEC), Academic Council, University Assembly, and the Board of Trustees.

III. Definitions

- A. Graduate faculty: faculty members in one of four membership categories who are appointed by the Provost and by virtue of their academic performance and credentials are responsible for teaching graduate courses, advising graduate students, and possibly serving on the Graduate Studies Executive Committee. There are four types of membership as defined below.
- B. Adjunct member: part-time faculty member employed for graduate teaching, advisement, or research who holds an earned doctorate or equivalent terminal degree in an appropriate discipline from an appropriately accredited institution.
- C. Associate member: full-time faculty member not eligible for full membership who holds an earned doctorate or equivalent terminal degree in an appropriate discipline from an appropriately accredited institution.
- D. Clinical member: full or part-time faculty member who participates in directing educational experiences in a clinical/professional setting where the faculty member practices, who holds at least a master's degree and professional certification in an appropriate discipline from an appropriately accredited institution/agency/association and relevant experience in the field of study.

- E. Full member: full-time faculty member, emeritus, senior affiliate faculty, or academic administrator holding faculty rank at the rank of assistant professor or higher, tenured or tenure-track, who holds an earned doctorate or equivalent terminal degree in an appropriate discipline from an appropriately accredited institution and who also has achieved an appropriate level of scholarship or creative activity and erudition characterized by peer reviewed publications, conference publications, recitals, exhibitions, and/or externally funded research grants.
- F. Research advisor: any person who provides oversight to students' research endeavors and chairs or co-chairs the student's research advisory committee.

IV. Policy

- A. An instructor of any course for which students receive graduate credit must be a member of the graduate faculty.
- B. Responsibilities of Departmental Chairperson
- 1. The chairperson of any department offering a graduate degree may act in any capacity open to a graduate faculty member and has certain administrative responsibilities pertaining to the graduate program.
- 2. The chairperson is responsible for reviewing applications of prospective graduate students and making recommendations as to acceptance and status of applicants, acting as the advisor (or for designating one) for each student's first registration period, and nominating qualified faculty members for appointment to the graduate faculty.
- 3. The departmental chairperson also provides direction and coordination in supporting departmental faculty members in the development of research projects and in the appropriate utilization of facilities.
- C. Appointment Process and Term of Appointments
- 1. A faculty member and departmental chair of the faculty member must complete an <u>Application</u> for graduate faculty membership form. Once complete, the application is approved and signed by the college dean and Dean of the College of Graduate Studies. The Dean of the College of Graduate Studies forwards the signed application to the Provost for final review and approval.
- 2. Once reviewed and approved by the Provost, the College of Graduate Studies notifies the faculty member, faculty member's chairperson, and the college dean of the approval to teach graduate level courses.
- 3. The term of appointment for full graduate faculty members is six years and all other member categories shall hold the term for three years. Criteria for reappointment are the same as used for the initial appointment.

- D. Requirements and Responsibilities of Members
- 1. Each instructor is responsible for ensuring that students in graduate classes have sufficient background prerequisites required for the course.
- 2. Clinical Graduate Faculty may only teach clinical or practicum designated courses. All other Graduate Faculty appointments may teach any graduate level course.
- 3. All approved Graduate Faculty may serve as a committee member.
- 4. Associate Graduate Faculty may serve as a graduate student's academic advisor for master's or specialist degrees.
- 5. Full Graduate Faculty may serve as a graduate student's academic advisor for master's, specialist, or doctoral degrees.
- 6. A qualified member of the graduate faculty may be asked to serve as an instructor of a graduate course, as an instructor of a readings or special problems course, as a director of some phase of development of the research facilities of Tennessee Tech, as a member of the Graduate Studies Executive Committee, or as a member of a graduate student's advisory committee, including serving as the student's research advisor.
- 7. The graduate faculty member who serves as the student's research advisor shall chair or co-chair the advisory committee and must hold faculty rank in the department in which the student is majoring. For a doctoral student, the research advisor shall be an experienced faculty member and a full member of the graduate faculty.
- 8. A student's research advisor may hold faculty rank in a department other than that in which the student is majoring but must have the research capability in a discipline closely related to a discipline associated with the student's department. The research advisor must have demonstrated significant research capability and be experienced in directing independent study.
- 9. A faculty member may not direct independent study/research courses taken by a student who is a relative of the faculty member and may not be a member of a relative's graduate advisory committee. For the purposes of this policy, "relative" means a parent, foster parent, parent-in-law, child, spouse, brother, foster brother, sister, foster sister, grandparent, grandchild, son-in-law, brother-in-law, daughter-in-law, sister-in-law, or other family member who resides in the same household.

- 10. At the discretion of the departmental chairperson, responsibilities of an associate or adjunct member of the graduate faculty may be any of those normally given to a full member of the graduate faculty, except serving on the Graduate Studies Executive Committee, or serving as a doctoral-level research advisor.
- 11. The student's departmental chairperson, the dean of the college, and the Associate Dean of the College of Graduate Studies must approve an associate or adjunct faculty member serving as a master's-level research advisor.
- E. Graduate student advisory committee responsibilities include, but are not limited to, the following.
- 1. The chairperson of an advisory committee assists the student in the selection of a course of study and works with the student in choosing a suitable thesis topic. The chairperson is expected to furnish appropriate assistance and encouragement when excessive difficulties arise in the investigation of the problem.
- 2. All advisory committee members are to consider the graduate student's application for admission to candidacy, including a review of both the proposed Program of Study and the research proposal, and, with other members of the advisory committee, will approve, make recommendations to improve, or disapprove.
- 3. The graduate student's committee chairperson must complete the Ph.D. comprehensive exam form, obtain all committee member signatures, and forward to the College of Graduate Studies by the deadline posted on the College of Graduate Studies calendar.
- 4. All advisory committee members are to assist in the conduct of all comprehensive examinations to insure that the student has satisfactory knowledge of the subject matter covered in the Program of Study.
- 5. The graduate student's committee chairperson must complete the exit comprehensive exam form and forward it to the College of Graduate Studies by the deadline posted on the College of Graduate Studies calendar. Failure to submit the exit comprehensive exam form to the College of Graduate Studies by the posted deadline will result in the graduate student's ineligibility to graduate.
- 6. It is the graduate student's advisory committee's responsibility to ensure the thesis/dissertation is error-free in regards to format, grammar, spelling, punctuation, and content, thereby meeting the standards of excellence expected by Tennessee Tech.

- 7. All advisory committee members are to review the student's thesis or dissertation (if one is required) prior to the defense in order to approve, make recommendations to improve, or disapprove.
- 8. All advisory committee members are to ensure that the thesis or dissertation is of suitable rigor and quality that presents a valid investigation, which has been properly completed.
- 9. On the day of the thesis/dissertation defense, the graduate student's committee chairperson must complete the thesis/dissertation defense form and forward it, with all required signatures, to the College of Graduate Studies by the deadline posted on the College of Graduate Studies calendar. Failure to submit the thesis/dissertation defense form to the College of Graduate Studies by the posted deadline will result in the graduate student's ineligibility to graduate.

V. Interpretation

The Dean of the College of Graduate Studies or his/her designee has the final authority to interpret the terms of this policy.

VI. Citation of Authority for Policy

T.C.A. § 49-8-301(a)

Approved by:

Graduate Studies Executive Committee: 2016-11-01

Academic Council: 2016-11-09

University Assembly: 2016-11-16



Agenda Item Summary

PRESENTERS: P	rovost Ghorashi				
Review	v 🔀	Action		No action required	
Agenda Item: P	olicy 283, Gene	ral Graduate	Transfer Cr	edit Requirements	
Division: Acade	mic Affairs				
Date: June 15,	2017				

PURPOSE & KEY POINTS:

Policy 283, General Graduate Transfer Credit Requirements, describes the requirements that must be met in order to receive transfer credit for graduate courses taken at another accredited institution.

Tennessee Technological University Policy No. 283



Effective Date: July 1, 2017

Policy No: 283

Policy Name: General Graduate Transfer Credit Requirements

Policy Subject: Graduate Studies

I. Purpose

This policy describes the requirements that must be met in order to receive transfer credit for graduate courses taken at another accredited institution.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Dean of the College of Graduate Studies, with recommendations for revision presented to the Graduate Studies Executive Committee (GSEC), Academic Council, University Assembly, and the Board of Trustees.

III. Policy

- A. Students who request to transfer graduate course credits from an accredited institution to Tennessee Tech must request that the institution send official transcripts directly to TTU. Official transcripts must include all grades.
- B. The program department will determine, in its sole discretion, what transfer coursework is eligible for transfer to the student's program of study.
- C. The coursework transferred or accepted for credit toward a graduate degree must have a minimum grade of "B" in each course.
- D. For all graduate degree programs, the department will determine, in its sole discretion, the number of transfer credits it will accept, provided the department's decision is in compliance with SACSCOC Accreditation Standard 3.6.3 and any other applicable accreditation requirements.
- E. Tennessee Tech will exclude grades earned in transferred courses in the calculation of grade point averages.

IV. Interpretation

The Dean of the College of Graduate Studies or her/his designee has final authority to interpret the terms of this policy.

V. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(4) & (e)

Approvals:

Graduate Studies Executive Committee Approval: November 1, 2016

Academic Council: November 9, 2016

University Assembly: November 16, 2016

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Agenda Item Summary

Date: June 15, 2017			
Division: Student Affairs			
Agenda Item: Student Con	duct Policy and Rules		
Review	Action	No action required	

PRESENTERS: Marc Burnett

PURPOSE & KEY POINTS:

This policy and these rules describe the types of student conduct that might warrant disciplinary action, the types of disciplinary action that Tennessee Tech might take against a student, the student's options for different types of hearings, and the appeal processes.

Rules Of

Tennessee Technological University, Cookeville

CHAPTER 0240-09-01 Student Conduct

New

Table of Contents is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

Table of Contents

0240-09-01.01 Scope 0240-09-01.02 Definitions 0240-09-01.03 General Provisions 0240-09-01.04 Prohibited Conduct 0240-09-01.05 Disciplinary Sanctions 0240-09-01.06 Disciplinary Holds on Records 0240-09-01.07 Disciplinary Procedures 0240-09-01.08 Appeals

0240-09-01-.01 Scope is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.01 Scope

- (1) This rule and related policies apply both to Student or Registered Student Organization prohibited conduct on and off Tennessee Tech Property. In the case of prohibited conduct that occurs off Tennessee Tech Property, Tennessee Tech will take into account whether the prohibited conduct adversely affects the interests of Tennessee Tech, including, but not limited to, prohibited conduct that:
 - (a) Occurs in connection with a Tennessee Tech Activity, including, but not limited to, a study abroad program, clinical, internship, service learning placement, or similar program; or
 - (b) Involves another member of the Tennessee Tech community; or
 - (c) Poses a credible, serious threat to the health and safety of the Tennessee Tech community or Tennessee Tech Property.
- (2) Tennessee Tech will take into consideration the following standards when deciding whether misconduct is associated with a Registered Student Organization:
 - (a) The prohibited conduct is endorsed by the organization or any of its officers. "Endorsed by" includes, but is not limited to, the following: active or passive consent or support, having prior knowledge that the conduct was likely to occur, or helping to plan, advertise, or promote the conduct;
 - (b) The prohibited conduct took place during the course of an activity paid for by the organization or paid by members of the organization to support the activity or conduct in question;

- (c) The prohibited conduct occurred on property owned, controlled, rented, leased, or used by the organization or any of its members for an organizational event;
- (d) The prohibited conduct was related to initiation, admission into, affiliation with, or as a condition for continued membership in the organization;
- (e) One or more officers of the organization had prior knowledge or reasonably should have known the prohibited conduct would likely take place.
- (3) This policy does not apply to academic misconduct.

Authority: T.C.A. § 49-8-203 (a)(1)(D); T.C.A. § 49-8-101 (a)(2)(A).

0240-09-01-.02 Definitions is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.02 Definitions

- (1) "Student" any individual who is admitted, enrolled, or registered for credit courses at Tennessee Tech or who may no longer be enrolled or registered for credit courses, but engaged in prohibited conduct while the individual was a Student at Tennessee Tech. For the purposes of this rule, "admitted" means in attendance at Tennessee Tech on either the first day of classes, or on the first day residence halls are open, or the first day of the student orientation, advising, and registration program, whichever is earlier.
- (2) "Registered Student Organization" ("RSO") Any organization comprised primarily of currently enrolled Students that have successfully completed the registration process and otherwise complied with Tennessee Tech policies and requirements related to student organizations.
- (3) "Tennessee Tech Property" all land, buildings, facilities, grounds, structures, or any other property including but not limited to movable objects owned, leased, used, maintained, or operated by Tennessee Tech. For purposes of this rule, Tennessee Tech Property includes all streets, alleys, sidewalks, and public ways abutting such property. Tennessee Tech Property also includes computers and network systems owned, maintained, or controlled by Tennessee Tech or funded by Tennessee Tech.
- (4) "Tennessee Tech Activity" any activity on or off Tennessee Tech Property that is initiated, aided, authorized, sponsored, or supervised by Tennessee Tech.
- (5) "University Official" an employee or agent of Tennessee Tech, including but not limited to university police, faculty members and staff acting in the performance of his/her duties as well as Student employees (e.g., event staff, resident assistants, graduate or teaching assistants, etc.).

Authority: T.C.A. § 49-8-203 (a)(1)(D); T.C.A. § 49-8-101 (a)(2)(A).

0240-09-01-.03 General Provisions is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.03 General Provisions

(1) Each Student or RSO shall be responsible for his/her/its conduct from the time of admission to Tennessee Tech through the actual awarding of a degree, even though conduct may occur before classes begin or after classes end, as well as during the academic year and during periods between terms.

- (2) A Student or RSO is responsible for his/her/its guests or visitors and may be held accountable for the behavior of his/her/its guests or visitors on Tennessee Tech Property or in the handling or use of Tennessee Tech Property.
- (3) Any Student that chooses to take a leave of absence or withdraw from Tennessee Tech during any academic period prior to graduation with a pending disciplinary matter will be subject to a disciplinary hold placed on the Student's account preventing reenrollment until resolution of the conduct in question.

Authority: T.C.A. § 49-8-203 (a)(1)(D); T.C.A. § 49-8-101 (a)(2)(A).

0240-09-01-.04 Prohibited Conduct is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.04 Prohibited Conduct

- (1) Prohibited conduct includes, but is not limited to the following:
 - (a) Physical Violence: Violence of any nature within the scope of this rule other than for self-defense. This includes fighting; battery; the use of a weapon; restraining or transporting someone against his/her will; or any action that constitutes a true threat or endangers the physical health or safety of any person or causes reasonable apprehension of such harm;
 - (b) Any conduct that falls within the terms of § T.C.A. § 39-17-308 (Harassment) or T.C.A. § 39-17-315 (Stalking) or "student-on-student harassment", which means unwelcome conduct directed toward a person that is discriminatory on a basis prohibited by federal, state, or local law, and that is so severe, pervasive, and objectively offensive that it effectively bars the victim's access to educational opportunity or benefit;
 - (c) Discrimination: Any conduct that falls within the terms of any Tennessee Tech policy related to discrimination and harassment;
 - (d) Sexual Misconduct: The act of domestic violence, dating violence, sexual assault, and stalking as defined by Tennessee Tech policy;
 - (e) Hazing: Any conduct that falls within T.C.A. § 49-17-123 (a)(1), including, but not limited to, intentional or reckless act on or off Tennessee Tech Property by one (1) Student acting alone or with others that is directed against any other Student, that endangers the mental or physical health or safety of that Student or that induces or coerces a Student to endanger the Student's mental or physical health or safety;
 - (f) Retaliation: Interfering with any aspect of a disciplinary matter or disciplinary hearing, including, but not limited to threatening or intimidating a complainant or witnesses or attempting to do the same;
 - (g) Disruptive Behavior: Any individual or group behavior that unreasonably disrupts the academic environment (e.g. interferes with teaching, classroom operations, research, etc.) or unreasonably interferes with operations, events, or programs on Tennessee Tech Property or during a Tennessee Tech Activity;
 - (h) Obstruction of or Interference with Activities on Tennessee Tech Property or Facilities: Any substantial interference with or substantial obstruction of any Tennessee Tech program,

event, or facility including the following:

- Any unauthorized occupancy of facilities owned or controlled by Tennessee Tech or blockage of access to or from such facilities;
- Interference with the right of any Tennessee Tech member or other authorized person to gain access to any activity, program, event, or facilities sponsored or controlled by Tennessee Tech;
- 3. Any obstruction or delay of a public safety officer, security officer, firefighter, EMT, or any University Official;
- Participation in a demonstration that substantially impedes Tennessee Tech operations;
- 5. Obstruction of the free flow of pedestrian or vehicular traffic on Tennessee Tech Property or at a Tennessee Tech Activity;
- (i) Failure to Comply: Refusing or ignoring directions of a University Official acting in the performance of his/her duties;
- (j) Falsification: Providing information that is materially false to, or withholding necessary information from, any University Official acting in the performance of his/her duties:
- (k) Fraud: Deception, forgery, or alteration, including, but not limited to, the unauthorized use of Tennessee Tech documents, records, identification, computers, parking permits, identity theft, or any other similar actions prohibited by law;
- Theft: Unauthorized possession of Tennessee Tech Property or personal property of a member of the Tennessee Tech community;
- (m) Misuse or Damage of Property: Any act of misuse, vandalism, malicious or unwarranted damage or destruction, defacing, disfiguring or unauthorized use of property belonging to Tennessee Tech or a member of the Tennessee Tech community including, but not limited to, any personal property, fire alarms, fire equipment, elevators, telephones, Tennessee Tech keys, library materials and/or safety devices;
- (n) Trespassing or Unauthorized Entry: Unauthorized access or attempting to gain access to any Tennessee Tech Property;
- (o) Weapons: Possession or carrying, whether openly or concealed, with the intent to go armed, any firearm, explosive, explosive weapon, bowie knife, hawk bill knife, ice pick, dagger, slingshot, leaded cane, switchblade knife, blackjack, knuckles, or any other weapon of like kind, not used solely for instructional or school-sanctioned ceremonial purposes, in any Tennessee Tech building or bus, campus, grounds, recreation area, athletic field, or any other property owned, operated, or while in use by Tennessee Tech as prohibited by state law. No Student shall use a weapon or instrument to simulate a weapon in acts that endanger or threaten any person;
- (p) Hazardous Materials: Possession, ignition, or detonation of explosives, fireworks, flammable materials, ammunition, gasoline or other hazardous liquids, chemicals or hazardous materials, and any other material or item of like kind representing a potential danger to the

Tennessee Tech community;

- (q) Substance Abuse: The unlawful manufacture, distribution, possession, use or abuse of any controlled substance, illegal drug or alcohol on Tennessee Tech Property or as part of any activity sponsored by Tennessee Tech in violation of state or federal law or related Tennessee Tech policies;
- (r) Paraphernalia: The use or possession of equipment, products, or materials that are used or intended for use in the unlawful manufacture, growth, use, or distribution of any drug or controlled substance. This offense includes the violation of any local ordinance, state, or federal law concerning the unlawful possession of drug paraphernalia;
- (s) Parking or Traffic Violations: In addition to the penalties described in Tennessee Tech rules or policies related to traffic, parking, and safety and elsewhere in this rule, the possession or use of a motor vehicle on Tennessee Tech Property may be limited or revoked for any of the following:
 - 1. Possession or use of alcoholic beverages or drugs while operating a vehicle;
 - 2. Irresponsible operation of a vehicle;
 - 3. Leaving the scene of an accident;
 - 4. Failure to report an accident involving personal injury or property damage;
 - 5. Excessive violations of policies to include excessive parking citations;
 - 6. Falsifying vehicle registration or gaining such registration under false pretense; or
 - 7. Possession, use, or sale of fraudulent parking permits;
- (t) Violation of Information Technology Acceptable Use: Violation of any provision related to Tennessee Tech information technology facilities and resources as defined in related state or federal laws or Tennessee Tech policies;
- (u) Unauthorized Use of Personal Recording Devices: Use of electronic or other devices to make a photographic, audio, or video record of any person without his/her prior knowledge or consent in a violation of Tennessee Tech policies;
- (v) Invasion of Privacy: Making, or causing to be made, unauthorized video/audio recordings or photographic images of a person in a location in which that person has a reasonable expectation of privacy, without the prior effective consent of the individual, or in the case of a minor, without the prior effective consent of the minor's parent or guardian. This includes, but is not limited to, taking video or photographic images in shower/locker rooms, residence hall rooms, and restrooms, as well as any storing, sharing, and/or distributing of such unauthorized recordings/images by any means;
- (w) Violation of Student Housing Policy: Violation of any provision outlined in Tennessee Tech rules, policies and procedures related to housing;
- (x) Gambling: Unlawful gambling in any form;

- (y) Financial Irresponsibility: Failure to meet financial responsibilities to Tennessee Tech including, but not limited to, knowingly passing a worthless check or money order in payment to Tennessee Tech;
- (z) Unacceptable Conduct in Disciplinary Proceedings: Conduct at any stage of a disciplinary proceeding or investigation that is contemptuous, threatening, or disorderly, including, but not limited to:
 - 1. Failure to obey the directives of a disciplinary body or University Official in the performance of its/his/her duties;
 - 2. Falsification, distortion, or misrepresentation of information during a disciplinary proceeding;
 - 3. Disruption or interference with the orderly conduct of a disciplinary proceeding;
 - 4. Attempting to influence the impartiality of a member of a disciplinary body prior to, or during the course of, a disciplinary proceeding; or
 - Harassment, intimidation, or retaliating against any participant in the Tennessee Tech disciplinary process;
- (aa) Attempting to Violate the Student Conduct rule or related policies;
- (bb) Aiding/Abetting a Violation: Any attempt to commit any of the offenses identified as prohibited conduct, or the aiding/abetting of the commission of any of the offenses listed as such. An attempt to commit an offense is defined as the intention to commit the offense coupled with the taking of some action toward its commission. Being present during the planning or commission of any offense listed under this section will be considered as aiding and abetting. Students who anticipate or observe an offense must remove themselves from the situation and are required to report the offense to Tennessee Tech;
- (cc) Violation of Policies: Any violation of the general policies of Tennessee Tech as published in Tennessee Tech publications including, but not limited to, policies or procedures published on Tennessee Tech's web site:
- (dd) Violations of State or Federal Laws: Any violation of state or federal laws, rules, regulations, etc. proscribing conduct or establishing offenses;
- (ee) Violation of Imposed Disciplinary Sanctions: Violation of a disciplinary sanction officially imposed during a Tennessee Tech hearing proceeding.

Authority: T.C.A. § 49-8-203 (a)(1)(D); T.C.A. § 49-8-101 (a)(2)(A).

0240-09-01-.05 Disciplinary Sanctions is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.05 Disciplinary Sanctions

(1) Upon a determination by clear and convincing evidence (unless otherwise required by federal or state law, rule, or regulation) that a Student or RSO has engaged in prohibited conduct, the following disciplinary sanctions may be imposed, either singly or in combination, by the Dean of Students and/or a Tennessee Tech Judicial council:

- (a) Informal Warning: An oral or written warning to the Student or RSO found responsible for a violation when the circumstances and severity of actions do not warrant the development of an official record;
- (b) Official Warning: A written notice to the Student or RSO found responsible for a violation. The warning will serve as official notification that continuation or repetition of specified conduct will be cause for further disciplinary action;
- (c) No Contact Order: An order of no contact with any individuals who are complainants, victims or witnesses in the student conduct process. This includes, but is not limited to, verbal, written, electronic, cellular, physical, or social contact, or allowing others to make any similar contacts on a Student's behalf. An order of no contact can also be issued as an interim measure prior to the completion of the disciplinary process;
- (d) Restitution: A measure intended to compensate for the loss, damage, or injury caused by the Student or an RSO. This action may take the form of appropriate service, monetary compensation, or material replacement;
- (e) Restriction of Privileges: A restriction upon a Student or RSO's privileges for a period of time. These restrictions may include, but are not limited to denial of the following:
 - 1. The ability to represent Tennessee Tech at any event;
 - 2. Use of Tennessee Tech facilities;
 - 3. Parking privileges;
 - 4. Participation in, election to, or appointment as a member or officer of Student Government or any RSO; or
 - 5. Application for use of Tennessee Tech funds;
- (f) Educational Action: A measure intended to educate the Student or members of the RSO on the responsibilities to refrain from prohibited conduct and learn from the violation. Educational actions include, but are not limited to:
 - 1. Attendance at educational activities or substance education workshops;
 - 2. Completion of a prescribed number of community service hours;
 - 3. Participation in a counseling assessment; or
 - 4. Attendance at community education classes;
- (g) Parental or Legal Guardian Notification: Pursuant to T.C.A. § 49-7-146, Tennessee Tech is required to notify a parent or legal guardian of a Student under age twenty-one (21) if the Student "has committed a disciplinary violation with respect to the use or possession of alcohol, or a controlled substance, or a controlled substance analogue that is a violation of any federal, state, or local law, or any rule or policy of [Tennessee Tech], except as prohibited by the Federal Education Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g)."

Tennessee Tech will provide such notice if:

- 1. The student admits responsibility for engaging in the prohibited conduct; or
- 2. There is a final finding of responsibility pursuant to Tennessee Tech disciplinary procedures;
- (h) Disciplinary Probation: Continued enrollment of a Student or recognition of an RSO on probation may be conditioned upon adherence to Tennessee Tech rules and policies related to student conduct. Probation may include restrictions of privileges or any other appropriate conditions. Any conduct in further violation of Tennessee Tech rules and policies related to student conduct while on probationary status or the failure to comply with the terms of the probationary period may result in the imposition of further disciplinary action up to and including expulsion or withdrawal of recognition;
- (i) Housing Probation: Continued residence in Tennessee Tech student housing may be conditioned upon adherence to Tennessee Tech rules and policies related to student conduct as well as Tennessee Tech housing policies and requirements. Probation may include restrictions upon the activities of the resident, including any other appropriate conditions;
- (j) Interim Measures: The Dean of Students or designee may impose temporary measures prior to the beginning of a formal student conduct process. If Tennessee Tech imposes an interim measure, the Student or RSO may contest the measure following the procedures in 0240-09-01-.07 Disciplinary Procedures, Section 8. (Procedures Related to Interim Action). Interim measures may become permanent depending on the outcome of the formal disciplinary hearing. Interim measures may include, but are not limited to:
 - 1. No contact orders:
 - 2. Removal from or reassignment of housing;
 - 3. Removal from or reassignment of on campus work study or work assignments;
 - 4. Removal from or reassignment of a specific class or academic activity;
 - 5. Restriction of access to specified buildings or Tennessee Tech Property;
 - 6. Restriction of privileges; or
 - 7. Other types of temporary measures;
- (k) Interim Suspension:
 - 1. Interim suspension is the immediate removal of a Student from Tennessee Tech Property, including but not limited to, facilities, programs, privileges, classes, and premises pending a formal disciplinary hearing.
 - The Dean of Students or designee may impose an interim suspension if, after an
 individualized assessment, the Dean of Students or designee determines that the
 Student's behavior poses a significant risk to the health or safety of others that cannot be
 eliminated by other interim measures.

- 3. The Dean of Students or designee may also impose an interim suspension when a Student is determined to constitute an immediate threat to Tennessee Tech Property or a substantial disruption to classroom and/or Tennessee Tech operations.
- 4. A Student placed on interim suspension status must obtain advance permission from the Dean of Students or designee to be present on Tennessee Tech Property. The Dean of Students or designee will grant such permission only in cases where the Student has identified a legitimately necessary reason for his/her presence on campus.
- If Tennessee Tech imposes an interim suspension, the Student may contest the matter following the procedures in 0240-09-01-.07 Disciplinary Procedures, Section 8. (Procedures Related to Interim Action);
- (I) Revocation of Registered Student Organization Status: A designated period of time in which an RSO is not recognized by Tennessee Tech and does not receive designated privileges as defined by Tennessee Tech policies related to student organizations;
- (m) Suspension of Housing Contract: The separation of a Student or members of an RSO from facilities maintained by Residential Life for a temporary or definite period of time, after which the Student or RSO is eligible to return or may be conditionally allowed to return. Subsequent policy violations may result in cancellation of the housing contract(s);
- (n) Cancellation of Housing Contract: A permanent separation of the Student or RSO from facilities maintained by Residential Life. A Student or RSO dismissed from these facilities is not eligible for readmission into any Residential Life facilities maintained by Tennessee Tech;
- (o) Suspension: The separation of a Student or RSO from Tennessee Tech for a specified period of time. Suspension may be accompanied by special conditions for readmission. All Students suspended from Tennessee Tech will be issued a no trespass directive barring them from Tennessee Tech Property and all Tennessee Tech Activities. A suspended Student must submit a written request to the Dean of Students or designee at least three (3) business days, absent good cause, in advance to request permission to be present on Tennessee Tech Property or at a Tennessee Tech Activity. This request must specifically identify the nature of the official business that the suspended Student wishes to conduct as well as the locations that the Student wishes to visit:
- (p) Expulsion: A permanent separation from Tennessee Tech. The imposition of this sanction is a permanent bar to the Student's admission to, or an RSO's recognition at, Tennessee Tech. Any Student that receives this sanction will be issued a no trespass directive barring him/her from Tennessee Tech Property and all Tennessee Tech Activities;
- (q) Withholding Degree: The awarding of a degree may be withheld until all disciplinary processes are complete and all sanctions, if any, are satisfactorily completed;
- (r) Revocation of Degree: Revocation of a degree in cases when a Student has engaged in serious misconduct while enrolled, but not discovered until after graduation;
- (s) Revocation of Admission: Revocation of admission when a person previously admitted to Tennessee Tech has engaged in serious misconduct prior to the first day of classes, or on the first day residence halls are open, or the first day of the student orientation, advising, and registration program, whichever is earlier.

(t) Any alternate sanction deemed necessary and appropriate to address the prohibited conduct.

Authority: T.C.A. § 49-8-203 (a)(1)(D); T.C.A. § 49-8-101 (a)(2)(A).

0240-09-01-.06 Disciplinary Holds on Records is added to Chapter 0240-09-01 Student Conduct and or shall read as follows:

0240-09-01-.06 Disciplinary Holds on Records

- (1) Tennessee Tech may place a registration hold on a Student record when the Student has:
 - (a) Withdrawn from Tennessee Tech and a disciplinary meeting and/or proceeding is pending,
 - (b) Not responded to the Dean of Students Office's request for a meeting or a hearing, or
 - (c) Been suspended or expelled.
- (2) Tennessee Tech will not confer a degree when a Student has a pending disciplinary meeting and/or disciplinary proceeding.

Authority: T.C.A. § 49-8-203 (a)(1)(D); T.C.A. § 49-8-101 (a)(2)(A).

0240-09-01-.07 Disciplinary Procedures is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.07 Disciplinary Procedures

- (1) Responsibility for Administration
 - (a) The Dean of Students Office is responsible for matters that are within the scope of this rule and related policies. The Provost's Office is responsible for matters that fall within Tennessee Tech policies related to student academic misconduct. In situations where the conduct could fall within both areas of responsibility, the two (2) Offices will confer, decide which rule or policies will apply to the matter, and advise the Student in writing of their decision.
 - (b) Complaints related to discrimination, harassment, and sexual misconduct will be investigated in accordance with applicable Tennessee Tech policies. If Tennessee Tech determines that a discrimination, harassment, or sexual misconduct violation occurred, the Student will be subject to the disciplinary procedures outlined in this rule and related policies.
 - (c) Other than the matters listed in 0240-09-01-.07 Section 1.(b), reports of acts and incidents involving Students or RSOs should be referred to the Dean of Students' Office for investigation.
- (2) Notice and Due Process Rights
 - (a) A Student or RSO accused of any violation of this rule or related policies will receive written notice of the alleged violation. The notification letter will include a written statement of the alleged violation and description of the alleged behavior including time, date, and place of occurrence if such information is available. The Student or RSO will also receive information regarding due process rights, which includes:

- 1. The right to present his/her/its case to the appropriate disciplinary authority;
- The right to be accompanied by an advisor of choice, provided the Student or RSO consents to the release of necessary education records to the advisor. The advisor, however, may not speak on behalf of the Student or RSO in the preliminary meeting;
- 3. The right to identify witnesses who can speak on his/her/its behalf; and
- 4. The right to review and address any information that is used by Tennessee Tech in a disciplinary proceeding.
- (b) Upon receipt of the notification letter, the Student or RSO must contact the Dean of Students Office within forty-eight (48) hours to schedule a preliminary meeting. Failure to do so will result in a disciplinary hold placed on the Student's account or in the case of an RSO, suspension of privileges.

(3) Preliminary Meeting

- (a) During the preliminary meeting with the Dean of Students, the Student or RSO will have the opportunity to contest the alleged violation and present information.
- (b) The Student or RSO has the right to be accompanied by an advisor of choice, provided the Student or RSO consents to the release of necessary education records to the advisor. The advisor, however, may not speak on behalf of the Student or RSO in the preliminary meeting.
- (c) The Dean of Students may interview potential witnesses or victims necessary to conduct a thorough investigation of the alleged violation.
- (d) Following the preliminary meeting and investigation of the complaint, the Dean of Students will determine if sufficient information exists for the disciplinary process to continue.
 - If the Dean of Students concludes a violation did not occur, the conduct matter will be closed.
 - If the Dean of Students determines there is sufficient information to proceed with the disciplinary process, the Student or RSO will have a hearing regarding the alleged violation.
 - 3. If the Dean of Students determines the alleged misconduct does not warrant consideration of suspension, expulsion, or revocation of degree or credential of a Student or revocation of registration of an RSO, the Student or RSO will have a hearing with the Dean of Students following the procedures in Section 6 (Hearings Before the Dean of Students).
- (4) Hearing Options in Cases of Possible Suspension, Expulsion, or Revocation of Degree or RSO Registration
 - (a) If the Dean of Students determines the alleged misconduct could warrant consideration of suspension, expulsion or revocation of degree or credential of a Student or revocation of registration of an RSO, the Student or RSO will have the opportunity to:

- Contest the alleged violation(s) under the Uniform Administration Procedures Act (UAPA) in accordance with provisions outlined in the Uniform Administrative Procedures Act, Tennessee Code Annotated § 4-5-301 et seq. and related rules; or,
- Waive a hearing pursuant to UAPA and choose a hearing before the Dean of Students; or.
- 3. Waive a UAPA hearing and choose a hearing before the Judicial Council.
- (5) Hearings before the Dean of Students
 - (a) The Dean of Students will follow the procedures described in this section.
 - 1. The hearing shall be conducted consistent with the following Student or RSO rights:
 - (i) The right to receive notice described in 0240-09-01-.07 Section 2 (Notice and Due Process Rights) prior to the hearing;
 - (ii) The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the written notice;
 - (iii) The right to be accompanied by an advisor of choice, provided the Student or RSO consents to the release of necessary education records to the advisor. The advisor, however, may not speak on behalf of the Student in the hearing. An advisor may:
 - (I.) Address questions of procedure to the Dean of Students to the extent that the questions do not interfere with the orderly proceeding of the hearing; and
 - (II.) Request a recess to confer in private with the Student or RSO.
 - (iv) The right to speak on his/her/its behalf, to call witnesses, to question all witnesses, to present evidence, to challenge the admissibility of evidence; and
 - (v) The right to remain silent in a hearing.
 - 2. Formal rules of evidence shall not be applicable. The Dean of Students may exclude evidence which, in his/her sole judgment, is immaterial, irrelevant, unduly repetitious, unduly prejudicial, etc.
 - 3. The Dean of Students shall determine responsibility using the clear and convincing standard of proof unless otherwise required by federal or state law, rule, regulation, or Tennessee Tech policies.
 - The Dean of Students shall issue a written decision that includes his/her findings and conclusions within three (3) business days after the conclusion of the hearing and all evidence is submitted.
 - 5. The Student or RSO will be advised in writing of the decision and all sanctions imposed as a result of the disciplinary hearing via Tennessee Tech email account and via the contact address on record.

- 6. Any sanction imposed as a result of a hearing before the Dean of Students will be effective immediately upon notification to the Student or RSO.
- (6) Hearings before the Judicial Council
 - (a) The Judicial Council is comprised of six (6) faculty members, two (2) administrators, and six (6) Students. The Dean of Students serves as an ex-officio member. Faculty members of the Judicial Council are appointed for a two (2) year term by the Tennessee Tech president. Student members of the Judicial Council are appointed for a one (1) year term by the President of the Student Government Association.
 - (b) The Chairperson shall be elected by the Judicial Council membership on an annual basis.
 - (c) A minimum of seven (7) members of the Judicial Council are required to hear a disciplinary case, composed of at least three (3) Students and four (4) faculty members, unless otherwise agreed by the parties.
 - (d) The Dean of Students will train and advise all members of the Judicial Council regarding Tennessee Tech hearing procedures on an annual basis or as necessary.
 - (e) The hearing shall be conducted consistent with the following Student or RSO rights:
 - 1. The right to receive notice described in 0240-09-01-.07 Section 2 (Notice and Due Process Rights) prior to the hearing.
 - 2. The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the written notice.
 - 3. The right to be accompanied by an advisor of choice, provided the Student or RSO consents to the release of necessary education records to the advisor. The advisor, however, may not speak on behalf of the Student in the hearing. An advisor may:
 - (i) Address questions of procedure to the Dean of Students to the extent that the questions do not interfere with the orderly proceeding of the hearing; and
 - (ii) Request a recess to confer in private with the Student or RSO.
 - 4. The right to speak on his/her/its behalf, to call witnesses, to question all witnesses, to present evidence, to challenge the admissibility of evidence; and
 - 5. The right remain silent in a hearing; and
 - 6. The right to challenge the seating of any Judicial Council member for good cause. The dismissal of a challenged hearing board member will be determined at the discretion of the Judicial Council chairperson. If the chairperson is challenged, s/he may be excused by a majority vote of the Judicial Council.
 - (f) All hearings shall be closed unless the respondent and the complainant both elect in writing to have an open hearing.

- (g) Formal rules of evidence shall not be applicable. The Judicial Council may exclude evidence which, in its judgment, is immaterial, irrelevant, unduly repetitious, or unduly prejudicial, etc.
- (h) The Judicial Council shall determine responsibility using the clear and convincing standard of proof unless otherwise required by federal or state law, rule, regulation, or Tennessee Tech policies.
- (i) The Judicial Council shall issue a written decision that includes its findings and conclusions within three (3) business days after the conclusion of the hearing and all evidence is submitted.
- (j) The Student or RSO will be advised in writing of the decision and all sanctions imposed as a result of the disciplinary hearing via Tennessee Tech email account and via the contact address on record.
- (k) Any sanction imposed as a result of a Tennessee Tech hearing will be effective immediately upon notification to the Student or RSO.
- (7) Procedures Related to Interim Measures or Interim Suspensions
 - (a) When the Dean of Students determines that interim measures or an interim suspension are required for the health and safety of the Tennessee Tech community and/or property, the Student or RSO will be given an opportunity for an informal hearing with the Dean of Students to contest the interim measure;
 - (b) The informal hearing will be held within five (5) calendar days, absent good cause;
 - (c) The information presented at the hearing will be limited to that which is relevant to the basis asserted for imposition of the interim measures; and
 - (d) The Student or RSO will be entitled to formal hearing in accordance with the procedures described in 0240-09-01-.07 Section 2 (Notice and Due Process Rights) before a permanent measure is imposed.

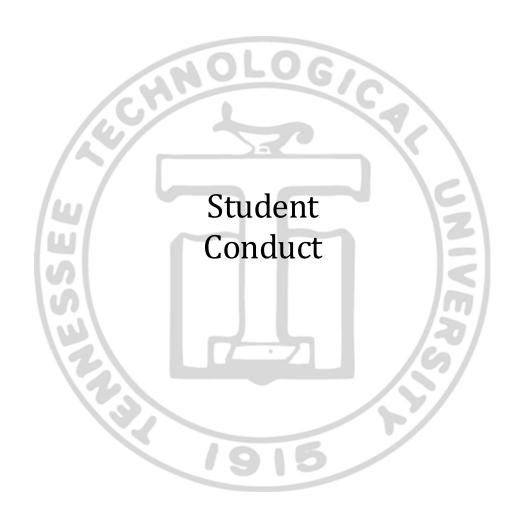
0240-09-01-.08 Appeals is added to Chapter 0240-09-01 Student Conduct and shall read as follows:

0240-09-01-.08 Appeals

- (1) A Student or RSO may appeal a sanction imposed by the Dean of Students or Judicial Council following the procedures in this section.
- (2) The Student Conduct Appeal Committee will hear all appeals.
 - (a) The Student Conduct Appeal Committee is comprised of one (1) faculty member, one (1) administrator, and one (1) student.
 - (b) A pool of eligible committee members will be identified by the Dean of Students annually to ensure a quorum can be achieved throughout the year.

- (3) A Student or RSO must file a written appeal with the Dean of Students within ten (10) calendar days from the date of the decision letter, absent good cause.
- (4) The bases for an appeal are as follows:
 - (a) New information, not available at the time of the original hearing, has become available and would substantially alter the outcome of the hearing;
 - (b) Tennessee Tech failed to conduct the disciplinary process in accordance with its procedures in such a way as to disadvantage the Student or RSO; or
 - (c) The sanction is disproportionate to the violation.
- (5) The Student Conduct Appeal Committee will consider the appeal based on the record and statements submitted by the Student or RSO and the Dean of Students. The Student Conduct Appeal Committee may request the Student or RSO and the Dean of Students to appear before the Student Conduct Appeal Committee to clarify any questions regarding the appeal record or statements.
- (6) The Student Conduct Appeal Committee will make its decision within ten (10) business days of receipt of all relevant information. This period may be extended in circumstances where it is not possible to establish a quorum (e.g. holidays, breaks, etc.).
- (7) The Student Conduct Appeal Committee may take the following action(s) upon consideration of the merit of the appeal:
 - (a) Affirm the original decision;
 - (b) Reverse the original decision;
 - (c) Reduce the sanction prescribed in the original decision; and/or
 - (d) Remand the matter to the original hearing body for reconsideration.
- (8) The standard of proof required to overturn a finding of a violation shall be the clear and convincing evidence and the Student or RSO bears the burden of proof.
- (9) A Student or RSO may file a written appeal of the Student Conduct Appeal Committee's decision with the Vice President for Student Affairs. The Student or RSO must file a written appeal with the Vice President for Student Affairs' office within ten (10) business days of the date of the decision letter. The appeal must state the reasons why the Student or RSO believes the decision should be overturned. After consideration of the appeal, the record, and any other relevant information, the Vice President for Student Affairs will issue a written decision within five (5) business days of receipt of the appeal and all relevant material.
- (10)The Vice President for Student Affairs' decision is final, except in cases where a Student has been expelled or the Student's degree has been revoked. In those cases, the Student may appeal the Vice President for Student Affairs' decision to the President. The Student must file a written appeal with the President's office within ten (10) business days of the date of the decision letter. The appeal must state the reasons why the Student believes the decision should be overturned. After consideration of the appeal, the record, and any other relevant information, the President will issue a written decision as soon as reasonably possible.

Tennessee Technological University Policy No. 302



Effective Date: July 1, 2017

Policy No: 302

Policy Name: Student Conduct

Policy Subject: Policy to Govern Student Conduct

Date Revised: March 29, 2017

I. Purpose

The purpose of this policy is to describe standards of conduct and adjudication processes for student disciplinary matters.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Dean of Students with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Scope

- **A.** This policy applies to Student or Registered Student Organization prohibited conduct on and off Tennessee Tech property. In the case of prohibited conduct that occurs off Tennessee Tech Property, Tennessee Tech will take into account whether the prohibited conduct adversely affects the interests of Tennessee Tech, including, but not limited to, prohibited conduct that:
- 1. Occurs in connection with a Tennessee Tech Activity, including, but not limited to, a study abroad program, clinical, internship, service learning placement, or similar program or,
- 2. Involves another member of the Tennessee Tech community or,
- **3.** Poses a credible, serious threat to the health and safety of the Tennessee Tech community or Tennessee Tech Property.
- **B.** Tennessee Tech will take into consideration the following standards when deciding whether misconduct is associated with a Registered Student Organization:
- 1. The prohibited conduct is endorsed by the organization or any of its officers ("endorsed by" includes, but is not limited to, the following: active or passive consent or support, having prior knowledge that the conduct was likely to occur, or helping to plan, advertise, or promote the conduct);

- **2.** The prohibited conduct occurred on property owned, controlled, rented, leased, or used by the organization or any of its members for an organizational event;
- **3.** The prohibited conduct was related to initiation, admission into, affiliation with, or as a condition for continued membership in the organization;
- **4.** One or more officers of the organization had prior knowledge or reasonably should have known the prohibited conduct would likely take place.
- **C.** This policy does not apply to academic misconduct.

IV. Definition(s)

- **A.** Student any individual who is admitted, enrolled, or registered for credit courses at Tennessee Tech or who may no longer be enrolled or registered for credit courses, but engaged in prohibited conduct while the individual was a Student at Tennessee Tech. For the purposes of this policy, "admitted" means in attendance at Tennessee Tech on either the first day of classes, or on the first day residence halls are open, or the first day of the student orientation, advising, and registration program, whichever is earlier.
- **B.** Registered Student Organization (RSO) any organization comprised primarily of currently enrolled Students that have successfully completed the registration process and otherwise complied with Policy 315 (Student Organizations).
- C. Tennessee Tech Property –all land, buildings, facilities, grounds, structures, or any other property, including but not limited to movable objects, owned, leased, used, maintained, or operated by Tennessee Tech. For purposes of this policy, Tennessee Tech Property includes all streets, alleys, sidewalks, and public ways abutting such property. Tennessee Tech Property also includes computers and network systems owned, maintained, or controlled by Tennessee Tech or funded by Tennessee Tech.
- **D.** Tennessee Tech Activity any activity on or off Tennessee Tech Property that is initiated, aided, authorized, sponsored, or supervised by Tennessee Tech.
- **E.** University Official an employee or agent of Tennessee Tech, including, but not limited to, university police, faculty members and staff acting in the performance of his/her duties, as well as Student employees (e.g., event staff, resident assistants, graduate or teaching assistants, etc.).

V. General Provisions

- **A.** Each Student shall be responsible for his/her/its conduct from the time of admission to Tennessee Tech through the actual awarding of a degree, even though conduct may occur before classes begin or after classes end, as well as during the academic year and during periods between terms.
- **B.** A Student or RSO is responsible for his/her/its guests or visitors and may be held accountable for the behavior of his/her/its guests or visitors on Tennessee Tech Property or in the handling or use of Tennessee Tech Property.
- **C.** Any Student that chooses to take a leave of absence or withdraw from Tennessee Tech during any academic period prior to graduation with a pending disciplinary matter will be subject to a disciplinary hold placed on the Student's account preventing reenrollment until resolution of the conduct in question.

VI. Prohibited Conduct

- **A.** Prohibited conduct includes, but is not limited to the following:
- 1. Any conduct that falls within the terms of § T.C.A. 39-17-308 (Harassment) or T.C.A. § 39-17-315 (Stalking) or "student-on-student harassment", which means unwelcome conduct directed toward a person that is discriminatory on a basis prohibited by federal, state, or local law, and that is so severe, persasive, or objectively offensive that it effectively bars the victim's access to educational opportunity or benefit;
- 2. Discrimination: Any conduct that falls within the current terms of Policy No. 006 (Nondiscrimination), Policy 141 (Discrimination and Harassment-Complaint and Investigation Procedure), or similar policies;
- **3.** Sexual Misconduct: The act of domestic violence, dating violence, sexual assault, and stalking as defined by TTU Policy No. 143 (Sexual Misconduct);
- 4. Hazing: Any conduct that falls within T.C.A. § 49-17-123(a)(1), including, but not limited to, intentional or reckless act on or off Tennessee Tech Property by one (1) Student acting alone or with others that is directed against any other Student, that endangers the mental or physical health or safety of that Student or that induces or coerces a Student to endanger the Student's mental or physical health or safety;

- **5.** Retaliation: Interfering with any aspect of a disciplinary matter or disciplinary hearing, including, but not limited to threatening or intimidating a complainant or witnesses or attempting to do the same;
- **6.** Disruptive Behavior: Any individual or group behavior that unreasonably disrupts the academic environment (e.g. interferes with teaching, classroom operations, or research) or unreasonably interferes with operations, events, or programs on Tennessee Tech Property or during a Tennessee Tech Activity;
- 7. Obstruction of or Interference with Activities on Tennessee Tech Property or Facilities: Any substaintial interference with or substantial obstruction of any Tennessee Tech program, event, or facility including the following:
 - **a.** Any unauthorized occupancy of facilities owned or controlled by Tennessee Tech or blockage of access to or from such facilities.
 - **b.** Interference with the right of any Tennessee Tech member or other authorized person to gain access to any activity, program, event, or facilities sponsored or controlled by Tennessee Tech,
 - **c.** Any obstruction or delay of a Tennessee Tech police officer, public safety officer, security officer, firefighter, EMT, or any University Official,
 - **d.** Participation in a demonstration that substantially impedes Tennessee Tech operations; or
 - **e.** Obstruction of the free flow of pedestrian or vehicular traffic on Tennessee Tech Property or at a Tennessee Tech Activity.
- **8.** Failure to Comply: Refusing or ignoring directions of Tennessee Tech police or University Officials acting in the performance of this/her duties;
- **9.** Falsification: Providing information that is materially false to, or withholding necessary information from, any University Official acting in the performance of his/her duties;
- **10.** Fraud: Deception, forgery, alteration including, but not limited to, the unauthorized use of Tennessee Tech documents, records, identification, computers, parking permits, identity theft, or any other similar actions prohibited by law;
- **11.** Theft: Unauthorized possession of Tennessee Tech Property or personal property of a member of the Tennessee Tech community;

- 12. Misuse of or Damage of Property: Any act of misuse, vandalism, malicious or unwarranted damage or destruction, defacing, disfiguring or unauthorized use of property belonging to Tennessee Tech or a member of the Tennessee Tech community including, but not limited to, any personal property, fire alarms, fire equipment, elevators, telephones, Tennessee Tech keys, library materials and/or safety devices;
- **13.** Trespassing and Unauthorized Entry: Unauthorized access or attempting to gain access to any Tennessee Tech Pacility;
- 14. Weapons: Possession or carrying, whether openly or concealed, with the intent to go armed, any firearm, explosive, explosive weapon, bowie knife, hawk bill knife, ice pick, dagger, slingshot, leaded cane, switchblade knife, blackjack, knuckles, or any other weapon of like kind, not used solely for instructional or school-sanctioned ceremonial purposes, in any Tennessee Tech building or bus, campus, grounds, recreation area, athletic field, or any other property owned, operated, or while in use by Tennessee Tech in accordance with TTU Policy 422 (Weapons on Tennessee Tech Property). No Student shall use a weapon or instrument to simulate a weapon in acts that endanger or threaten any person;
- **15.** Hazardous Materials: Possession, ignition, or detonation of explosives, fireworks, flammable materials, ammunition, gasoline, chemicals, or hazardous liquids, chemicals or hazardous materials, and any other material or item of like kind representing a potential danger to the Tennessee Tech community;
- **16.** Substance Abuse: The unlawful manufacture, distribution, possession, use or abuse of any controlled substance, illegal drug or alcohol on Tennessee Tech Property or as part of any activity sponsored by Tennessee Tech in violation of TTU Policy 172 (Substance Abuse Prevention);
- 17. Paraphernalia: The use or possession of equipment, products, or materials that are used or intended for use in the unlawful manufacture, growth, use, or distribution of any drug or controlled substance. This offense includes the violation of any local ordinance, state, or federal law concerning the unlawful possession of drug paraphernalia;
- **18.** Parking or Traffic Violations: In addition to the penalties described in TTU Policy 415 (Parking and Traffic Enforcement) and elsewhere in this policy, the possession or use of a motor vehicle on Tennessee Tech Property can be limited or revoked for any of the following:

- **a.** Possession or use of alcoholic beverages or drugs while operating a vehicle;
- **b.** Irresponsible operation of a vehicle;
- c. Leaving the scene of an accident;
- **d.** Failure to report an accident involving personal injury or property damage;
- **e.** Excessive violations of policies to include excessive parking citations:
- **f.** Falsifying vehicle registration or gaining such registration under false pretense;
- **g.** Possession, use, or sale of fraudulent parking permits.
- **19.** Violation of Information Technology Acceptable Use Policy: Violation of any provision related to Tennessee Tech information technology facilities and resources as defined in TTU Policy 801 (Information Technology Acceptable Use);
- **20.** Unauthorized Use of Personal Recording Devices: Use of electronic or other devices to make a photographic, audio, or video record of any person without his/her prior knowledge or consent in a violation of TTU Policy 180 (Personal Recording Devices);
- 21. Invasion of Privacy: Making, or causing to be made, unauthorized video/audio recordings or photographic images of a person in a location in which that person has a reasonable expectation of privacy, without the prior effective consent of the individual, or in the case of a minor, without the prior effective consent of the minor's parent or guardian. This includes, but is not limited to, taking video or photographic images in shower/locker rooms, residence hall rooms, and restrooms, as well as any storing, sharing, and/or distributing of such unauthorized recordings/images by any means;
- **22.** Violation of Student Housing Policy: Violation of any provision outlined in TTU Policy 305 (Student Housing Policy);
- 23. Gambling: Unlawful gambling in any form;
- **24.** Financial Irresponsibility: Failure to meet financial responsibilities to Tennessee Tech including, but not limited to, knowingly passing a worthless check or money order in payment to Tennessee Tech;
- **25.** Unacceptable Conduct in Disciplinary Proceedings: Any conduct at any stage of a disciplinary proceeding or investigation that is contemptuous, threatening, or disorderly, including:

- **a.** Failure to obey the directives of a disciplinary body or Tennessee Tech official(s) in the performance of their duties;
- **b.** Falsification, distortion or misrepresentation of information during a disciplinary proceeding;
- **c.** Disruption or interference with the orderly conduct of a disciplinary proceeding;
- **d.** Attempting to influence the impartiality of a member of a disciplinary body prior to, or during the course of, a disciplinary proceeding;
- **e.** Harassment, intimidation, or retaliating against of any participant in the Tennessee Tech disciplinary process;
- **26.** Attempting to Violate the Student Conduct policy, or;
- 27. Aiding/Abetting a Violation: Any attempt to commit any of the offenses identified as prohibited conduct, or the aiding/abetting of the commission of any of the offenses listed as such. An attempt to commit an offense is defined as the intention to commit the offense coupled with the taking of some action toward its commission. Being present during the planning or commission of any offense listed under this section will be considered as aiding and abetting. Students who anticipate or observe an offense must remove themselves from the situation and are required to report the offense to Tennessee Tech;
- **28.** Violation of Policies: Any violation of the general policies of Tennessee Tech as published in an Tennessee Tech publications including, but not limited to Tennessee Tech's Policy Central web site;
- **29.** Violations of State or Federal Laws: Any violation of state or federal laws, rules, regulations proscribing etc. conduct or establishing offenses;
- **30.** Violation of Imposed Disciplinary Sanctions: Violation of a disciplinary sanction officially imposed during a Tennessee Tech hearing proceeding.

VII. Disciplinary Sanctions:

A. Upon a determination by clear and convincing evidence (unless otherwise required by federal or state law, rule, regulation) that a Student or RSO has engaged in prohibited conduct, the following disciplinary sanctions may be imposed, either singly or in combination, by the Dean of Students and/or a Tennessee Tech Judicial council:

- 1. Informal Warning: An oral or written warning to the Student or RSO found responsible for a violation of this policy when the circumstances and severity of actions do not warrant the development of an official Student conduct record;
- 2. Official Warning: A written notice to the Student or RSO found responsible for a violation. The warning will serve as official notification that continuation or repetition of specified conduct will be cause for further disciplinary action;
- **3.** No Contact Order: An order of no contact with any individuals who are complainants, victims or witnesses in the student conduct process. This includes, but is not limited to, verbal, written, electronic, cellular, physical or social contact, or allowing others to make any similar contacts on a Student's behalf. An order of no contact can also be issued as an interim sanction prior to the completion of the disciplinary process;
- **4.** Restitution: A measure intended to compensate for the loss, damage, or injury caused by the Student or an RSO. This action may take the form of appropriate service, monetary compensation, or material replacement;
- **5.** Restriction of Privileges: A restriction upon a Student or RSO's privileges for a period of time. These restrictions may include, but are not limited to denial of the following:
 - **a.** The ability to represent Tennessee Tech at any event;
 - **b.** Use of Tennessee Tech facilities;
 - **c.** Parking privileges;
 - **d.** Participate in, be elected or appointed as a member or officer of Student, Government or any RSO;
 - e. Application for use of Tennessee Tech funds.
- 6. Educational Action: A measure intended to educate the Student or members of the RSO on the responsibilities to refrain from prohibited conduct and learn from the violation. Educational actions include, but are not limited to:
 - **a.** Attendance at educational activities or substance education workshops;
 - **b.** Completion of a prescribed number of community service hours:
 - **c.** Participation in a counseling assessment; or
 - **d.** Attendance at community education classes;

- 7. Parental or Legal Guardian Notification: Pursuant to T.C.A. § 49-7-146, Tennessee Tech is required to notify a parent or legal guardian of a Student under age twenty-one (21) if the Student "has committed a disciplinary violation with respect to the use or possession of alcohol, a controlled substance, or a controlled substance analogue that is a violation of any federal, state, or local law, or any rule or policy of [Tennessee Tech], except as prohibited by the Federal Education Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g)." Tennessee Tech will provide such notice if:
 - **a.** The Student admits responsibility for engaging in the prohibited conduct; or
 - **b.** There is a final finding of responsibility pursuant to the disciplinary procedures;
- **8.** Disciplinary Probation: Continued enrollment of a Student or recognition of an RSO on probation may be conditioned upon adherence to this policy. Any Student or RSO placed on probation will be notified in writing of the terms and length of the probation. Probation may include restrictions of privileges or any other appropriate conditions. Any conduct in further violation of this policy while on probationary status or the failure to comply with the terms of the probationary period may result in the imposition of further disciplinary action up to and including expulsion or withdrawal of recognition;
- 9. Housing Probation: Continued residence in Tennessee Tech student housing may be conditioned upon adherence to Tennessee Tech rules and policies relatd to Student conduct as well as Tennessee Tech housing policies Probation may include restrictions upon the activities of the resident, including any other appropriate conditions; Interim Measures: The Dean of Students or designee may impose temporary measures prior to the beginning of a formal student conduct process. If Tennessee Tech imposes an interim measure, the Student or RSO may contest the sanction following the procedures in Section I. (Procedures Related to Interim Action). Interim measures may become permanent depending on the outcome of the formal disciplinary hearing. Interim sanctions may include, but are not limited to:
 - a. No contact orders;
 - **b.** Removal from or reassignment of housing;
 - **c.** Removal from or reassignment of on campus work study and work assignments;
 - **d.** Removal from or reassignment of a specific class or academic activity;
 - **e.** Restriction of access to specified buildings or Tennessee Tech Property;
 - **f.** Restriction of privileges; or
 - g. Other types of temporary measures.

10. Interim Suspension:

- **a.** Interim suspension is the immediate removal of a Student from Tennessee Tech Property, including but not limited to, facilities, programs, privileges, classes, and premises pending a formal disciplinary hearing.
- **b.** The Dean of Students or designee may impose an interim suspension if, after an individualized assessment, the Dean of Students or designee determines that the Student's behavior poses a significant risk to the health or safety of others that cannot be eliminated by interim measures.
- c. The Dean of Students or designee may also impose an interim suspension when a Student is determined to constitute an immediate threat to Tennessee Tech Property or a substantial disruption to classroom and/or Tennessee Tech operations.
- d. A Student placed on interim suspension status must obtain advance permission from the Dean of Stidemts or designee to be present on Tennessee Tech Property. The Dean of Students or designee will grant such permission only in cases where the Student has identified a legitimately necessary reason for his/her presence on campus.
- **e.** If Tennessee Tech imposes an interim suspension, the Student may contest the sanction following the procedures in Section I. (Procedures Related to Interim Action).
- 11. Revocation of Registered Student Organization Status: A designated period of time in which an RSO is not recognized by Tennessee Tech and does not receive designated privileges as defined by TTU Policy 315 (Student Organizations);
- 12. Suspension of Housing Contract: The separation of a Student or members of an RSO from facilities maintained by Residential Life for a temporary or definite period of time, after which the Student or RSO is eligible to return or may be conditionally allowed to return. Subsequent policy violations may result in cancellation of housing contract(s);
- 13. Cancellation of Housing Contract: A permanent separation of the Student or RSO from facilities maintained by Residential Life. A Students or RSO dismissed from these facilities is not be eligible for readmission into any Residential Life facilities maintained by Tennessee Tech;

- 14. Suspension: The separation of a Student or RSO from Tennessee Tech for a specified period of time. Suspension may be accompanied by special conditions for readmission. All Students suspended from Tennessee Tech will be issued a no trespass directive barring them from Tennessee Tech Property and all Tennessee Tech Activities. A suspended Student must submit a written request to the Dean of Students or designee within three (3) business days, absent good cause, in advance to request permission to be present on Tennessee Tech Property or at a Tennessee Tech Activity. This request must specifically identify the nature of the official business that the suspended Student wishes to conduct as well as the locations that the Student wishes to visit;
- 15. Explusion: A permanent separation from Tennessee Tech. The imposition of this sanction is a permanent bar to the Student's admission to, or an RSO's recognition at, Tennessee Tech. Any Student that receives this sanction will be issued a no trespass directive barring him/her from Tennessee Tech Property and all Tennesee Tech Activities;
- **16.** Withholding Degree: The awarding of a degree may be withheld until all disciplinary processes are complete and all sanctions, if any, are satisfactorily completed;
- **17.** Revocation of Degree: Revocation of a degree in cases when a Student has engaged in serious misconduct while enrolled, but not discovered until after graduation;
- **18.** Revocation of Admission: Revocation of admission when a person previously admitted to Tennessee Tech has engaged in serious misconduct prior to the first day of classes, or on the first day residence halls are open, or the first day of the student orientation, advision, and registration program, whichever is earlier;
- **19.** Any alternate sanction deemed necessary and appropriate to address the prohibited conduct.

VIII. Disciplinary Holds on Records

- **A.** Tennessee Tech may place a registration hold on a Student record when the Student has:
- 1. Withdrawn from Tennessee Tech and a disciplinary meeting and/or proceeding is pending,
- **2.** Not responded to the Dean of Students Office's request for a meeting or a hearing,
- **3.** Been suspended or expelled.

B. Tennessee Tech will not confer a degree when a Student has a pending disciplinary meeting and/or disciplinary proceeding.

IX. Disciplinary Procedures

A. Responsibility for Administration

- 1. The Dean of Students Office is responsible for matters that are within the scope of this policy. The Provost's Office is responsible for matters that fall within the scope of TTU Policy 217 (Student Academic Misconduct). In situations where the conduct could fall within the scope of TTU Policy 302 and TTU Policy 217, the two Offices will confer, decide which policy to apply to the matter, and advise the Student in writing of their decision.
- 2. Complaints related to sexual misconduct will be investigated in accordance with TTU Policy 143 (Sexual Misconduct) and complaints related to discrimination and/or harassment will be investigated in accordance with TTU Policy 141 (Discrimination and Harassment—Complaint and Investigation Procedure). If Tennessee Tech determines that a policy violation occurred as a result of the processes outlined in TTU Policy 141 and/or TTU Policy 143, the Student will be subject to the disciplinary procedures outlined in this policy.
- **3.** Other than the matters listed above in Section A, reports of acts and incidents involving Students or RSOs should be referred to the Dean of Students Office for investigation.

B. Notice and Due Process Rights

1. A Student or RSO accused of any violation of this policy will be given written notice of the alleged violation. The notification letter will include a written statement of the alleged violation and description of the alleged behavior including time, date and place of occurrence if such information is available. The Student or RSO will also receive information regarding Student due process rights, which include:

- **a.** The right to present his/her case to the appropriate disciplinary authority;
- **b.** The right to be accompanied by an advisor of choice, provided the Student or RSO consents to sign a release of nessesary education records to the advisor. The advisor, however may not speak on behalf of the Student or RSO in the preliminary meeting;
- c. The right to identify witnesses who can speak on his/her behalf; and
- **d.** The right to review and address any information that is used by Tennessee Tech in a disciplinary proceeding;
- 2. Upon receipt of the notification letter, the Student or RSO must contact the Dean of Students Office within forty-eight (48) hours to schedule a preliminary meeting. Failure to do so will result in a disciplinary hold placed on the Student's account or in the case of an RSO, suspension of privileges.

C. Preliminary Meeting

- 1. During the preliminary meeting with the Dean of Students, the Student or RSO will have the opportunity to contest the alleged violation of this policy and present information.
- 2. The accused Student or RSO has the right to be accompanied by an advisor of their choice, provided the Student consents to the release of necessary education records to the advisor. The advisor, however may not speak on behalf of the Student or RSO in the preliminary meeting.
- **3.** The Dean of Students may interview potential witnesses or victims necessary to conduct a thorough investigation of the alleged violation.
- **4.** Following the preliminary meeting and investigation of the complaint, the Dean of Students will determine if sufficient information exists for the disciplinary process to continue.
 - a. If the Dean of Students concludes a violation did not occur, the conduct matter will be closed.
 - b. If the Dean of Students concludes there is sufficient information to proceed with the disciplinary process, the Student or RSO will have a hearing regarding the alleged violation.
 - c. If the Dean of Students determines the alleged misconduct does not warrant consideration of suspension, expulsion, or revocation of degree or credential of a Student or revocation of registration of an RSO, the Student or RSO will have a hearing with the Dean of Students following the procedures in Section G.

D. Hearing Options in Cases of Possible Suspension, Expulsion, or Revocation Degree or Revocation of RSO Registration

- 1. If the Dean of Students determines the alleged misconduct could warrant consideration of suspension, expulsion or revocation of degree or credential of a Student or revocation of registration of an RSO, the Student or RSO will have the opportunity to:
 - a. Contest the alleged violation(s) under the Uniform Administration Procedures Act (UAPA) in accordance with provisions outlined in the Uniform Administrative Procedures Act, Tennessee Code Annotated § 4-5-301 et seq. and related rules; or,
 - **b.** Waive a hearing pursuant to UAPA and choose a hearing before the Dean of Students; or,
 - **c.** Waive a UAPA hearing and choose a hearing before the Judicial Council.

E. Hearings before the Dean of Students

- 1. The Dean of Students will follow the procedures described in this section:
 - **a.** The hearing shall be conducted consistent with the following Student or RSO rights:
 - i. The right to receive notice described in Section B prior to the hearing.
 - ii. The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the writeen notice;
 - iii. The right to be accompanied by an advisor of their choice, provided the Student consents to sign a release of necessary education records. The advisor, however may not speak on behalf of the Student in the hearing. An advisor may:
 - (a) Address questions of procedure to the Dean of Students to the extent that the questions do not interfere with the orderly proceeding of the hearing; and,
 - (b) Request a recess to confer in private with the Student or RSO.
 - iv. The right to speak on his/her/its behalf, to call witnesses and to question all witnesses, and to present evidence, and to challenge the admissibility of evidence; and
 - v. The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the written notice. The right to speak or remain silent in a hearing.

- **b.** Formal rules of evidence shall not be applicable. The Dean of Students may exclude evidence which, in his/her sole judgment, is immaterial, irrelevant, unduly repetitious, or unduly prejudicial, etc.
- **c.** The Dean of Students shall determine responsibility using the clear and convincing standard of proof unless otherwise required by federal or state law, rule, regulation, or Tennessee Tech policies.
- **d.** The Dean of Students shall issue a written decision that includes his/her findings and conclusions within three (3) business days after the conclusion of the hearing and all evidence is submitted.
- e. The Student or RSO will be advised in writing of the decision and all sanctions imposed as a result of the disciplinary hearing via Tennessee Tech email account and via the contact address on record.
- **f.** Any sanction imposed as a result of a hearing before the Dean of Students will be effective immediately upon notification of the Student or RSO.

F. Hearings before the Judicial Council

- 1. The Judicial Council is comprised of six (6) faculty members, two (2) administrators, and six (6) Students. The Dean of Students serves as an exofficio member. Faculty members of the Judicial Council are appointed for a two (2) year term by the Tennessee Tech president. Student members of the Judicial Council are appointed for a one (1) year term by the President of the Student Government Association.
- **2.** The Chairperson will be elected by the Judicial Council membership on an annual basis.
- **3.** A minimum of seven (7) members of the Judicial Council are required to hear a disciplinary case, composed of at least three (3) Students and four (4) faculty members.
- **4.** The Dean of Students will train and advise all members of the Judicial Council regarding Tennessee Tech hearing procedures on an annual basis or as necessary.
- **5.** The hearing shall be conducted consistent with the following Student or RSO rights:
 - **a.** The right to receive notice described in Section B prior to the hearing.
 - **b.** The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the writeen notice:
 - **c.** The right to receive notice described in Section B prior to the hearing.

- **d.** The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the writeen notice;
- e. The right to be accompanied by an advisor of their choice, provided the Student consents to sign a release of necessary education records. The advisor, however may not speak on behalf of the Student in the hearing. An advisor may:
 - i. Address questions of procedure to the Dean of Students to the extent that the questions do not interfere with the orderly proceeding of the hearing; and,
 - ii. Request a recess to confer in private with the Student or RSO. The right to speak on his/her/its behalf, to call witnesses and to question all witnesses, and to present evidence, and to challenge the admissibility of evidence; and
- **f.** The right to have the case heard based only on the alleged violation of the prohibited conduct specified in the written notice. The right to speak or remain silent in a hearing.
- g. The right to challenge the seating of any Judicial Council member for good cause. The dismissal of a challenged hearing board member will be determined at the discretion of the Judicial Council chairperson. If the chairperson is challenged, he/she may be excused with a majority vote of the Judicial Council.
- **6.** All hearings shall be closed unless the respondent and the complainant both elect in writing to have an open hearing.
- **7.** Formal rules of evidence shall not be applicable. The Judicial Council may exclude evidence which, in its judgment, is immaterial, irrelevant, unduly repetitious, or unduly prejudicial, etc.
- **8.** The Judicial Council shall determine responsibility using the clear and convincing standard of proof unless otherwise required by federal or state law, rule, regulation, or Tennessee Tech policies.
- **9.** The Judicial Council shall issue a written decision that includes its findings and conclusions within three (3) business days after the conclusion of the hearing and all evidence is submitted.
- **10.** The Student will be advised in writing of the decision and all sanctions imposed as a result of the disciplinary hearing via Tennessee Tech email account and via the contact address on record.

- 11. Any sanction imposed as a result of a Tennessee Tech hearing will be effective immediately upon notification of the Student or RSO.
- **G.** Procedures Related to Interim Measures and Interim Suspensions
- 1. When the Dean of Students determines that interim measures are required for the health and safety of the Tennessee Tech community and/or property, the Student or RSO will be given an opportunity for an informal hearing with the Dean of Students to contest the interim measure,
- 2. The informal hearing will be held within five (5) calendar days, absent good cause.
- **3.** The information presented at the information hearing will be limited to that which is relevant to the basis asserted for imposition of the interim sanctions.
- **4.** The Student or RSO will be entitled to formal hearing in accordance with the procedures described in Section B. (Notice and Due Process) before a permanent meaure is imposed.

X. Appeals

- **A.** A Student or RSO may appeal a sanction imposed by the Dean of Students or Judicial Council following the procedures in this section.
- **B.** The Student Conduct Appeal Committee will hear all appeals.
- 1. The Student Conduct Appeal Committee is comprised of one (1) faculty member, one (1) administrator, and one (1) student.
- **2.** A pool of eligible committee members will be identified by the Dean of Students annually to ensure quorum can be achieved throughout the year.
- C. The Student or RSO must file a written appeal with the Dean of Students within ten (10) calendar days from the date of the decision letter, absent good cause.
- **D.** The bases for an appeal are as follows:

- 1. New information, not available at the time of the original hearing, has become available which would substantially alter the outcome of the hearing;
- 2. Tennessee Tech failed to conduct the disciplinary process in accordance with its procedures in such a way as to disadvantage the Student or RSO;
- **3.** The sanction is disproportionate to the violation.
- **E.** The Student Conduct Appeal Committee will consider the appeal based on the record and statements submitted by the Student or RSO and the Dean of Students. The Student Conduct Appeal Committee may request the accused Student or RSO and/or the Dean of Students appear before the Student Conduct Appeal Committee to clarify any questions regarding the appeal record or statements.
- **F.** The Student Conduct Appeal Committee will make its decision within ten (10) business days of receipt of all relevant information. This period may be extended in circumstances where it is not possible to establish a quorum (i.e. holidays, breaks).
- **G.** The Student Conduct Appeal Committee may take the following action(s) upon consideration of the merit of the appeal:
 - **a.** Affirm the original decision;
 - **b.** Reverse the original decision;
 - c. Reduce the sanction prescribed in the original decision; and/or
 - **d.** Remand the matter to the original hearing body for reconsideration.
- **H.** The standard of proof required to overturn a finding of violation shall be the clear and convincing evidence and the Student or RSO bears the burden of proof.
- I. A Student or RSO may appeal the Student Conduct Appeal Committee's decision to the Vice President for Student Affairs. The Student or RSO must file a written appeal with the Vice President for Student Affairs office within ten (10) business days of the date of the decision letter. The appeal must state the reasons why the Student or RSO believes the decision should be overturned. After consideration of the appeal, the record, and any other relevant information, the Vice President for Student Affairs will issue a written decision within five (5) business days of receipt of the appeal and all relevant material.

J. The Vice President of Students Affairs' decision is final, except in cases where a Student has been expelled or the Student's degree has been revoked. In those cases, the Student may appeal the Vice President of Student Affairs' decision to the President. The Student must file a written appeal with the President's office within ten (10) business days of the date of the decision letter. The appeal must state the reasons why the Student believes the decision should be overturned. After consideration of the appeal, the record, and any other relevant information, the President will issue a written decision as soon as reasonably possible.

XI. Interpretation

The Vice President for Student Affairs or his/her designee has the final authority to interpret the terms of this policy.

XII. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(D)

XIII. Approved by:

Administrative Council: April 5, 2017

University Assembly: April 19, 2017

Board of Trustees:



Agenda Item Summary

Date: June 15, 2017			
Division: Student Affairs			
Agenda Item: Student Housing Policy and Rules			
Review	Action	No action required	

PRESENTERS: Marc Burnett

PURPOSE & KEY POINTS:

This policy and these rules describe the terms and conditions under which students may apply for, reside in, or be removed from Tennessee Tech's main campus residential facilities. The rules include a provision that allows different departments (e.g., Center for Craft, Shipley Farm) to adopt policies that are substantially the same but can be tailored to meet the needs of those departments.

Rules Of Tennessee Technological University, Cookeville

Chapter 0240-09-02 Student Housing

New

Table of Contents is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02.01 Definitions
0240-09-02.02 Eligibility
0240-09-02.03 Student Housing Agreement and Terms
0240-09-02.04 Reservation, Deposit, Cancellation, and Refund Policies
0240-09-02.05 Conduct and Disciplinary Sanctions
0240-09-02.06 Resident Responsibility
0240-09-02.07 Appeals
0240-09-02.08 Student Housing at Other Tennessee Tech Sites

0240-09-02-.01 Definitions is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.01 Definitions

- (1) Occupant Spouses, children, immediate family members, and/or other persons residing with a student resident in a Student Residence Facility/Unit.
- (2) Reservation Deposit A payment required by Tennessee Tech to secure accommodation within a Student Residence Facility/Unit prior to taking occupancy of a particular room, bed, or unit and is applied to the housing fee.
- (3) Student Residence Facility/Unit Any residence hall, dormitory building, apartment, or other facility owned or operated by Tennessee Tech and located on Tennessee Tech's main campus.
- (4) Student Housing Agreement The terms and conditions contained in Tennessee Tech's application for housing, in this rule, and in Tennessee Tech policies.
- (5) Guest/Visitor Any person invited by a Student Resident/Occupant or Tennessee Tech to visit in a residence facility/unit.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. §49-8-101(a)(2)(A).

0240-09-02-.02 Eligibility is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.02 Eligibility

(1) All Student Residence Facilities/Units shall be limited to occupancy by Tennessee Tech students and Office of Residential Life staff, unless otherwise designated by the Director of Residential Life.

- (a) Student Residents must be full-time students in order to reside in Tennessee Tech housing, unless the Director of Residential Life waives this requirement for a student.
- (b) All students, with the exception of students who are prohibited by federal or state law from residing in Student Residence Facilities/Units for any reason, shall have an equal opportunity to reside in Student Residence Facilities/Units, without regard to any protected category, provided that separate housing may be provided on the basis of gender.
- (2) All freshmen are required to live in residence halls unless granted a waiver by the Director of Residential Life or designee.
- (3) The bases for such freshmen housing waivers include, but are not limited to:
 - (a) Students commuting from a parent's or legal guardian's home that is within a fifty (50) mile radius of Tennessee Tech's campus;
 - (b) Students living with a sibling who is enrolled full-time at Tennessee Tech and is at least a sophomore status and lives within a fifty (50) mile radius of Tennessee Tech's campus;
 - (c) Students with disabilities who have an approved housing accommodation through the Office of Disability Services (ODS) Housing Committee;
 - (d) Married students or a single parent student;
 - (e) Students who are twenty-one (21) years old by the first day of class of the semester; or
 - (f) Circumstances that the Director of Residential Life, in his/her sole discretion, determines warrant a waiver.
- (4) Students who request housing within a Student Residence Facility/Unit and are assigned to a Student Residence Facility/Unit are responsible for full payment of the housing fee, unless the Student timely withdraws, or receives a waiver from the Director of Residential Life.
- (5) Students may be subject to disciplinary action for living off-campus without authorization.
- (6) No person who is registered, or required to register, as a sex offender shall be eligible to reside in any on-campus Student Residence Facility/Unit.
- (7) Any student who willfully provides false or materially inaccurate information on his/her housing application may be removed from housing after notice and an opportunity to be heard.
- (8) All new incoming students who are under twenty-two (22) years of age and are living in oncampus housing are required to produce proof of adequate immunization against meningococcal disease (meningitis). Students who fail to provide adequate documentation in advance of movein will not be allowed to take up residence in Student Residence Facilities/Units.

0240-09-02-.03 Student Housing Agreement and Terms is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.03 Student Housing Agreement and Terms

- (1) A student who submits a housing application and accepts housing is obligated to fulfill the terms and conditions of the agreement for the duration of the agreement. A fall semester-only agreement can be renewed for the following spring semester.
- (2) Tennessee Tech accepts student applications for housing beginning in the fall through the summer preceding the academic year for which the housing is sought.
 - (a) Housing is assigned on a first-come, first-serve basis, using the date on which Tennessee Tech received a completed application.
 - (b) A Reservation Deposit is due at the time of application, which is applied to the housing fee.
- (3) All Student Housing Agreements are limited to a maximum term of one (1) academic year for halls and one (1) calendar year for apartments, but may be renewable for additional terms at the discretion of the Director of Residential Life.
- (4) Assignment to or occupancy of a residence hall does not include vacation periods but begins and ends on the dates of the semester(s) as indicated in the Tennessee Tech calendar indicating established hall opening and closing dates.
- (5) The term of the Student Housing Agreement for an apartment unit may be for the fall or spring semester and/or summer term/period, or all of a calendar year, including all break periods within the term.
- (6) The terms of the Student Housing Agreement are not modified in any way by the verbal or written comments of a Tennessee Tech student or employee not authorized to modify the Student Housing Agreement.
- (7) Tennessee Tech's acceptance of a student's housing application and agreement does not quarantee assignment to a particular type of accommodation.
- (8) Tennessee Tech's acceptance of a student's housing application and agreement is not evidence of admission to Tennessee Tech.
- (9) Student Residence Facility/Unit assignment is contingent upon final admission to Tennessee Tech.
- (10)The Student Housing Agreement is not valid unless the student has paid the applicable Reservation Deposit or this requirement is waived by the Director of Residential Life.
- (11)The housing fee shall be established by Tennessee Tech prior to the beginning of any academic term, and may be subject to increase by Tennessee Tech for a subsequent academic term.
- (12)In the event, any Resident of a multiple occupancy residence hall unit ceases to reside in the unit for any reason, Tennessee Tech shall have the right to reassign the remaining Residents to other Student Residence Facilities/Units on campus. When available, and at the student's request, a

- multiple occupancy student residence unit may be occupied individually at a higher rental rate for a particular semester.
- (13)In the event any student or other Occupant of a Student Residence Facility/Unit fails to comply with any terms or conditions of the Student Housing Agreement, including the timely payment of the housing fee, or with any rule, regulation, or policy, Tennessee Tech may declare the Student Housing Agreement terminated, and may enter and take possession of the premises after it has given notice to the student or other Occupant to vacate the premises within twenty-four (24) hours of the notice.
- (14)Any student or other Occupant of a Student Residence Facility/Unit who fails to make timely payment of all rental due or for any and all damages caused to the premises shall be liable to Tennessee Tech for all expenses, including collection costs and reasonable attorney's fees, incurred by Tennessee Tech in the enforcement or collection of the obligation involved.
- (15)Students must occupy the Student Residence Facility/Unit assigned by the Office of Residential Life during the time period specified by the Student Housing Agreement. Any change in assignment must be approved by the Office of Residential Life.
- (16)No student shall assign the Student Housing Agreement of any Student Residence Facility/Unit or sublet the unit, and any attempted assignment or sublease shall be void, unless the student has obtained the written consent of the Office of Residential Life.
- (17)Tennessee Tech may, in its sole discretion, make all housing assignments and any housing assignment changes deemed necessary.
- (18) Tennessee Tech reserves the right to refuse an application for Student Residence Facility/Unit.
- (19)Tennessee Tech shall not be liable for any damages or injuries to any student or Occupant of Student Residence Facilities/Units, or to guests or invitees of such Residents or Occupants, resulting from any act or failure to act by the student or Occupant or Guest or Invitee or any accident occurring in or about the facility, except as authorized by and allowed pursuant to T.C.A. § 9-8-301 et seq. Each student or Occupant who resides or occupies any Student Residence Facility/Unit agrees to indemnify and hold Tennessee Tech harmless from and against all claims, damages, or causes of action whatsoever, asserted by any person arising out of or in any way connected with the use of the premises by the student, the Occupant, or the guest or invitee of the student or the Occupant.

0240-09-02-.04 Reservation, Deposit, Cancellation, and Refund Policies is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.04 Reservation, Deposit, Cancellation, and Refund Policies

- (1) Student Residence Facility/Unit
 - (a) Any Student Housing Agreement shall terminate at Tennessee Tech's discretion in the event of any of the following:

- 1. The premises or the Student Residence Facility/Unit is destroyed or, in the opinion of Tennessee Tech, unsuitable for occupancy for any reason;
- 2. The student resident ceases to remain a student in good standing during any regular term within the period of the Student Housing Agreement;
- The student resident or Occupant violates any covenant, term, or condition of the Student Housing Agreement or violates any applicable law or Tennessee Tech rule, policy, or procedure; or
- 4. Tennessee Tech gives the student resident written notice of termination at least thirty (30) days prior to the date when such termination will be effective.
- (b) A student may be released from the Student Housing Agreement before the effective date of the agreement by submitting written notification of cancellation to the Office of Residential Life, provided:
 - 1. The student has not checked in to his/her room; and
 - 2. It is prior to the first day of classes of the initial semester of the agreement; and
 - 3. The student withdraws from Tennessee Tech.
- (c) A student who has entered into a Student Housing Agreement but is otherwise not obligated to reside in a Student Residence Facility may request an early termination of the agreement. A fee for such early termination will be calculated at fifty percent (50%) of the current rental rate. Requests must be submitted in writing to the Office of Residential Life.
- (d) A student may be released from the Student Housing Agreement after the effective date of the Student Housing Agreement by:
 - 1. Withdrawal or graduation from Tennessee Tech;
 - 2. Participation in one (1) of Tennessee Tech's full-time academic internship programs; or
 - 3. Other circumstances that the Director of Residential Life deems, in his/her sole discretion, to warrant a release from the Student Housing Agreement.
- (e) Refund of housing fee and reservation deposits.
 - 1. Refunds will be made consistent with Tennessee Tech's rules, policies, or procedures related to refunds of student fees.

0240-09-02-.05 Conduct and Disciplinary Sanctions is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.05 Conduct and Disciplinary Sanctions

- (1) Student misconduct related to residence hall or student apartment life that is subject to disciplinary sanction shall include, but not be limited to, any misconduct described by Tennessee Tech policies related to student misconduct.
- (2) Residents are required to abide by all resident regulations and responsibilities included in Tennessee Tech policies and posted on the Residential Life website. Failure to comply with any rule, regulation, or policy may subject the resident to disciplinary action under Tennessee Tech policies. Examples of prohibited conduct include but are not limited to:
 - (a) Tampering with security devices, fire safety fighting equipment, smoke detectors, and/or fire alarms.
 - (b) The use and/or possession of alcoholic beverages in all Student Residence Facilities/Unit.
 - (c) The unlawful use and/or possession of drugs and/or drug paraphernalia are prohibited in all Student Residence Facilities/Units.
 - (d) Use of tobacco products or electronic nicotine delivery systems (e.g. e-cigarettes). Smoking is only permitted in private vehicles.
- (3) Student residents and Occupants shall comply with Tennessee Tech policies and related procedures at all times. Student residents and Occupants shall be responsible for compliance with same by their invited guests.
- (4) All students and Occupants are expected to respect the personal and property rights of all other persons and of Tennessee Tech.
- (5) Tennessee Tech officials and agents may enter a Student Residence Facility/Unit at all reasonable times to examine and inspect the facility/unit for maintenance, health, safety, emergency purposes, or to render service and/or repairs to any unit. Any Student Residence Facility/Unit may be searched with the consent of the student resident or any other Occupant of the unit. All entries/searches, other than those described above, shall be conducted in accordance with federal and state law.
- (6) Upon a determination that a student or Occupant or guest/invitee has violated any applicable rules, regulations, or policies, the disciplinary sanctions listed in Tennessee Tech policies, which are incorporated herein by reference, may be imposed, either singly or in combination, by the appropriate Tennessee Tech officials.
- (7) Tennessee Tech reserves the right to move a student resident when it is in the best interest of the student, other residents on the floor, or Tennessee Tech.

0240-09-02-.06 Resident Responsibility is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.06 Resident Responsibility

(1) All Student Residence Facilities/Units shall be used by students as private residences only.

- (2) Spouses, children, dependents, and/or other persons residing with the student resident must be identified on the Student Housing Agreement document or in writing to the Assignment Office.
- (3) All personal property of residents or Occupants on the premises shall be at the risk of the resident or Occupants. Tennessee Tech shall not be liable for any damages to or theft of personal property of students or Occupants in the Student's Residential Facility/Unit or on its grounds prior to, during, or subsequent to the period of the Student Housing Agreement. Any abandoned property collected by Tennessee Tech will be disposed of in accordance with Tennessee Tech policy or state regulations.
- (4) All student residents or Occupants who occupy any Student Residence Facility/Unit shall maintain the unit in the same condition and repair as accepted at the commencement of the period of occupancy, and, upon termination of such occupancy, shall surrender the premises in the same condition and repair, ordinary wear and tear excepted. No student resident or Occupants may make any alterations, additions, or improvements to a Student Residence Facility/Unit without the written consent of the Office of Residential Life.
- (5) Students and/or Occupants will be responsible for any and all damages. Charges will be divided evenly between roommates if the responsible party cannot be identified.
- (6) Failure to check out of the Student Residence Facility/Unit including failure to sign the room inventory sheet may result in a charge to the student's account and/or a hold on the student's academic records account.
- (7) Students in Student Residence Facilities/Units may be assessed on a pro-rata basis for damages in public areas or other common areas within or around the facility in which they reside, either by floor or area or by the entire facility, following a review by the Director of Residential Life or other appropriate Tennessee Tech official. Students will be notified in advance of this mass assessment.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. §49-8-101(a)(2)(A).

0240-0-02-.07 Appeals is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.07 Appeals

- (1) A student who wants to appeal a decision related to housing, except a disciplinary matter, may file a written appeal within five (5) business days of the decision. Such appeals must be filed with the Director of Residential Life.
- (2) Within ten (10) business days of the receipt of all information related to the appeal, the Director of Residential Life will notify the student of the decision in writing.
- (3) The Director of Residential Life's decision is final.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. §49-8-101(a)(2)(A).

0240-09-02-.08 Student Housing at Other Tennessee Tech Sites is added to Chapter 0240-09-02 Student Housing Regulations and shall read as follows:

0240-09-02-.08 Student Housing at Other Tennessee Tech Sites

(1) Other Tennessee Tech sites that offer housing must apply substantially similar housing policies and procedures consistent with the needs and organizational structure of the site offering such housing.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. §49-8-101(a)(2)(A).

Tennessee Technological University Policy No. 305



Effective Date: July 1, 2017

Policy No.: 305

Policy Name: Student Housing Policy Subject: Student Housing Date Revised: March 28, 2017

I. Purpose

The purpose of this policy is to provide residential students with expectations and direction regarding student housing.

II. Review

This policy will be reviewed every year or whenever circumstances require review, whichever is earlier, by the Director of Residential Life, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. Definitions

- **A.** Occupant Spouses, children, immediate family members, and/or other persons residing with a Student Resident in a Student Residence Facility/unit.
- **B.** Reservation Deposit A payment required by Tennessee Tech to secure accommodation within a Residence Facility/Unit prior to taking occupancy of a particular room, bed, or unit and is applied to the housing fee.
- **C.** Student Residence Facility/Unit Any residence hall, dormitory building, apartment, or other facility owned or operated by Tennessee Tech and located on Tennessee Tech's main campus.
- **D.** Student Housing Agreement The contract document setting forth the terms and conditions contained in a Tennessee Tech application for housing and in this policy.
- **E.** Guest/Visitor Any person invited by a Student Resident/Occupant or Tennessee Tech to visit in a residence facility.

IV. Policy

- A. Eligibility
- 1. All Student Residence Facilities/Units shall be limited to occupancy by Tennessee Tech students and Office of Residential Life staff, unless otherwise designated by the Director of Residential Life.
- **a.** Student Residents must be full-time students in order to reside in Tennessee Tech housing unless the Director of Residential Life waives this requirement for a student.

- **b.** All students, with the exception of students who are prohibited by federal or state law from residing in Student Residence Facilities/Units for any reason, shall have an equal opportunity to reside in Student Residence Facilities/Units, without regard to any protected category, provided that separate housing may be provided on the basis of gender.
- **2.** All freshmen are required to live in residence halls unless granted a waiver by the Director of Residential Life or designee.
- **3.** The bases for such freshmen waivers for living in the residence halls include, but are not limited to:
- **a.** Students commuting from a parent's or legal guardian's home that is within a fifty (50) mile radius of Tennessee Tech's campus;
- **b.** Students living with a sibling who is enrolled full-time at Tennessee Tech and is at least a sophomore status and lives within a fifty (50) mile radius of Tennessee Tech's campus;
- c. Students with disabilities who have an approved housing accommodation through the Office of Disability Services (ODS) Housing Committee on file with Tennessee Tech's Disability Services Office;
- **d.** Married students or a single parent student;
- **e.** Students who are twenty-one (21) years old by the first day of class of the semester; or
- **f.** Circumstances that the Director of Residential Life, in his/her sole discretion, determines warrant a waiver.
- **4.** Students who request housing within a Student Residence Facility/Unit and are assigned to a Student Residence Facility/Unit are responsible for full payment of the housing fee, unless the Student timely withdraws or receives a waiver from the Director of Residential Life.
- **5.** Freshmen Students may be subject to disciplinary action for living off-campus without authorization.
- **6.** No person who is registered, or required to register, as a sex offender shall be eligible to reside in any on-campus Student Residence Facility/Unit.
- 7. Any student who willfully provides false or materially inaccurate information on his/her housing application may be removed from housing after notice and an opportunity to be heard.

- 8. Pursuant to Tennessee Tech Policy 360, all new incoming students who are under twenty-two (22) years of age and are living in on-campus housing are required to produce proof of adequate immunization against meningococcal disease (meningitis). Students who fail to provide adequate documentation in advance of move-in will not be allowed to take up residence in Student Residence Facilities/Units.
- **B.** Student Housing Agreement and Terms
- 1. A student who submits a housing application and accepts housing is obligated to fulfill the terms and conditions of the agreement and this policy for the duration of the agreement. A fall semester-only agreement can be renewed for the following spring semester.
- 2. Tennessee Tech accepts student applications for housing beginning in the fall through the summer preceding the academic year for which the housing is sought. Specific details and dates may be found in the Housing Assignments Process and Procedures.
- **a.** Housing is assigned on a first-come, first-serve basis, using the date on which Tennessee Tech received a completed application.
- **b.** A Reservation Deposit is due at the time of application, which is applied to the housing fee. Additional information may be found in the Housing Assignments Process and Procedures.
- **3.** All Student Housing Agreements are limited to a maximum term of one (1) academic year for halls and one (1) calendar year for apartments, but may be renewable for additional terms at the discretion of the Director of Residential Life.
- 4. Assignment to or occupancy of a residence hall does not include vacation periods but will begin and end on the dates of the semester(s) as indicated in the Tennessee Tech calendar indicating established hall opening and closing dates. Limited student housing may be available at an additional cost between semesters or summer terms and must be approved by the Director of Residential Life.
- 5. The term of the Student Housing Agreement for an apartment unit may be for the fall or spring semester and/or summer term/period, or all of a calendar year, including all break periods within the term.
- **6.** The terms of the Student Housing Agreement are not modified in any way by the verbal or written comments of a Tennessee Tech student or employee not authorized to modify the Student Housing Agreement.

- 7. Tennessee Tech's acceptance of a student's housing application and agreement does not guarantee assignment to a particular type of accommodation.
- **8.** Tennessee Tech's acceptance of a student's housing application and agreement is not evidence of admission to Tennessee Tech.
- **9.** Student Residence Facility/Unit assignment is contingent upon final admission to Tennessee Tech.
- **10.** The Student Housing Agreement is not valid unless the student has paid the applicable Reservation Deposit or this requirement is waived by the Director of Residential Life.
- 11. The balance of the initial semester's payment and payment of subsequent semesters for a Student Housing Agreement is payable at registration for classes. Such payment shall be a condition precedent to the student being an enrolled student for the semester.
- **12.** The housing fee shall be established by Tennessee Tech prior to the beginning of any academic term, and may be subject to increase by Tennessee Tech for a subsequent academic term.
- 13. In the event any Resident of a multiple occupancy residence hall unit ceases to reside in the unit for any reason, Tennessee Tech shall have the right to reassign the remaining Residents to other Student Residence Facilities/Units on campus. When available, and at the student's request, a multiple occupancy student residence unit may be occupied individually at a higher rental rate for a particular semester.
- 14. In the event any student or other Occupant of a Student Residence Facility/Unit fails to comply with any terms or conditions of the Student Housing Agreement, including the timely payment of the housing fee, or with any rule, regulations, or policy, Tennessee Tech may declare the Student Housing Agreement terminated, and may enter and take possession of the premises after it has given notice to the student or other Occupant to vacate the premises within twenty-four (24) hours of the notice.
- **15.** Any student or other Occupant of a Student Residence Facility/Unit who fails to make timely payment of all rental due or for any and all damages caused to the premises shall be liable to Tennessee Tech for all expenses, including collection costs and reasonable attorney's fees, incurred by Tennessee Tech in the enforcement or collection of the obligation involved.
- **16.** Students must occupy the Student Residence Facility/Unit assigned by the Office of Residential Life during the time period specified by the Student Housing

- Agreement. Any change in assignment must be approved by the Office of Residential Life.
- 17. No student shall assign the Student Housing Agreement of any Student Residence Facility/Unit or sublet the unit, and any attempted assignment or sublease shall be void, unless the student has obtained written consent of the Office of Residential Life.
- **18.** Tennessee Tech may, in its sole discretion, make all housing assignments and any housing assignment changes deemed necessary.
- **19.** Tennessee Tech reserves the right to refuse an application for Student Residence Facility/Unit.
- 20. Tennessee Tech shall not be liable for any damages or injuries to any student or Occupant of Student Residence Facilities/Units, or to guests or invitees of such Residents or Occupants, resulting from any act or failure to act by the student or Occupant or Guest or Invitee or any accident occurring in or about the facility, except as authorized by and allowed pursuant to T.C.A. § 9-8-301 et seq. Each student or Occupant who resides or occupies any Student Residence Facility/Unit agrees to indemnify and hold Tennessee Tech harmless from and against all claims, damages, or causes of action whatsoever, asserted by any person arising out of or in any way connected with the use of the premises by the student, the Occupant, or the guest or invitee of the student or the Occupant.
- C. Reservation, Deposit, Cancellation, and Refund Policies
- 1. Student Residence Facility/Unit
- **a.** Any Student Housing Agreement shall terminate at Tennessee Tech's discretion in the event of any of the following:
- **i.** The premises or the Student Residence Facility/Unit is destroyed or, in the opinion of Tennessee Tech, unsuitable for occupancy for any reason;
- **ii.** The Student Resident ceases to remain a student in good standing during any regular term within the period of the Student Housing Agreement;
- **iii.** The Student Resident or Occupant violates any covenant, term, or condition of the Student Housing Agreement or violates any applicable law or Tennessee Tech rule, policy, or procedure; or
- iv. Tennessee Tech gives the student resident written notice of termination at least thirty (30) days prior to the date when such termination will be effective.

- **b.** A student may be released from the Student Housing Agreement before the effective date of the agreement by submitting written notification of cancellation to the Office of Residential Life, provided:
- i. The student has not checked in to his/her room; and
- ii. It is prior to the first day of classes of the initial semester of the agreement; and
- iii. The student withdraws from Tennessee Tech.
- c. A student who has entered into a Student Housing Agreement but is otherwise not obligated to reside in a Student Residence Facility may request an early termination of the agreement. A fee for such early termination will be calculated at fifty percent (50%) of the current rental rate. Requests must be submitted in writing to the Office of Residential Life.
- **d.** A student may be released from the Student Housing Agreement after the effective date of the Student Housing Agreement by:
- i. Withdrawal or graduation from Tennessee Tech;
- **ii.** Participation in one (1) of Tennessee Tech's full-time academic internship programs; or
- **iii.** Other circumstances that the Director of Residential Life deems, in his/her sole discretion, to warrant a release from the Student Housing Agreement.
- e. Refund of housing fee and reservation deposits.
- i. Refunds of housing fee after registration will be prorated on a weekday calendar basis when the student withdraws from the residence hall due to:
- **a)** Personal medical reasons confirmed by in writing by a licensed medical practitioner; or
- **b)** For special circumstance, other than disciplinary reasons, approved by Tennessee Tech.
- ii. Full refund will be made in case of death.
- **iii.** Refunds resulting from withdrawals from Tennessee Tech for reasons other than disciplinary or those described in the preceding section will be made consistent with Tennessee Tech's policy or practice relating to refunds of student fees.
- **D.** Conduct and Disciplinary Sanctions

- 1. Student misconduct related to residence hall or student apartment life that is subject to disciplinary sanction shall include, but not be limited to, any misconduct described by Tennessee Tech Policy 302.
- 2. Residents are required to abide by all Resident Regulations and Responsibilities included in Tennessee Tech policies and posted on the Residential Life website. Failure to comply with any rule, regulation, or policy may subject the resident to disciplinary action under Tennessee Tech Policy 302. Examples of prohibited conduct include but are not limited to:
- **a.** Tampering with security devices, fire safety fighting equipment, smoke detectors, and/or fire alarms.
- **b.** The use and/or possession of alcoholic beverages in all Student Residence Facilities/Units.
- **c.** The unlawful use and/or possession of drugs and/or drug paraphernalia in all Student Residence Facilities/Units.
- **d.** Use of tobacco products or electronic nicotine delivery systems (e.g. e-cigarettes). Smoking is only permitted in private vehicles.
- 3. Student Residents and Occupants shall comply with Tennessee Tech's student housing policies at all times. Student Residents and Occupants shall be responsible for compliance with same by their invited guests.
- **4.** All students and Occupants are expected to respect the personal and property rights of all other persons and of Tennessee Tech.
- 5. Tennessee Tech officials and agents may enter a Student Residence Facility/Unit at all reasonable times to examine and inspect the facility/unit for maintenance, health, safety, emergency purposes, or to render service and/or repairs to any unit. Any Student Residence Facility/Unit may be searched with the consent of the Student Resident or any other Occupant of the unit. All entries/searches, other than those described above, shall be conducted in accordance with federal and state law.
- **6.** Upon a determination that a student or Occupant or guest/invitee has violated any applicable rules, regulations, or policies, the disciplinary sanctions listed in Tennessee Tech Policy 302, which is incorporated herein by reference, may be imposed, either singly or in combination, by the appropriate Tennessee Tech officials.
- 7. Disciplinary action against a student for violating any applicable rule, regulation, or policy related to student conduct shall be conducted in accordance with the

- procedures described in Tennessee Tech Policy 302, which is incorporated herein by reference.
- **8.** Tennessee Tech reserves the right to move a Student Resident when it is in the best interest of the student, other residents on the floor, or Tennessee Tech.
- E. Resident Responsibility
- **1.** All Student Residence Facilities/Units shall be used by students as private residences only.
- **2.** Spouses, children, dependents, and/or other persons residing with the Student Resident must be identified on the Student Housing Agreement document or in writing to the Assignment Office.
- 3. All personal property of residents or Occupants on the premises shall be at the risk of the residents or Occupants. Tennessee Tech shall not be liable for any damages to or theft of personal property of students or occupants in the Student's Residential Facility/Unit or on its grounds prior to, during, or subsequent to the period of the Student Housing Agreement. Any abandoned property collected by Tennessee Tech will be disposed of in accordance with Tennessee Tech policy or state regulations.
- 4. All Student Residents or Occupants who occupy any Student Residence Facility/Unit shall maintain the unit in the same condition and repair as accepted at the commencement of the period of occupancy, and, upon termination of such occupancy, shall surrender the premises in the same condition and repair, ordinary wear and tear excepted. No Student Residents or Occupants may make any alterations, additions, or improvements to a Student Residence Facility/Unit without the written consent of the Office of Residential Life.
- **5.** Students and/or Occupants will be responsible for any and all damages. Charges will be divided evenly between roommates if the responsible party cannot be identified.
- **6.** Failure to check out of the Student Residence Facility/Unit including failure to sign the room inventory sheet may result in a charge to the student's account and/or a hold on the student's academic records account. Additional information may be found in the Guide for Successful Living Section Six Your Room.
- 7. Students in Student Residence Facilities may be assessed on a pro-rata basis for damages in public areas or other common areas within or around the facility in which they reside, either by floor or area or by the entire facility, following a review by the Director of Residential Life or other appropriate Tennessee Tech official. Students will be notified in advance of this mass assessment.

F. Appeals

- 1. A student who wants to appeal a decision related to housing, except a disciplinary matter, may file a written appeal within in five (5) business days of the decision. Such appeals must be filed with the Director of Residential Life.
- 2. Within ten (10) business days of the receipt of all information related to the appeal, the Director of Residential Life will notify the student of the decision in writing.
- 3. The Director of Residential Life's decision is final.

V. Complaints

Students may file complaints related to Student Residential housing by contacting Residential Life or by completing the Student Complaint Form.

VI. Interpretation

The Vice President for Student Affairs or his/her designee has the final authority to interpret the terms of this policy.

VII. Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(D)

Approved by:

Administrative Council: April 5, 2017

University Assembly: April 19, 2017

Board of Trustees:



Agenda Item Summary

Date: June 15, 2017			
Division: Student Affairs			
Agenda Item: Parking, Tra	offic, and Safety Policy	and Rules	
Review	Action	No action required	

PRESENTERS: Marc Burnett

PURPOSE & KEY POINTS:

This policy and these rules describe the terms and conditions under which students, employees, and visitors may park on Tennessee Tech's campus. The policy and rules also describe the appeal process for citations.

Rules Of Tennessee Technological University, Cookeville

Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement

New Chapter

Table of Contents is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03.01 Definitions 0240-09-03.02 General Provisions 0240-09-03.03 Parking Areas and Zones Enforcement 0240-09-03.04 Fines 0240-09-03.05 Motor Vehicle Operation 0240-09-03.06 Traffic and Parking Citation Disputes and Appeals 0240-09-03.07 Liability for Theft or Damage

0240-09-03-.01Definitions is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.01 Definitions

(1) Motor Vehicle - Any self-propelled vehicle designed for transport of a person or persons and is capable of exceeding twenty-five (25) miles per hour over level, paved surfaces, shall be deemed a motor vehicle.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

0240-09-03-.02 General Provisions is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.02 General Provisions

- (1) Tennessee Tech will regulate the use and/or parking of all Motor Vehicles on the campus in accordance with this policy and any applicable rule, regulation, ordinance, or statute.
- (2) All employees and students must register Motor Vehicle(s) and purchase a parking permit in order to park on Tennessee Tech property. Motor Vehicles that are parked on campus without a current parking permit may be issued a parking citation for the violation by the Tennessee Tech Police Department.
- (3) Parking citations are the responsibility of
 - a. the registered owner of the parking permit and the user of the parking permit; or
 - b. the registered owner of the vehicle in cases where no permit has been issued.
- (4) Moving violations will be charged to the operator of the Motor Vehicle at the time of the violation.
- (5) No individual is allowed to give, transfer, furnish, or sell a Tennessee Tech parking permit to another individual.

- (6) Motor Vehicles are to be parked within two (2) marked lines and not protruding into another marked space. Violations of this type may result in a citation being issued by the Tennessee Tech Police Department.
- (7) Disabled vehicles will not be permitted to remain on campus beyond seven (7) days without the written approval of the Chief of the Tennessee Tech Police Department.
- (8) Trailers and boats cannot not be parked on campus without the prior written approval of the Chief of the Tennessee Tech Police Department.
- (9) Motor Vehicles or other means of conveyance parked in such a way as to create a traffic hazard, including, but not limited to, blocking dumpsters, wheelchair ramps, sidewalks, crosswalks, and other parked vehicles may be cited by the Tennessee Tech Police Department for illegal parking and/or may be towed or impounded at the owner's expense.
- (10) Motor Vehicles not displaying a parking permit during zoned parking enforcement may be restrained by the Tennessee Tech Police Department with a wheel lock in order to identify the owner/operator of the Motor Vehicle during the times of zoned parking.
- (11) Repeated Citations
 - (a) Repeated and/or flagrant parking violations may result in the Motor Vehicle being towed at the owner's expense.
 - (b) Tennessee Tech may revoke an individual's parking privileges for repeated and flagrant parking violations.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

0240-09-03-.03 Parking Areas and Zones Enforcement is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.03 Parking Areas and Zones Enforcement

- (1) Parking areas are marked by color-coded signs that match the color-coded permits indicating the zone in which a Motor Vehicle may be parked. Zone restrictions are effective and enforced by the Tennessee Tech Police Department from 7:30 am to 4:30 pm Monday through Friday during times when classes are in session.
- (2) Zone restrictions are not enforced after 4:30 p.m. Motor Vehicles parked on campus after 4:30 pm Monday through Friday when classes are in session must have a parking permit displayed.
- (3) No permit is required when classes are not in session.
- (4) Residence halls and Tech Village parking zones are reserved for Motor Vehicles displaying the residential parking permits and are enforced by the Tennessee Tech Police Department twentyfour (24) hours a day. Visitors to residents of Tech Village are permitted to park at the Tech Village community center.
- (5) Reserved spaces, including, but not limited to, the President, Police, Facilities, Residential Life Faculty Head, and Hall Directors, are reserved and enforced by the Tennessee Tech Police Department twenty-four (24) hours a day.
- (6) Tennessee Tech Police Department enforces parking in visitor spaces from 7:30 am to 4:30 pm Monday through Friday when classes are in session. These spaces are for visitors to Tennessee

Tech and employees and students cannot park in those spaces during this period.

(7) Tennessee Tech Police Department enforces parking in thirty (30) minute zones from 7:30 am to 4:30 pm Monday through Friday when classes are in session and are available to anyone for the time allotted.

(8) Disabled Parking

- (a) Tennessee Tech Police Department enforces parking in disabled parking spaces twenty-four (24) hours a day. These reserved spaces are for individuals that have been issued a state disabled placard or license plate.
- (b) The individual to whom the license plate or placard has been issued must be using the Motor Vehicle in order for the Motor Vehicle to be parked in the disabled space. Tennessee Tech will charge the owner of the parking decal or registered owner of the Motor Vehicle the maximum fine allowed by law for improper use of a disabled placard or license plate.
- (c) Individuals that have been issued a state placard or license plate for disabled parking may purchase a Tennessee Tech disabled parking permit. This permit allows the individual to park in any legal parking space on campus, should a disabled space not be available.
- (d) Pursuant to T.C.A. § 55-21-108, fines for violating the disabled parking law cannot be suspended or waived.
- (9) Temporary and visitor parking permits
 - (a) Campus visitor permits are required for visitors to park on campus Monday through Friday when classes are in session. Visitor permits allow an individual to park in the visitor parking when available or the perimeter (purple) color-coded lots on the campus. These permits can be obtained at the Tennessee Tech Police Department twenty-four (24) hours a day.
 - (b) Official visitor parking permits are available for individuals that are on campus for official business with Tennessee Tech. These permits must be approved by designated Tennessee Tech administrators. An official visitor permit allows the Motor Vehicle to park in any legal space on campus that is not specifically reserved.
 - (c) The Tennessee Tech Police Department may issue a temporary parking permit to individuals who have a parking permit on file and who have lost, misplaced, etc. the original hang tag.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

0240-09-03-.04 Fines is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.04 Fines

(1) Fines may be set as determined by Tennessee Tech, but shall not exceed the amounts set by state/county/municipal ordinance for the same offense. Such fines are subject to the prior review and approval of the Tennessee Tech Board of Trustees. Proposed fines shall be submitted to the Tennessee Tech Board of Trustees together with information sufficient to justify the fine. Such information shall include consideration of state/county/municipal fines for the same offense, fines for the same offense at similarly situated institutions, association to enforcement costs at the institution, and/or the unique traffic/parking considerations at each

institution. Once adopted or amended, all fines shall be affirmatively communicated to the faculty, staff, and students of the institution through Tennessee Tech's website.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

0240-09-03-.05 Motor Vehicle Operation is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.05 Motor Vehicle Operation

- (1) Operators of Motor Vehicles on Tennessee Tech property must obey all traffic rules, regulations, postings, or directions, regardless of whether the rule, regulation, posting, or direction is included in this policy.
- (2) The speed limit on all Tennessee Tech streets as well as city streets running through Tennessee Tech are enforced by the Tennessee Tech Police Department. Violations of this may result in the operator of the Motor Vehicle receiving a speeding citation by Tennessee Tech Police.
- (3) The reckless operation of a Motor Vehicle on the Tennessee Tech campus including, but not limited to, squealing tires, sliding the Motor Vehicle, and operating the Motor Vehicle at a high rate of speed are serious safety hazards and strictly prohibited. Operators may be issued a citation by Tennessee Tech Police as well as face disciplinary action for a violation of this nature.
- (4) Operators of Motor Vehicles are prohibited from overtaking/passing another Motor Vehicle in operation on streets within the Tennessee Tech campus. Violations of this may result in the operator of the Motor Vehicle receiving a citation from Tennessee Tech Police.
- (5) Operators of Motor Vehicles must observe and obey all traffic control devices (e.g., STOP signs, traffic lights). Failure to do so may result in the operator of the Motor Vehicle receiving a citation from Tennessee Tech Police for the violation.
- (6) Operators of Motor Vehicles must yield the right of way and come to a complete stop for pedestrians in the crosswalks. Operators of Motor Vehicles must also show due care for all pedestrian traffic while operating a Motor Vehicle on the Tennessee Tech campus. Failure to do so may result in the operator of the Motor Vehicle receiving a citation for the violation from Tennessee Tech Police.
- (7) Operators of Motor Vehicles must pull to the edge of the roadway and come to a complete stop to yield the right of way to emergency vehicles displaying active lights and/or sirens. Failure to do so may result in the operator of the Motor Vehicle receiving a citation for the violation from Tennessee Tech Police.
- (8) Individuals riding bicycles on the Tennessee Tech campus must observe and obey all traffic control devices on all Tennessee Tech and city streets within the Tennessee Tech campus. Failure to do so may result in the operator of the bicycle being issued a citation for the violation by Tennessee Tech Police.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

0240-09-03-.06 Traffic and Parking Citation Disputes and Appeals is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.06 Traffic and Parking Citation Disputes and Appeals

- (1) Officers of the Tennessee Tech Police Department may issue citations for violations under certain circumstances in either Cookeville City Court for violations of city ordinances or Putnam County General Sessions Court for violations of state laws. Individuals that receive a City Court or General Sessions Court citation must either appear in court on the court date listed on the citation or pay the citation fine if appearance in court is not required.
- (2) Any Tennessee Tech student who has received a Tennessee Tech traffic and/or parking citation may appeal the citation within fifteen (15) business days of the date of issue to the Student Traffic Appeals Committee.
- (3) Any Tennessee Tech employee who has received a Tennessee Tech citation for traffic and/or parking violation may appeal the citation within fifteen (15) business days of the date of issue to the Faculty and Staff Traffis Appeals Committee. Appeals may be filed in the Parking Portal.
- (4) Any non-Tennessee Tech employee or student who has received a Tennessee Tech parking citation may appeal the citation within fifteen (15) business days of the date of issue to the Faculty and Staff Traffic Appeals Committee. These appeals can be filed by contacting the Tennessee Tech Police Department.
- (5) The Student Traffic Appeals Committee will meet regularly during the Fall and Spring semesters. Students will be notified in writing of the Committee's decision. The Faculty and Staff Traffic Appeals Committee will meet once in the Fall semester and once in the Spring semester, absent good cause. Tennessee Tech employees will be notified in writing of the Committee's decision.
- (6) The Student Traffic Appeals Committee and the Faculty and Staff Traffic Appeals Committee decisions may be appealed to the Vice President for Student Affairs by submitting a written appeal with all relevant documentation attached within five (5) business days of the notification of the appropriate committees decision.
- (7) The Vice President for Student Affairs will communicate his/her decision in writing to the individual making the appeal within five (5) business days after receiving the written appeal along with all relevant documentation. The decision of the Vice President for Student Affairs is final.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

0240-09-03-.07 Liability for Theft or Damage is added to Chapter 0240-09-03 Parking, Traffic, and Safety Enforcement and shall read as follows:

0240-09-03-.07 Liability for Theft or Damage

(1) Tennessee Tech assumes no financial responsibility for theft or damage to Motor Vehicles or their contents when parked or operated on campus.

Authority: T.C.A. § 49-8-203(a)(1)(D); T.C.A. § 49-8-101(a)(2)(A).

Tennessee Technological University Policy No. 415



Effective Date: July 1, 2017

Policy No: 415

Policy Name: Parking, Traffic, and Safety Enforcement

Policy Subject: Policy and Procedures for Parking, Traffic and Safety Enforcement

Date Revised: March 29, 2017

I. Purpose

The purpose of this policy is to define Tennessee Tech parking, traffic, and safety enforcement.

II. Review

This policy will be reviewed every two years or whenever circumstances require review, whichever is earlier, by the Chief of Tennessee Tech Police, with recommendations for revision presented to Administrative Council, University Assembly, and the Board of Trustees.

III. Definition

Motor Vehicle – Any self-propelled vehicle designed for transport of a person or persons and is capable of exceeding twenty-five (25) miles per hour over level, paved surfaces, shall be deemed a motor vehicle.

IV. Policy

- **A.** Tennessee Tech will regulate the use and/or parking of all Motor Vehicles on the campus in accordance with this policy and any applicable rule, regulation, ordinance, or statute.
- **B.** All employees and students must register Motor Vehicle(s) and purchase a parking permit in order to park on Tennessee Tech property. Motor Vehicles that are parked on campus without a current parking permit may be issued a parking citation for the violation by the Tennessee Tech Police Department.
- C. Parking citations are the responsibility of
 - 1. the registered owner of the parking permit and the user of the parking permit; or
 - 2. the registered owner of the vehicle in cases where no permit has been issued
- **D.** Moving violations will be charged to the operator of the Motor Vehicle at the time of the violation.
- **E.** No individual is allowed to give, transfer, furnish, or sell a Tennessee Tech parking permit to another individual.
- **F.** Parking areas and zones enforcement
 - 1. Parking areas are marked by color-coded signs that match the color-coded permits indicating the zone in which a Motor Vehicle may be parked. Zone restrictions are effective and enforced by the Tennessee Tech Police Department from 7:30 am to 4:30 pm Monday through Friday during times when classes are in session.

- **2.** Zone restrictions are not enforced after 4:30 p.m. Motor Vehicles parked on campus after 4:30 pm Monday through Friday when classes are in session must have a parking permit displayed.
- **3.** No permit is required when classes are not in session.
- **4.** Residence halls and Tech Village parking zones are reserved for Motor Vehicles displaying the residential parking permits and are enforced by the Tennessee Tech Police Department twenty-four (24) hours a day. Visitors to residents of Tech Village are permitted to park at the Tech Village community center.
- **5.** Reserved spaces, including, but not limited to, the President, Police, Facilities, Residential Life Faculty Head, and Hall Directors, are reserved and enforced by the Tennessee Tech Police Department twenty-four (24) hours a day.
- **6.** Tennessee Tech Police Department enforces parking in visitor spaces from 7:30 am to 4:30 pm Monday through Friday when classes are in session. These spaces are for visitors to Tennessee Tech and employees and students cannot park in those spaces during this period.
- 7. Tennessee Tech Police Department enforces parking in thirty (30) minute zones from 7:30 am to 4:30 pm Monday through Friday when classes are in session and are available to anyone for the time allotted.
- 8. Disabled Parking
 - a. Tennessee Tech Police Department enforces parking in disabled parking spaces twenty-four (24) hours a day. These reserved spaces are for individuals that have been issued a state disabled placard or license plate.
 - b. The individual to whom the license plate or placard has been issued must be using the Motor Vehicle in order for the vehicle to be parked in the disabled space. Tennessee Tech will charge the owner of the parking decal or registered owner of the Motor Vehicle the maximum fine allowed by law for improper use of a disabled placard or license plate.
 - c. Individuals that have been issued a state placard or license plate for disabled parking may purchase a Tennessee Tech disabled parking permit. This permit allows the individual to park in any legal parking space on campus, should a disabled space not be available.
 - d. Pursuant to T.C.A. § 55-21-108, fines for violating the disabled parking law cannot be suspended or waived.
- **9.** Temporary and visitor parking permits
 - a. Campus visitor permits are required for visitors to park on campus Monday through Friday when classes are in session. Visitor permits allow an individual to park in the visitor parking when available or the perimeter (purple) color-coded lots on the campus. These permits can be obtained at the Tennessee Tech Police Department twenty-four (24) hours a day.

- b. Official visitor parking permits are available for individuals that are on campus for official business with Tennessee Tech. These permits must be approved by designated Tennessee Tech administrators. An official visitor permit allows the vehicle to park in any legal space on campus that is not specifically reserved.
- c. The Tennessee Tech Police Department may issue a temporary parking permit to individuals who have a parking permit on file and who have lost, misplaced, etc. the original hang tag.
- **G.** Motor Vehicles are to be parked within two (2) marked lines and not protruding into another marked space. Violations of this type may result in a citation being issued by the Tennessee Tech Police Department.
- **H.** Disabled vehicles will not be permitted to remain on campus beyond seven (7) days without the written approval of the Chief of the Tennessee Tech Police Department.
- **I.** Trailers and boats cannot not be parked on campus without the prior written approval of the Chief of the Tennessee Tech Police Department.
- **J.** Motor Vehicles or other means of conveyance parked in such a way as to create a traffic hazard, including, but not limited to, blocking dumpsters, wheelchair ramps, sidewalks, crosswalks, and other parked vehicles may be cited by the Tennessee Tech Police Department for illegal parking and/or may be towed or impounded at the owner's expense.
- **K.** Motor Vehicles not displaying a parking permit during zoned parking enforcement may be restrained by the Tennessee Tech Police Department with a wheel lock in order to identify the owner/operator of the Motor Vehicle during the times of zoned parking.

L. Repeated Citations

- 1. Repeated and/or flagrant parking violations may result in the Motor Vehicle being towed at the owner's expense.
- **2.** Tennessee Tech may revoke an individual's parking privileges for repeated and flagrant parking violations.
- **M.** Tennessee Tech will assess fines in accordance with the Fine Schedule. Fines will not exceed any limits imposed by state law or local ordinances.
 - 1. Students with outstanding traffic citations will not be permitted to register at the beginning of the semester until indebtedness is cleared.

N. Traffic Enforcement

- 1. Operators of Motor Vehicles on Tennessee Tech property must obey all traffic rules, regulations, postings, or directions, regardless of whether the rule, regulation, posting, or direction is included in this policy.
- 2. The speed limit on all Tennessee Tech streets as well as city streets running through Tennessee Tech are enforced by the Tennessee Tech Police Department. Violations of this may result in the operator of the Motor Vehicle receiving a speeding citation by Tennessee Tech Police.

- **3.** The reckless operation of a Motor Vehicle on the Tennessee Tech campus including, but not limited to, squealing tires, sliding the vehicle, and operating the vehicle at a high rate of speed are serious safety hazards and strictly prohibited. Operators may be issued a citation by Tennessee Tech Police as well as face disciplinary action for a violation of this nature.
- **4.** Operators of Motor Vehicles are prohibited from overtaking/passing another Motor Vehicle in operation on streets within the Tennessee Tech campus. Violations of this may result in the operator of the Motor Vehicle receiving a citation from Tennessee Tech Police.
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- 7. Operators of Motor Vehicles must pull to the edge of the roadway and come to a complete stop to yield the right of way to emergency vehicles displaying active lights and/or sirens. Failure to do so may result in the operator of the Motor Vehicle receiving a citation for the violation from Tennessee Tech Police.
- O. Individuals riding bicycles on the Tennessee Tech campus must observe and obey all traffic control devices on all Tennessee Tech and city streets within the Tennessee Tech campus. Failure to do so may result in the operator of the bicycle being issued a citation for the violation by Tennessee Tech Police.

V. Traffic and Parking Citation Disputes and Appeals

- **A.** Officers of the Tennessee Tech Police Department may issue citations for violations under certain circumstances in either Cookeville City Court for violations of city ordinances or Putnam County General Sessions Court for violations of state laws. Individuals that receive a City Court or General Sessions Court citation must either appear in court on the court date listed on the citation or pay the citation fine if appearance in court is not required.
- **B.** Any Tennessee Tech student who has received a Tennessee Tech traffic and/or parking citation may appeal the citation within fifteen (15) business days of the date of issue to the Student Traffic Appeals Committee. Appeals may be filed through the Tennessee Tech Police Department Parking Portal.

- C. Any Tennessee Tech employee who has received a Tennessee Tech citation for traffic and/or parking violation may appeal the citation within fifteen (15) business days of the date of issue to the Faculty and Staff Traffic Appeals Committee. Appeals may be filed through the Tennessee Tech Police Department Parking Portal.
- **D.** Any non-Tennessee Tech employee or student who has received a Tennessee Tech parking citation may appeal the citation within fifteen (15) days of the date of issue to the Faculty and Staff Traffic Appeals Committee. Appeals may be filed through the Tennessee Tech Police Department Parking Portal.
- E. The Student Traffic Appeals Committee meets regularly during the Fall and Spring semesters. Students are notified of the Committee's decision by an email sent to the student's tntech.edu address. The Faculty and Staff Traffic Appeals Committee meets once in the Fall semester and once in the Spring semester, absent good cause. Tennessee Tech employees are notified of the Committee's decision by an email sent to the employee's tntech.edu address or last known home address.
- **F.** The Student Traffic Appeals Committee and the Faculty and Staff Traffic Appeals Committee decisions may be appealed to the Vice President for Student Affairs by submitting a written appeal with all relevant documentation attached within five (5) business days of the notification of the appropriate committee decision.
- **G.** The Vice President for Student Affairs will communicate his/her decision to the individual making the appeal within five (5) business days after receiving the written appeal along with all relevant documentation. This notification will be sent to the appellant's threch.edu email address or in case of former employees, to the last known home address. The decision of the Vice President for Student Affairs is final.

VI. Liability for Theft or Damage

Tennessee Tech assumes no financial responsibility for theft or damage to Motor Vehicles or their contents when parked or operated on campus.

VII. Interpretation

The President or his/her designee has the final authority to interpret the terms of this policy.

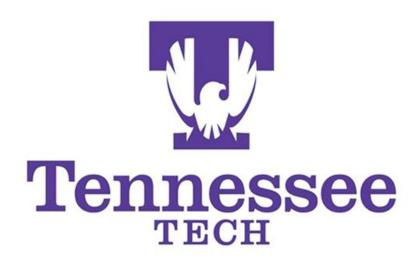
VIII. Citation of authority for policy T.C.A. 49-8-203(a)(1)(D)

Approved by:

Administrative Council: April 5, 2017

University Assembly: April 19, 2017

Board of Trustees:



Context, Current Place and the Journey Ahead

Presentation to Board of Trustees

June 15, 2017





Vision Statement

Tennessee Tech will be nationally recognized as a **leading technological university** in the South, providing academic, economic and cultural leadership in the region and producing **practical**, **ready-to-work graduates** from a broad range of academic disciplines **prepared to excel** in a technologically driven world.



A Snap Shot of Two Decades

⇨

The Housing Boom (2000 to 2008)

- · Steady increases in tuition
- · Rising enrollment
- · Stable state funding
- Increasing federal support via various programs

Great Recession (2009-2010)

- State appropriations plummet
- Family ability to pay drops

Immediate Response (2010 & 2011)

- Increase Tuition
- Cut Spending
 - -Hiring freezes
 - -Salary freezes
 - -Stop capital spending -Etc.

Market Shift (2011 & continuing)

- Focus on value
- Increased competition for students
- Continued tuition increases
- Legitimate technology enabled substitutes: online/competency based education
- · Demographic Impacts
- STEM focus

Tennessee State Actions
Driven by Drive to 55 Vision

 \Rightarrow

CCTA (2010)

 \Rightarrow

President Oldham Presidency (July 2012 to current)

- Begin discussing the need to change
- Developed Flight Plan
- · Established brand
- Focused on financial management based on mission

Our Challenge (2017 to 2022)

- Define & pursue strategic differentiation
- Enhance academic reputation
- Continue campus upgrade
- Improve financial predictability
- Develop future university leaders

Tennessee Tech Tomorrow (2022)

⇨

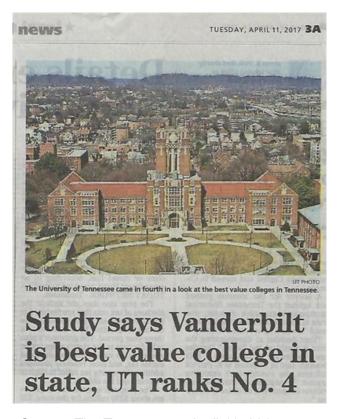
- A leading technological university in the South
- Top choice for Tennesseans
- · Strategically differentiated
- Destination campus
- High value
- Expanded, sustained financial resources

FOCUS Act (2016) and TN Promise (2013)

Tennessee Reconnect Act (2017)



Tech #1 in Value Among Tennessee Public Universities

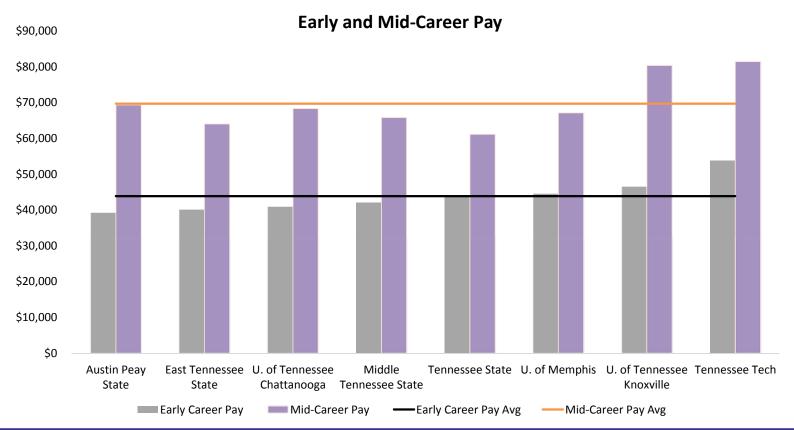


Source: The Tennessean, April 11, 2017

- Study conducted by financial technology company SmartAsset determined that Tennessee Tech is the best public university value in Tennessee.
- Among all Tennessee universities, Tennessee Tech ranked second behind only Vanderbilt University.
- Factors that the study considered included:
 - · Scholarships provided
 - · Starting salary for graduating students
 - Tuition
 - Living costs
 - Retention rate



Tech Best Salary Potential for Public Universities in Tennessee

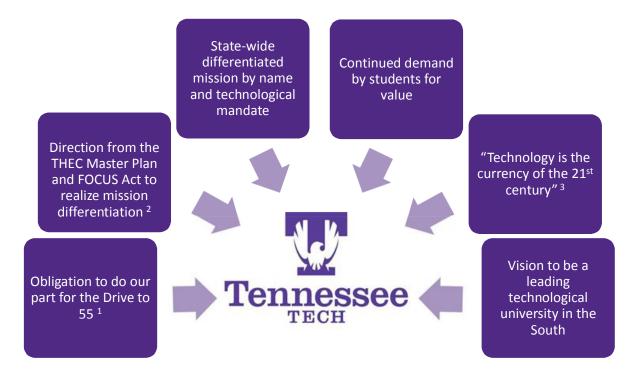


According to Payscale, Tennessee Tech has both the highest early career salary and mid-career salary potential among public state Universities.

Source: 2016-2017 Payscale College Salary

Report

Time to Adjust our Course: Framing the Path



¹ Drive to 55: Initiative to get 55% of Tennesseans college degrees or certificates by 2025



² THEC Master Plan 2015-2025; FOCUS Act: grants four-year state universities additional autonomy through creation of local boards for the state's six public universities

³ President Oldham's Blog

Competitive Market Reality for Higher Education

Enhanced competitive differentiation is necessary to:

- Grow
- Build our Brand Identity
- Provide Value



2017: Tech is one among many in-state public universities

2022: Tech is a leading technological university in the South



2017: Time to Accelerate



Tech is well positioned to realize the vision and enhance our impact and service for the state of Tennessee in fulfillment of our mission.



Tech Flight Plan Background

- Flight Plan was developed in 2012 when President Oldham arrived at Tennessee Tech to enhance the strategic direction of the university.
- Strategic focus areas were identified via a thorough review of the landscape of higher education and of data for comparative peer institutions.
- Representative metrics were selected to evaluate progress.
- Metrics show we made significant progress or changed the conversation in all focus areas. Examples include student success, increased private resources, focus on innovation and entrepreneurship, and iCube collaboration.

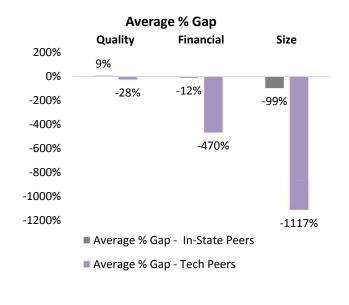


Tech Must Close the Gap with Other Technological Universities

Category*	Average % Gap - In-State Peers	Average % Gap - Tech Peers		
Quality	9%	-28%		
Financial	-12%	-470%		
Size	-99%	-1117%		

How can Tech close the gap?

Differentiation
Growth
Agility
Courage



To fulfill its mission and to serve the state, Tech must differentiate.

Quality includes: ACT Score Range: 25th Percentile, ACT Score Range: 75th Percentile, Retention Rate (1st to 2nd Year), Six-Year Graduation Rate **Financial includes:** Operating Expenditures per Student FTE, Endowment per Student FTE

Size includes: FTE Enrollment, Bachelor's Degrees Conferred, Doctoral Degrees Conferred, Master's Degrees Conferred, Total Research Expenditures/Full-time Tenured Faculty



Flight Plan Metric Benchmarks of In-State Peers

Areas of Focus	Metric	Tennessee Tech	Average of In-State Peers*	Difference/ Gap
Undergraduate Education	ACT Score Range: 25th Percentile	21	20	1
	ACT Score Range: 75th Percentile	27	25	2
	FTE Enrollment	9,772	11,471	-1,699
	Bachelor's Degrees Conferred	1,842	2,064	-222
	Retention Rate (1st to 2nd Year)	75%	72%	3%
	Six-Year Graduation Rate	53%	43%	10%
Graduate Education	Doctoral Degrees Conferred	19	95	-76
	Master's Degrees Conferred	310	506	-196
Research	Total Research Expenditures/Full-time Tenured Faculty	\$33,660	\$34,776	-\$1,116
Financial Resources	Operating Expenditures/Student FTE	\$15,325	\$18,469	-\$3,144
	Endowment/Student FTE	\$7,109	\$7,414	-\$305

In-State peers include: Austin Peay, East Tennessee State University, Middle Tennessee State University, University of Tennessee Chattanooga, University of Tennessee Martin, University of Memphis, and Tennessee State



Source: IPEDS (2015)

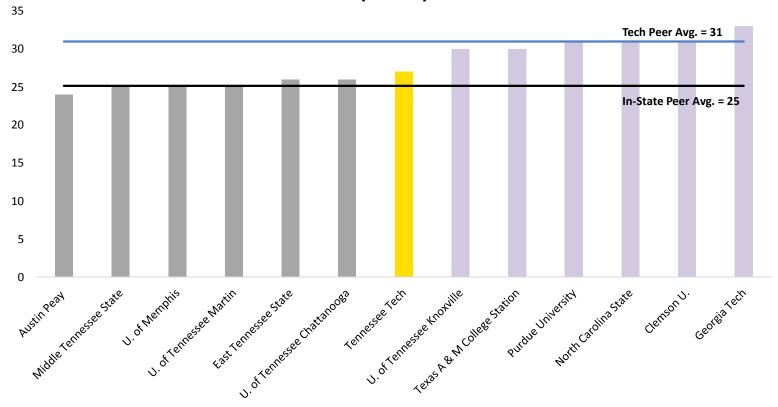
Flight Plan Metric Benchmarks of Leading Technological Universities

Areas of Focus	Metric	Tennessee Tech	Average of Tech Peers*	Difference/ Gap
	ACT Score Range: 25th Percentile	21	26	-5
Undergraduate Education	ACT Score Range: 75th Percentile	27	31	-5
	FTE Enrollment	9,772	-32,084	-22,312
	Bachelor's Degrees Conferred	1,842	5,556	-3,714
	Retention Rate (1st to 2nd Year)	75%	92%	-17%
	Six-Year Graduation Rate	53%	78%	-25%
Graduate Education	Doctoral Degrees Conferred	19	709	-690
	Master's Degrees Conferred	310	1,853	-1,543
Research	Total Research Expenditures/Full-time Tenured Faculty	\$33,660	\$379,850	-\$346,189
Financial Resources	Operating Expenditures/Student FTE	\$15,325	\$39,810	-\$24,485
rilialiciai nesources	Endowment/Student FTE	\$7,109	\$62,638	-\$55,529

Technological peers include: Clemson University, Georgia Tech, North Carolina State, Purdue University, Texas A & M College Station, University of Tennessee Knoxville, and Virginia Tech Source: IPEDS (2015)



Flight Plan Benchmarks – ACT 75th Percentile (2015)

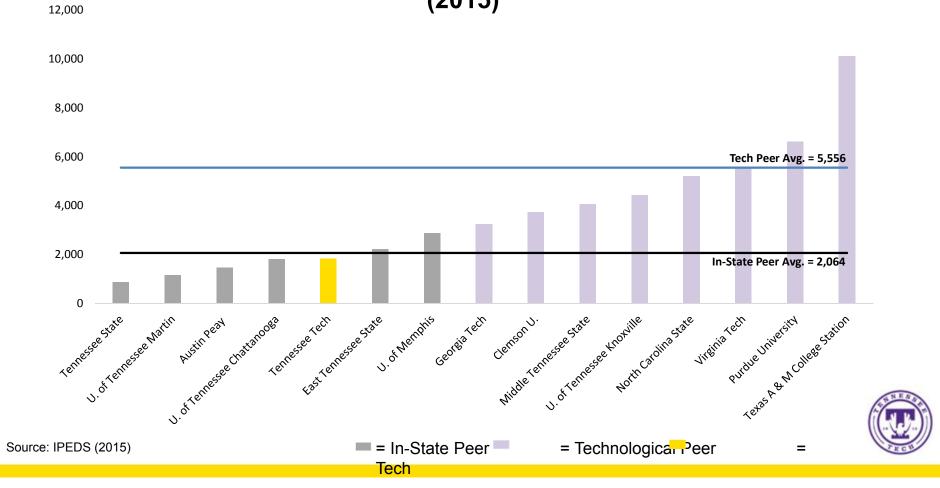


Note: Data for Tennessee State and Virginia Tech unavailable

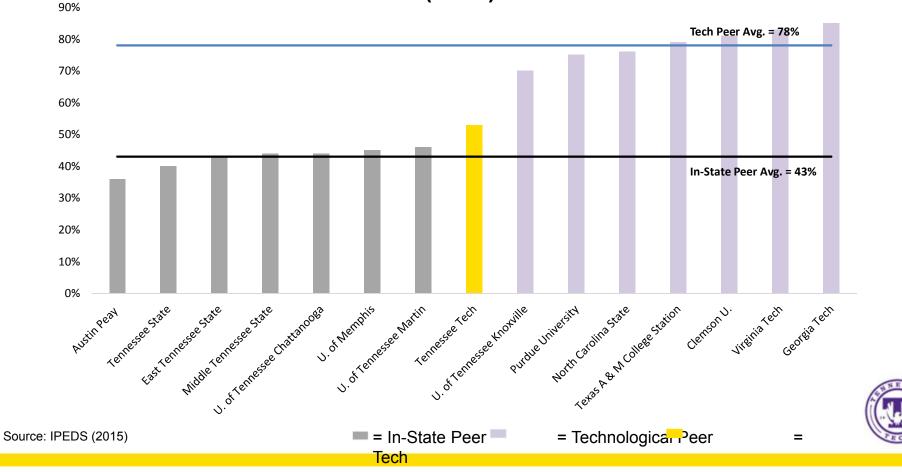
Source: IPEDS (2015) = In-State Peer = Technologica = =

Tech

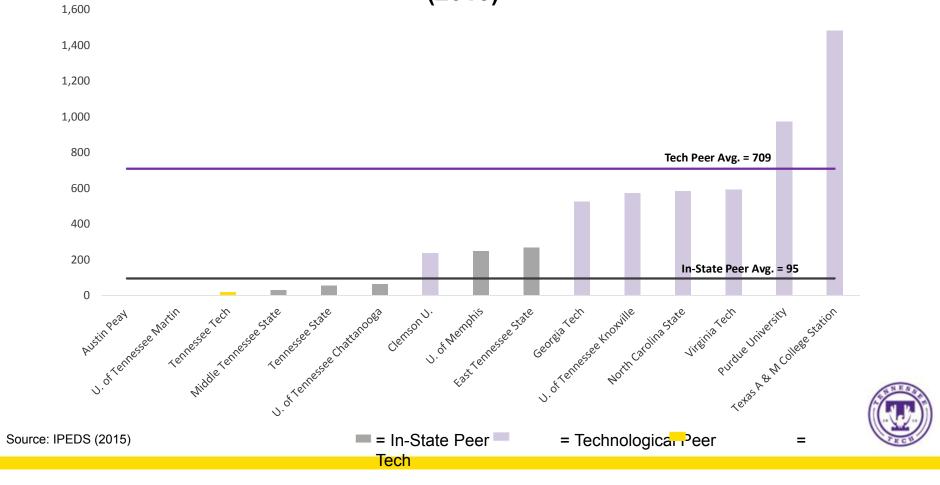




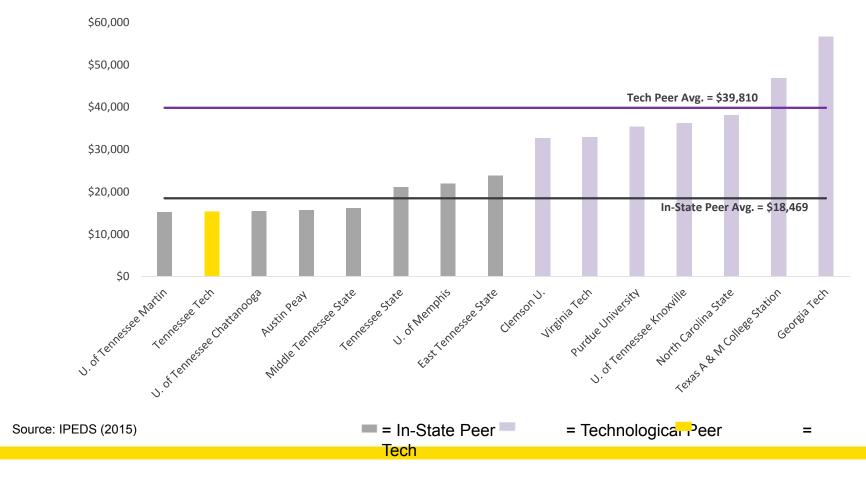
Flight Plan Benchmarks – Six-Year Graduation Rate (2015)



Flight Plan Benchmarks – Doctoral Degrees Conferred (2015)



Operating Expenditures/Student FTE (2015)



What's Next?

- Focused time at each board meeting for update on progress
- Deep dives into specific topics
- Discussion about board role

The Journey



Journey Timeline (2017-2022)

	2017								2018				2018-2022						
	Mar.	Apr.	May	Jun.	Jul.	Aug.	Sep.	Oct.	Nov.	Dec.	Q1	Q2	Q3	Q4	2018	2019	2020	2021	2022
First Tech Board Meeting																			
Tennessee Tech Tomorrow Goes Public																			
University Organization Assessment & Alignment																			
Strategic Planning Preparation																			
Develop New Strategic Plan																			
Board Retreat on Realizing the Vision																			
Execution of Strategic Priorities																	*		

New Sciences Building Planned to Open

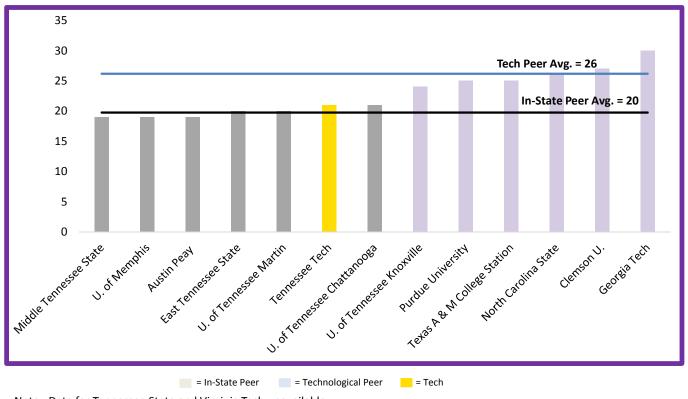


DISCUSSION

Appendix



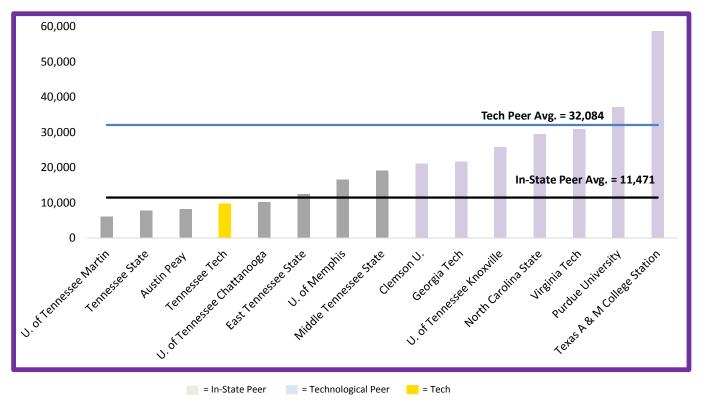
Flight Plan Benchmarks – ACT 25th Percentile (2015)



Note: Data for Tennessee State and Virginia Tech unavailable

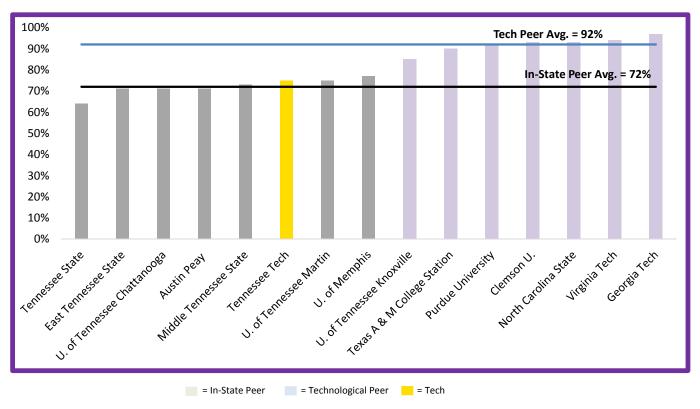


Flight Plan Benchmarks – FTE Enrollment (2015)



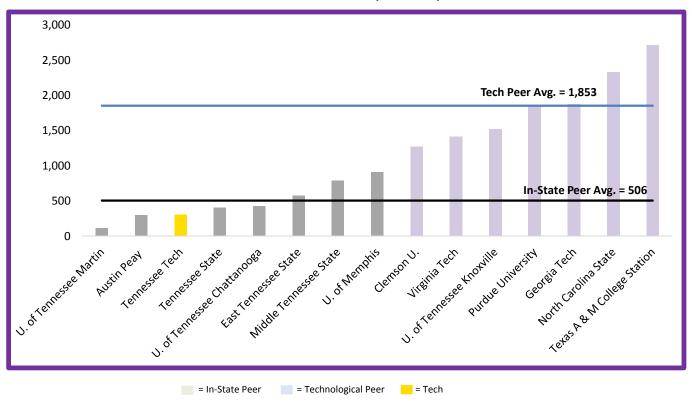


Flight Plan Benchmarks – Full Time Retention Rate (2015)



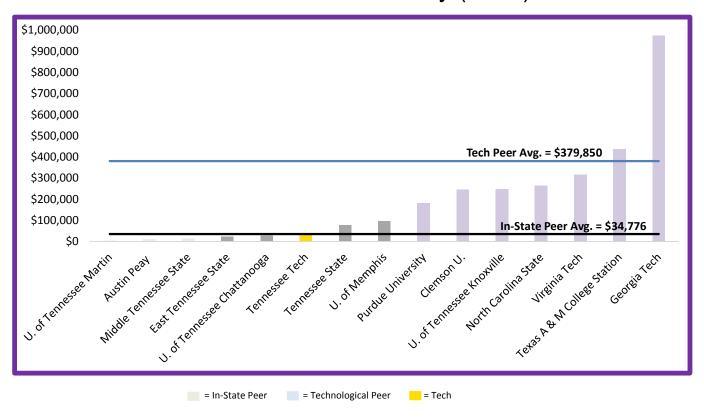


Flight Plan Benchmarks – Master's Degrees Conferred (2015)



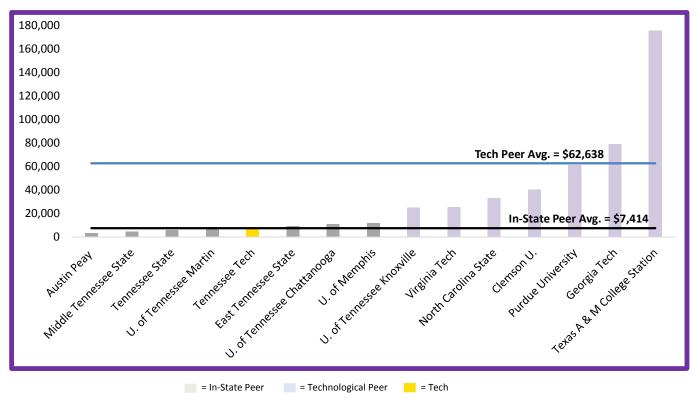


Flight Plan Benchmarks – Total Research Expenditures/ Full-time Tenured Faculty (2015)





Flight Plan Benchmarks – Endowment/Students FTE (2015)





US News & World Report Rankings

Institution Name	2017 US News & World Report Rank (National University Category)
Georgia Tech	34
Purdue University	60
Clemson U.	66
Texas A & M College Station	74
Virginia Tech	74
North Carolina State	92
U. of Tennessee Knoxville	103
Tennessee Tech	220
U. Of Tennessee Martin	Not Applicable*
U. of Tennessee Chattanooga	Not Applicable*
Austin Peay	Not Applicable*
East Tennessee State	RNP**
Middle Tennessee State	RNP**
Tennessee State	RNP**
U. of Memphis	RNP**

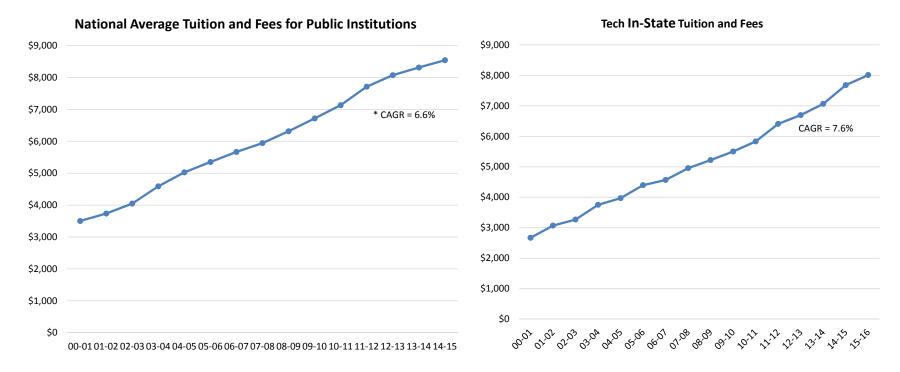
^{*} U. of Tennessee Martin is ranked 47 in the South Regional Universities category
U. of Tennessee Chattanooga is ranked 62 in the South Regional Universities category
Austin Peay is ranked 79 in the South Regional Universities category

Source: US News & World Rankings (2017)



^{**} RNP = Rank Not Published

Tuition and Fees



^{*} CAGR = Compound annual growth rate

Supports: The Housing Boom (2000 to 2008); Immediate Response (2010 &2011); Market Shift (2011 & Continuing)

Source: IPEDS; National Center for Education Statistics

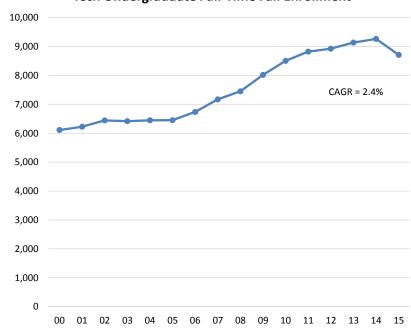


Enrollment





Tech Undergraduate Full-Time Fall Enrollment



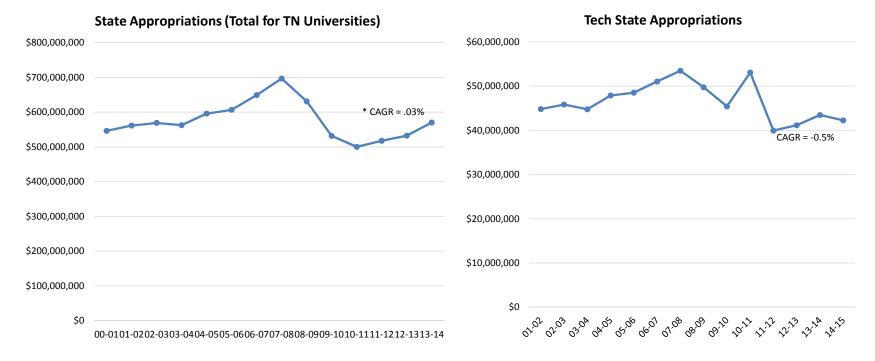
* CAGR = Compound annual growth rate

Supports: The Housing Boom (2000 to 2008)

Source: IPEDS; National Center for Education Statistics



State Appropriations



^{*} CAGR = Compound annual growth rate

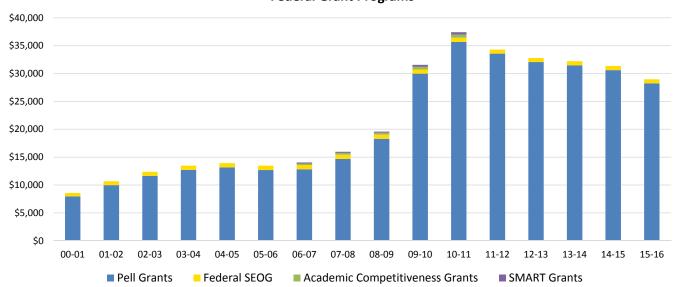
Supports: The Housing Boom (2000 to 2008); Great Recession (2009 & 2010)

Source: IPEDS; National Center for Education Statistics



Federal Support

Federal Grant Programs



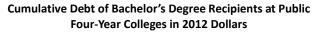
^{*} Academic Competitiveness Grants and SMART Grants were available from school years 05-06 through 10-11

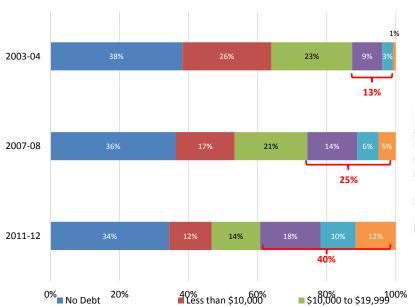
Supports: The Housing Boom (2000 to 2008)

Source: College Board "Trends in Higher Education"

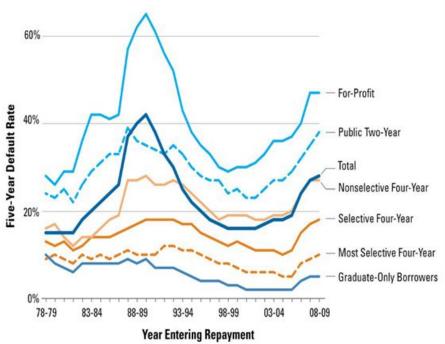


Family Ability to Pay





Five-Year Federal Student Loan Default Rates, Borrowers Entering Repayment in 1978-79 to 2008-09



Supports: Great Recession (2009 & 2010)

■\$30,000 to \$39,999

■ \$40,000 or More

Source: College Board "Trends in Higher Education"

■ \$20,000 to \$29,999





Agenda Item Summary

Date: June 15, 2017			
Division: Academic Af	fairs		
Agenda Item: SACSCO	C Information		
Review	Action	No action required	

PRESENTERS: Provost Ghorashi

PURPOSE & KEY POINTS:

Tennessee Tech University (TTU) is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) to award baccalaureate, masters, specialist, and doctoral degrees. The U.S. Department of Education (USDE) requires accrediting agencies it recognizes, such as SACSCOC, to monitor institutions to ensure that institutions having access to federal funds continue to meet accreditation standards. TTU was first accredited in 1939 and was most recently reaffirmed of the accreditation in 2016. The University's next reaffirmation is scheduled for 2026.

The SACSCOC defines substantive change as "a significant modification or expansion in the nature and scope of an accredited institution." According to SACSCOC policy, change of governance is a substantive change, which requires prior notification and prior approval by SACSCOC, as well as an on-site visit by a substantive change committee. Attachment 1 shows the timeline of the correspondence and activities related to the governance change.

Tennessee Tech's on-site visit with a SACSCOC Substantive Change Committee has been scheduled for September 26-28, 2017. The Committee will conduct interviews with TTU Trustees, administrators, faculty, staff, and students to examine whether the institution continues to be in compliance with the *Principles of Accreditation*. In preparation for the visit, Tennessee Tech will submit a comprehensive report to SACSCOC in early August 2017 documenting compliance with specific *Principles*, as described in attachment 2.

Part I. Overview

Provide a timeline for the change. Discuss the rationale for the change. If programs are being added or dropped as a result of the change, provide evidence of SACSCOC approval of those changes (e.g., approval of teach-out arrangements), and include a completed "Institutional Summary Form Prepared for Commission Reviews."

Part II. Institutional Assessment of Compliance

Directions to the Institution for Part II: Provide narrative and documentation to support compliance with each standard, **emphasizing the impact of the substantive change on that aspect of the institution**. Only address the change in control, ownership, or governance except where broader information is needed to establish compliance.

Section 1: THE PRINCIPLE OF INTEGRITY

1.1 The institution operates with integrity in all matters. (Integrity)

[No response necessary. This statement will be addressed by the visiting committee, not by the institution.]

Section 2: CORE REQUIREMENTS

2.1 The institution has degree-granting authority from the appropriate government agency or agencies. (**Degree-granting authority**)

[Provide the legal name of the institution as well as the common name of the institution. If the name(s) have changed as a result of the change in control, ownership, or governance, explain. Include the dates for governmental approval and implementation of the change along with supporting documentation.]

2.2 The institution has a governing board of at least five members that is the legal body with specific authority over the institution. The board is an active policy-making body for the institution and is ultimately responsible for ensuring that the financial resources of the institution are adequate to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from it. Both the presiding officer of the board and a majority of other voting members of the board are free of any contractual, employment, or personal or familial financial interest in the institution.

A military institution authorized and operated by the federal government to award degrees has a public board on which both the presiding officer and a majority of the other members are neither civilian employees of the military nor active/retired military. The board has broad and significant influence upon the institution's programs and operations, plays an active role in policy-making, and ensures that the financial resources of the institution are used to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests

separate from the board except as specified by the authorizing legislation. Both the presiding officer of the board and a majority of other voting board members are free of any contractual, employment, or personal or familial financial interest in the institution. (Governing board)

- 2.3 The institution has a chief executive officer whose primary responsibility is to the institution and who is not the presiding officer of the board. (Chief executive officer)
- 2.4 The institution has a clearly defined, comprehensive, and published mission statement that is specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service. (Institutional mission)

Section 3: COMPREHENSIVE STANDARDS

3.2 Governance and Administration

- **3.2.1** The governing board of the institution is responsible for the selection and the periodic evaluation of the chief executive officer. (CEO evaluation/selection)
- **3.2.2** The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure: **(Governing board control)**
 - **3.2.2.1** the institution's mission;
 - **3.2.2.2** the fiscal stability of the institution; and
 - **3.2.2.3** institutional policy
- **3.2.3** The governing board has a policy addressing conflict of interest for its members. (Conflict of interest)
- **3.2.4** The governing board is free from undue influence from political, religious, or other external bodies and protects the institution from such influence. **(External influence)**
- **3.2.5** The governing board has a policy whereby members can be dismissed only for appropriate reasons and by a fair process. **(Board dismissal)**
- **3.2.6** There is a clear and appropriate distinction, in writing and practice, between the policymaking functions of the governing board and the responsibility of the administration and faculty to administer and implement policy. (**Board/administration distinction**)
- **3.2.7** The institution has a clearly defined and published organizational structure that delineates responsibility for the administration of policies. **(Organizational structure)**
- **3.2.8** The institution has qualified administrative and academic officers with the experience and competence to lead the institution. (Qualified administrative/academic officers)

3.7 Faculty

3.7.5 The institution publishes policies on the responsibility and authority of faculty in academic and governance matters. **(Faculty role in governance)**

3.10 Financial Resources

3.10.3 The institution exercises appropriate control over all its financial resources. (Control of finances)

3.13 Responsibility for compliance with other Commission policies

3.13.4 "Reaffirmation of Accreditation and Subsequent Reports"

3.13.4.b. Applicable Policy Statement. If an institution is part of a system or corporate structure, a description of the system operation (or corporate structure) is submitted as part of the Compliance Certification for the decennial review. The description should be designed to help members of the peer review committees understand the mission, governance, and operating procedures of the system and the individual institution's role with in that system.

Documentation: The institution should provide a description of the system operation and structure or the corporate structure if this applies.

3.13.5 "Separate Accreditation for Units of a Member Institution"

3.13.5.b. Applicable Policy Statement. If the Commission on Colleges determines that an extended unit is autonomous to the extent that the control over that unit by the parent or its board is significantly impaired, the Commission may direct that the extended unit seek to become a separately accredited institution. A unit which seeks separate accreditation should bear a different name from that of the parent. A unit which is located in a state or country outside the geographic jurisdiction of the Southern Association of Colleges and Schools and which the Commission determines should be separately accredited or the institution requests to be separately accredited, applies for separate accreditation from the regional accrediting association that accredits colleges in that state or country

Implementation: If, during its review of the institution, the Commission determines that an extended unit is sufficiently autonomous to the extent that the parent campus has little or no control, the Commission will use this policy to recommend separate accreditation of the extended unit. **No response required by the institution.**

3.14 Representation of status with the Commission

3.14.1 A member or candidate institution represents its accredited status accurately and publishes the name, address, and telephone number of the Commission in accordance with Commission requirements and federal policy. (**Publication of accreditation status**)

Section 4: FEDERAL REQUIREMENTS

- 4.5 The institution has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. (See the Commission policy "Complaint Procedures against the Commission or its Accredited Institutions.") (Student complaints)
- 4.7 The institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended. (In reviewing the institution's compliance with these program responsibilities, the Commission relies on documentation forwarded to it by the U. S. Department of Education.) (Title IV program responsibilities)

Timeline of the Correspondence and Activities Related to the Governance Change

Date	Activity
March 2, 2016	David Gregory, Acting TBR Chancellor, informed Dr. Belle Wheelan, Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) President, of a pending governance change that would affect the six universities within the TBR system [1]. The FOCUS Act, on passage, would require these universities to create their own boards of trustees.
March 18, 2016	Dr. Wheelan responded to Dr. Gregory's notification, outlining SACSCOC policy regarding substantive change and requesting a meeting with presidents and representatives from affected institutions because the legislative timeline for the proposed change was not consistent with the timeline of SACSCOC policies [2].
April 15, 2016	Tennessee Governor Bill Haslam signed the FOCUS Act.
May 6, 2016	The TTU FOCUS Act Transition Taskforce was established. President Philip Oldham explained his charge to the Taskforce that it will guide and coordinate all the pertinent tasks as the University transitions from TBR to its own governing board.
June 20, 2016	TTU President Philip Oldham, Provost Bahman Ghorashi, and Accreditation Liaison Sharon Huo, along with the presidents and other representatives from the affected universities, met with SACSCOC officials to discuss the process and timeline regarding the governance change.
June 24, 2016	President Oldham received a letter from Dr. Wheelan that outlines the schedule of approval process for governance change [3].
July 1, 2016	The FOCUS Act became effective, amending Tennessee law relative to the structure and organization of public higher education in the state. The FOCUS Act requires creation of local boards of trustees for each of the six universities previously governed by the TBR, including TTU [4].
August 29, 2016	President Oldham submitted a prospectus to SACSCOC describing the change in governance of TTU from the TBR to the Board of Trustees [5].
September 28, 2016	Governor Haslam announced the eight appointees to the newly created Board of Trustees [6].
October 14, 2016	President Oldham submitted an addendum to SACSCOC containing a list of proposed TTU governing board members, their occupations, professional affiliations, and terms of office [7].
November 15, 2016	President Oldham submitted additional information on the Board of Trustees to SACSCOC that included a newly selected faculty board member [8].
January 11, 2017	President Oldham received a letter from Dr. Wheelan that outlines actions taken by the Executive Council of the SACSCOC Board of Trustees [9]: The Council received the recommendation of the SACSCOC Board

	of Trustees Committee on Compliance and Reports to approve the change of governance from TBR to the Board of Trustees and to authorize an on-site review by a substantive change committee. The Council requested that TTU submit the final list and proof of confirmation of the members of the Board of Trustees.
February 13, 2017	The Tennessee General Assembly confirmed Governor Haslam's eight appointments to the Board of Trustees [10].
February 13, 2017	President Oldham submitted a second addendum to SACSCOC containing the final list and proof of confirmation of the members of the Board of Trustees; TTU's financial audit report for FY 2016 that ended June 30, 2016; TTU's Management Rep Letter FY2016, and a statement of financial position of unrestricted net assets FY 2016 [11].
March 7, 2017	The Governor issued a letter calling the first board meeting [12].
March 15, 2017	The Executive Council of the SACSCOC Board of Trustees approved change in governance of TTU, and authorized a Substantive Change Committee to visit the institution within six months of the implementation of the governance change [13].
March 23, 2017	THEC provided orientation for University board members [14]; the Board of Trustees was convened, adopted Board Bylaws and policies, and assumed governance of TTU [15].
March 23, 2017	The Board of Trustees sent a letter to the U.S. Department of Education acknowledging TTU's continued responsibilities under the Program Participation Agreement [16].
March 29, 2017	President Oldham sent a letter informing SACSCOC that the Board of Trustees had sent a letter to the U.S. Department of Education acknowledging TTU's continued responsibilities under the Program Participation Agreement [17].
June 15, 2017	The Board of Trustees will convene for its Second Board.
September 26- 28, 2017	TTU's on-site visit with a SACSCOC substantive change committee will be held.



Agenda Item Summary

Date: June 15, 2017								
Division: Board Secretary								
Agenda Item: Announcement of Meeting Dates								
Review	Review + Action	Action						
No a	action required							
PRESENTER: Mr. Jones								

After polling the board members about their availability, the Secretary has set the following dates for the next three regular board meetings:

Thursday, August 17, 2017 Monday, December 11, 2017 Thursday, March 22, 2018

PURPOSE & KEY POINTS:

There will be a 30 minute event after each Board meeting for attendees to talk to the Board members on a one-on-one basis.

Board committees will meet in the morning before the full Board meets and there may be a social event on the evening before each meeting date.