



**PRESIDENTS MEETING  
TUESDAY, NOVEMBER 8, 2011 – 9:00 A.M. (CT)  
TBR BOARD ROOM**

1. Dr. Rod A. Risley - Phi Theta Kappa Executive Director (Vice Chancellor Warren Nichols)
2. Additional Perkins Money for Community Colleges Available (Vice Chancellor Warren Nichols)
3. Completion Delivery Unit (Chancellor Morgan)
4. Revision to TBR Policy for Program Approval Process – TBR Policy 2:01:01:00 – Approval of Academic Programs, Units and Modifications (Vice Chancellor Paula Myrick Short) - Attachment
5. Revision to TBR Guideline for Program Approval Process - TBR Guideline A-010 – Academic Program Letters of Intent and Proposals (Vice Chancellor Paula Myrick Short) - Attachment
6. Revision to TBR Policy 3:04:01:00 – Student Scholarships, Grants, Loans, and Financial Aid Programs (Vice Chancellor Dale Sims) - Attachment
7. Revision to TBR Policy 4:01:05:00 - Internal Audit (Tammy Gourley) - Attachment
8. Revision to TBR Policy 4:01:05:50 - Preventing and Reporting Fraud, Waste, or Abuse (FWA) – (Tammy Gourley) - Attachment

**PRESIDENTS QUARTERLY MEETING**  
**November 2011**

DATE: Presidents Meeting (November 8, 2011)

AGENDA ITEM: Policy Revision for Program Approval Process  
TBR Policy 2:01:01:00, *Approval of Academic Programs, Units, and Modifications*

ACTION: Requires Vote

PRESENTER: Paula Myrick Short, Ph.D.  
Vice Chancellor for Academic Affairs

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BACKGROUND INFORMATION:

TBR Policy 2:01:01:00, *Approval of Academic Programs, Units, and Modifications* has been revised to clarify requirements for the approval of letters of intent and proposals for academic actions. The proposed changes align the TBR policy with the revisions to THEC policy approved by the Commission in July 2011. Upon approval by the Presidents, the policy will be taken to the Board for approval in December 2011.



**Policy 2:01:01:00**

**Subject: Approval of Academic Programs, Units, and Modifications**

**INTRODUCTION**

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

Institutions have the authority to create new courses. However, if the development cost of a fully online course exceeds \$9,500 for the course, then justification must be submitted to the Office of Academic Affairs for approval. Institutions have the authority to terminate existing courses, determine course content or design, and carry out curriculum revisions less extensive than those the Board has reserved to itself or otherwise delegated. The Tennessee Higher Education Commission (THEC) must

review and approve new academic programs, off-campus extensions of existing academic programs, new academic units (divisions, colleges, and schools), and new instructional locations as proposals specified in **THEC Policy No. A1:0: New Academic Programs – Approval Process, Attachment B (A1:0), and A1:1, New Academic Programs: Approval Process Program Review Criteria**. ~~This~~ These THEC policies should serve as a resource for the development of all academic proposals.

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Prior to developing a proposal, Letters of Intent are required from all TBR institutions for new degree programs or certificates with 24 semester credit hours (SCH) or more.

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

## Section I. Process

### A. Academic Proposals That Must Be Taken to the Board

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

### B. Academic Proposals Approved by the Board through Delegated Authority

Other than new degree programs, academic proposals may be approved by the Board through delegated authority to the Chancellor. Summaries of these proposals will be reported monthly or as needed, to the Board, with a 30-day period for Board review. Board members may contact the Vice Chancellor for Academic Affairs with questions or concerns, and if desired, can require that the proposal be brought before the full Board at its next quarterly meeting.

Institutions shall provide, to the Vice Chancellor for Academic Affairs, proposals related to the following:

- 1) Establishment of any Certificate of Credit included in the academic inventory or that will be included in the institution's *Catalog* or other recruitment materials and activities. The term "institutional certificate" applies only to certificates awarding continuing education credit. If college credit is to be awarded and promoted as a certificate, the program of study is subject to Board approval. There are four types of certificates listed on the official Academic Program Inventory: 1) Academic, 2) Technical, 3) Undergraduate, and Undergraduate and 4) Graduate. A certificate can be free-standing or embedded within a degree program. An embedded certificate must fully articulate with a degree. There should be no new or no more than minimal costs required to implement an embedded certificate.
- 2) Establishment of concentrations within an existing academic program.
- 3) Establishment of new academic units such as colleges, schools, departments, institutes, centers within existing academic units, bureaus, etc., (see TBR Guideline A-040, and THEC Policy A1.3, New Units and A1.4, Off-Campus Instruction.)
- 4) Revision of any admission, retention, or graduation policy (both institutional and program specific)

5) Substantive revision of the curriculum of an existing academic program. (Substantive refers to changes impacting 18 or more semester credit hours at the undergraduate level, ~~or~~ 9 or more credit hours at the graduate level, and 50% or more of the credit hours in a certificate program, from the last submission to the Board, and includes changes to course rubrics, titles, descriptions, or content).

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6) Consolidation of existing academic programs.

7) Extension of an existing academic degree program in totality to an off-campus site.

8) Inactivation or termination of academic programs listed in the academic inventory.

Inactivation should be used only when there are plans to reactivate the program within three years. If not reactivated during that period, the program will automatically terminate.

9) Curriculum modifications that increase required hours for a degree to more than 60 for the associate degree and 120 for the baccalaureate degree, or more than the previously approved exceptions. Also, modifications that increase or decrease credit hours from what was previously approved for a certificate or increases or decreases for an existing graduate program in excess of 6 credit hours must be submitted for Board approval.

10) Current approved on-ground programs that will be converted to a fully online delivery format.

#### C. Academic Proposals Requiring Only Notification to Vice Chancellor

Changes to *existing* academic programs not listed above, that require no new costs or minimal costs that the campus will fund through reallocation of existing resources or through sources such as grants and gifts, may be approved through an established process by the institution. The Vice Chancellor for Academic Affairs must be informed of such changes prior to implementation and may refer the proposal for Board approval if deemed appropriate due to costs or other potential concerns. Such action includes, but is not limited to, establishment of new minors and changes such as the modification of the title of an academic program or unit. Minors are typically developed by packaging existing courses and do not usually require new resources or additional costs. Non-

substantive curriculum revisions may be approved through the established institutional process and to not require notification or Board approval.

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

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

## **Section II. Procedures**

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

### **A. Approval Route of Proposals**

Proposals for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Academic Affairs for review and approval by the Board.

Subsequent to Board action, the Chancellor shall transmit to the Tennessee Higher Education Commission those proposals that require its approval along with the Board's recommendation. ~~The TBR Academic Affairs staff will maintain communication with the Commission's staff relative to the proposal until formal action has been taken and will keep the institutions informed of its status.~~

### **B. Schedule for the Submission and Approval of Academic Proposals**

The Board will consider academic degree proposals at each of its quarterly meetings. Proposals must, however, be submitted sufficiently in advance to permit adequate review by the staff. The time required for this review will vary according to the nature of the proposal, the number of proposals already under review, or other workload issues of TBR staff.

### **C. Review by and Selection of Consultants**



TBR staff may engage qualified consultants to assist in the review of all proposals for new degree programs as deemed appropriate by the Vice Chancellor for Academic Affairs for both graduate and undergraduate. Consultants will file a written report on the quality of the proposed program and respond to any other relevant questions or issues addressed to them by TBR. Academic proposals must also comply with THEC policy A1:0 and A1:1. A site visit is typically required for new graduate degree programs.

While it is the responsibility of the institution to provide and support such consultants, the selection will be made by the TBR staff and the Vice Chancellor for Academic Affairs, in consultation with the institution. All costs associated with an external review are borne by the institution submitting the proposal.

### Section III. General Criteria for Reviewing Academic Letters of Intent and Proposals

A summary of the major criteria used by the TBR staff in evaluating academic Letters of Intent and proposals is presented below. Specific requirements for Letters of Intent are provided in TBR Guideline A-010: Academic Program Letters of Intent and Proposals.

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

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

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3) The proposed action does not constitute unnecessary duplication of academic programs, research projects, or public services available at other public institutions. Partnerships, ~~or~~ collaborations or the use of Academic Common Market should be considered whenever possible to meet needs, ~~needs might be met~~ with greater efficiency.

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4) The proposal should establish quality admission, retention and graduation standards.

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

6) The proposal documents the institution's ability to implement the proposed action in terms of: (a) fiscal resources, (b) library and information technology other support resources, (c) physical facilities, and (d) qualified personnel given the level of degree proposed.

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7) The proposal includes information about appropriate articulation and/or affiliations. For programs needing the cooperation of other institutions, evidence of the willingness of these institutions to participate is required.

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8) The proposal includes information about the delivery format.

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

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

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

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

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#### Section IV. Sources of Specific Criteria

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

{1) TBR Policy No. 2:01:00:00, [Undergraduate](#) Degree Requirements

{2) TBR Policy No. 2:02:00:00, Associate Degree Programs

{3) TBR Policy No. 2:01:00:03, Principles for Articulation in Vocational/Technical Education

[\(4\) TBR Guideline No. A-010, Academic Program Proposals](#)

~~{5.4}~~ TBR Guideline No. A-020, Interinstitutional Relationships and Off-Campus Offerings

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~~{6.5}~~ TBR Guideline No. A-040, Evaluation of Bureaus, Centers, and Institutes

~~{7.6}~~ TBR Action (December 1986) endorsing TCGS Criteria as standards for both pre- and post-approved review of Master's programs.

~~{8.7}~~ THEC Policy No. A1:0, New [Academic Programs](#): [Approval Process](#))[Review Criteria](#) ([July 28, 2011](#) [January 27, 2011](#) [November 2002](#))

[\(9.8\) THEC Policy No. A1:1, New Academic Programs \(January 27, 2011](#) [July 28, 2011\)](#)

~~{10.8}~~ THEC Policy A1:3, New Units

Source: TBR Meeting, December 2, 1988, TBR Meeting, December 13, 2002, March 29, 2006; TBR Meeting, December 8, 2006; March 28, 2008; TBR Board Meeting December 2, ~~2010~~ [2010](#).

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**Policy 2:01:01:00**

**Subject: Approval of Academic Programs, Units, and Modifications**

**INTRODUCTION**

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

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## **Section II. Procedures**

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

### **A. Approval Route of Proposals**

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### **B. Schedule for the Submission and Approval of Academic Proposals**

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While it is the responsibility of the institution to provide and support such consultants, the selection will be made by the TBR staff and the Vice Chancellor for Academic Affairs, in consultation with the institution. All costs associated with an external review are borne by the institution submitting the proposal.

### **Section III. General Criteria for Reviewing Academic Letters of Intent and Proposals**

A summary of the major criteria used by the TBR staff in evaluating academic Letters of Intent and proposals is presented below. Specific requirements for Letters of Intent are provided in TBR Guideline A-010: Academic Program Letters of Intent and Proposals.

- 1) The proposed action is central to the mission, role, and scope of the institution.
- 2) The need for the proposed program is supported by data documenting student interest, employer demand, societal needs, and administrative effectiveness.
- 3) The proposed action does not constitute unnecessary duplication of academic programs, research projects, or public services available at other public institutions. Partnerships, collaborations or the use of Academic Common Market should be considered whenever possible to meet needs with greater efficiency.
- 4) The proposal should establish quality admission, retention and graduation standards.
- 5) The curriculum of the proposed program meets the stated objectives of the program and reflects breadth, depth, theory and practice at the appropriate level to the discipline and the degree. Undergraduate curriculum should ensure General

Education core requirement commonality and transfer (where appropriate) of 19-hour pre-major paths. The curriculum should be compatible with accreditation, where applicable, and meet the criteria for articulation and transfer.

6) The proposal documents the institution's ability to implement the proposed action in terms of: (a) fiscal resources, (b) library and information technology resources, (c) physical facilities, and (d) qualified personnel given the level of degree proposed.

7) The proposal includes information about appropriate articulation and/or affiliations. For programs needing the cooperation of other institutions, evidence of the willingness of these institutions to participate is required.

8) The proposal includes information about the delivery format.

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

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

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

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

## **Section IV. Sources of Specific Criteria**

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

- 1) TBR Policy No. 2:01:00:00, Undergraduate Degree Requirements
- 2) TBR Policy No. 2:02:00:00, Associate Degree Programs
- 3) TBR Policy No. 2:01:00:03, Principles for Articulation in Vocational/Technical Education
- 4) TBR Guideline No. A-010, Academic Program Letters of Intent and Proposals
- 5 ) TBR Guideline No. A-020, Interinstitutional Relationships and Off-Campus Offerings
- 6 ) TBR Guideline No. A-040, Evaluation of Bureaus, Centers, and Institutes
- 7 ) TBR Action (December 1986) endorsing TCGS Criteria as standards for both pre- and post-approved review of Master's programs.
- 8 ) THEC Policy No. A1:0, New Academic Programs: Approval Process)(July 28, 2011)
- 9 ) THEC Policy No. A1:1, New Academic Programs (July 28, 2011)
- 10 ) THEC Policy A1:3, New Units Source: TBR Meeting, December 2, 1988, TBR Meeting, December 13, 2002, March 29, 2006; TBR Meeting, December 8, 2006; March 28, 2008; TBR Board Meeting December 2, 2010,\_\_\_\_\_

**PRESIDENTS QUARTERLY MEETING**  
**November 2011**

DATE: Presidents Meeting (November 8, 2011)

AGENDA ITEM: Guideline Revision for Program Approval Process  
TBR Guideline A-010 – *Academic Program Letters of Intent and Proposals*

ACTION: Requires Vote

PRESENTER: Paula Myrick Short, Ph.D.  
Vice Chancellor for Academic Affairs

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BACKGROUND INFORMATION:

TBR Guideline A-010, *Academic Program Letters of Intent and Proposals* has been revised to clarify requirements for the approval of letters of intent and proposals for academic actions. The proposed changes align the TBR guideline with the revisions to THEC policy approved by the Commission in July 2011. Upon approval by the Presidents the guideline will be effective.



**GUIDELINE A-010: Academic Program Letters of Intent and Proposals**

**SUBJECT: Submitting Proposals for Letters of Intent, New Academic Programs or Units, and for Modifications of Existing Academic Programs, Policies, or Units**

**I-DEVELOPING ACADEMIC PROPOSALS**

A. Section I. Process

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LETTERS OF INTENT:

Submitting a Letter of Intent is the first step for any new academic degree program or certificate (24 SCH or more) program proposal ~~that requires approval from both TBR and THEC (See THEC policy A1:0 and A1:1). The TBR Vice Chancellor for Academic Affairs should be notified that a Letter of Intent will be forthcoming. The Letter of Intent, for which there is no required format, must be submitted to the TBR Vice Chancellor for Academic Affairs and ~~include~~ all of the following information:~~

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A. Introduction

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1. The title of the proposed program with proposed concentrations, degree designation, CIP Code, and proposed implementation date.

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B. Mission

1. Address how will the proposed program further the mission of the institution, meets the priorities of the State Master Plan for Higher Education and follows the directives of the Complete College Tennessee Act of 2010 relative to increased degree production

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2. Address how will the program meet the goals of the system and institutional the strategic plan.

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3. Identify the location of the program within the organizational structure and if it will require the addition of a new organizational unit. If so, describe the nature of the unit.

4. State if the proposed program requires a SACS Substantive Change Review and, if so, describe the scope of the substantive change.

### C. Program Need

1. Identify the academic, workforce development, and/or research needs the program will meet. Cite employment projection and supply/demand data appropriate to the discipline and degree level as justification. Cite THEC supply/demand analyses, as appropriate, for degree or certificate field.

2. Explain why establishing this program at this time is an institutional priority.

3. List newly approved and established programs (within the same CIP classification) at the same degree level offered at other public institutions in Tennessee (See THEC web-based inventory and program productivity analyses for state institutions:

[http://tennessee.gov/thec/Divisions/AcademicAffairs/aa\\_main.html](http://tennessee.gov/thec/Divisions/AcademicAffairs/aa_main.html)). This includes certificates which may be offered at the Technology Centers.

a. Identify any low-producing programs among those listed. (See THEC annual program productivity reports).

b. If similar programs exist, describe any opportunities for collaboration

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with other institutions that will be pursued.

c. Identify campus and off-campus locations where the institution plans to offer the program.

4. A statement of how the program will enhance racial diversity should be provided in keeping with the TBR approved campus Diversity Plan.

5. Additional Requirements for Letters of Intent for Proposed Doctoral Programs:

a. Cite THEC data on productivity of existing doctoral programs listed in the same CIP classification and provide a rationale for the addition of a same-CIP program.

b. Provide letters from presidents of Tennessee institutions offering same-CIP doctoral programs within the same broad geographic service area certifying that the proposed program will not be perceived as duplicative.

#### D. Enrollment/Productivity

1. Project annual full-time, part-time and FTE enrollments and number of graduates for the first five years of program operation.

2. Explain how these enrollment/productivity projections were derived.

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## E. Curriculum

1. Describe the academic focus of the program and number of hours required.

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2. Project the date for program accreditation (where applicable).

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3. Identify the delivery methods for the program (online, on-ground, hybrid) and provide a rationale for the delivery mode(s).

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4. Provide letters of support for all cooperating institutions or agencies.

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5. Describe the articulation and transfer avenues projected for the proposed program in compliance with PC § 49-7-202.

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## F. Resources

1. Describe the strengths of the existing faculty in credentials and available FTE (state number of full- and part-time faculty). Estimate additional FTE (specify number of full-time and part-time faculty) needed to support the program.

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2. Describe existing and needed library and information technology resources to be available to support the projected program.

3. Describe existing or anticipated facilities and equipment needed to

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support the program.

5. Describe student advising support.

5. Describe the anticipated effect the program will have on existing  
associated degree programs or concentrations within the institution.

#### G. Financial Projections

1. Attach the THEC Financial Projections form.

2. Provide evidence of non-state funds (gifts, grants, awards) available to  
meet start-up costs.

2. Provide a rationale for reallocation of budgeted funds.

a. Cite THEC annual degree productivity data where funds may be redirected  
from closed low-producing programs (A1.1.20P) if relevant.

#### H. Summary

1. Summarize the institution's program development plans and resource  
commitments.

a. List the institution's active Letters of Intent

b. List programs that are in Post Approval Monitoring and are failing to

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meet benchmarks.

c. List low-producing programs at all levels.

d. List all programs terminated within the last 12 months.

e. The projected date for submission of the full proposal and the target date for Board approval.

a.f. The projected date for implementation of the proposed program.

• A brief description of the nature, purpose, and scope of the proposed action.

• The projected date for submission of the full proposal and the target date for Board approval.

• The projected date for implementation of the proposed program.

• The delivery mode (as applicable) and,

• A statement of the total estimated cost for the first year of the program and the anticipated source of funding that will support the program over a long-term period.

## Section II. Procedures

### A. For Letters of Intent

Submit one copy of the Letter of Intent electronically with the President's signature to the Vice Chancellor for Academic Affairs. Once a Letter of Intent is received, the proposed action will be reviewed by TBR and when appropriate, THEC staff, and the

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results shall be conveyed to the President by TBR. In forwarding the Letter of Intent to THEC, TBR designates approval for the Letter of Intent.

TBR and/or the THEC may take one of four actions in response to the Letter of Intent based on THEC Policy A1.0. It may elect to award approval, disapproval, conditional approval or defer approval. Conditional approval is awarded only to temporary programs with specified termination dates.

The President will authorize the development of the proposal and notification to SACS as appropriate. A copy of the approval letter should be submitted to TBR along with the proposal.

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~~While a Letter of Intent is not required for proposals that are not subject to THEC authorization, the Vice Chancellor for Academic Affairs should be informed prior to the development of any proposal anticipated to generate new costs or that may duplicate similar programs offered at other institutions serving the same region or population.~~

#### B. For Program Proposals Approved for Development

Subsequent to the approval of the Letter of Intent, the President will authorize any amendments to the Letter of Intent within the final proposal and notification to SACS, as appropriate. A copy of the original Letter of Intent, a copy of the approval from THEC for the Letter of Intent, and a copy of the SACS approval letter should be submitted to TBR along with the final proposal.

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The submission of a proposal should be carefully planned in order to assure timely staff review and approval by the Vice Chancellor for Academic Affairs prior to submission for Board approval -- and, as may be required, THEC review and authorization. In doing so, the following considerations are relevant:

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1. The TBR and the THEC considers academic proposals for new degree programs at each of its quarterly meetings.

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2. The number of proposals received at any one time may determine whether or not the staff review of a particular proposal is completed in time for submission to the Board at the desired time. Proposals are generally reviewed on a first-come basis. Should the review of a proposal not be completed in time for the next meeting of the Board, it will be carried over with priority to the subsequent meeting.

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3. Other than for the establishment of new degree programs, the following schedule may serve as a general guide for all proposed academic actions:

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For proposed new degree programs, a timeline should be discussed with the TBR staff.

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Proposals will be accepted on a continuous basis.

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Proposed new graduate degree programs will require considerably more time than undergraduate degree program proposals due to the external consultation process required.

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C. For Other Requested Academic Actions:

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While a Letter of Intent is not required for proposals that are not subject to THEC authorization, Regardless of whether submission of a Letter of Intent is required, the Vice Chancellor for Academic Affairs should be informed prior to the development of any proposal anticipated to generate new costs or that may duplicate similar programs offered at other institutions serving the same region or population.

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(a) Academic action proposals (other than degree programs) received by 15th of each month (except December) will typically be reviewed by the end of the month and summaries prepared for consideration by the Board through the 30-day review process. Approval by the Chancellor, through delegated authority, will be given at the end of the 30-day review period unless objections were voiced by the Board. Letters will be sent to the appropriate institution to authorize implementation of the proposed action. If THEC approval is required, the letter will inform the institution of the approval by TBR and explain that the proposal will be sent to THEC for its review.

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(b) Requests for name changes should be submitted on the appropriate form and will be approved through delegated authority by the Vice Chancellor for Academic Affairs.

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### Section III: B. PROPOSAL FORMS

The following electronic forms have been developed to assist the institution and to assure that the Board has the information it needs to review all academic action proposal requests properly. The response should be tailored to meet the particular needs of the action being proposed. If an area is not applicable the response can be "NA." Listed below are the various actions that require approval of the Board and the form that should be used for each. There is no form for the Letter of Intent for new academic programs.

### Section III. PROPOSAL FORMS FOR ACADEMIC ACTIONS IDENTIFICATION

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The following Electronic forms are available on the TBR Academic Affairs webpage for "Publications and Forms." Since forms may be revised by TBR staff as needed, all proposals should be developed using forms obtained directly from the website to insure that the most current format has been submitted. There is no specific form for a Letter of Intent. The Letter of Intent should provide a narrative description of the items above. Specific questions related to the above criteria are listed in THEC Policy A1.0 Attachment B.

COVER—Required for all proposals. This provides the The President's signature is required on all proposals and indicates indicating that the proposal is supported and has been approved through the institution's curriculum review process or other appropriate committee review. All forms must be submitted electronically to the Vice Chancellor for Academic Affairs. Instructions are provided along with the forms on the TBR website.

The following actions require the submission of a proposal for Board approval:

1. Establish a new academic degree

2. Establish a new certificate program (Note: The community college must consult with the Tennessee Technology Center(s) within the designated service area to ensure there is no duplication of effort. Documentation must be submitted with the proposal to identify any concerns or to demonstrate there are no objections to the proposed program.)

3. Establish a new concentration

4. Consolidate an existing academic program

5. Converting an existing on-ground program to a fully online delivery format

6. Substantive curriculum modification

7. Termination, inactivation, or reactivation of a program

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8. ~~Revision~~ of any admission, retention, and/or graduation policy (general or program specific)

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9. ~~Extending~~ an existing academic degree to be fully offered at an off-campus location

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10. ~~Establishment of a new academic unit or reorganization resulting in a net gain of an academic unit (i.e., department, on-campus center, institute, bureau, division, school, or college)~~

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11. ~~Develop on-line course(s) with cost in excess of \$9500 or more.~~

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SUM (Summary) — Required for all proposals. The summary should be no more than two (2) pages, excluding attachments. Notice that this form specifies documentation must be provided from the appropriate institution, if there is the potential for a TBR institution to be duplicating education or training at another TBR institution in the same service area or region, (i.e., TTCs, community colleges, or universities). Other TBR institutions are not required to approve of the proposed action before it is sent to the Board for approval. However, they must be given the opportunity to voice concerns or objections if there is a possibility of duplicating program offerings.

PS (Program Structure)

PJ (Performance and Justification)

SE (Student Enrollment Projections)

FP (Financial Projections)

CL (Collaborative Programs)

PC (Program Change, Creation of a New Academic Unit, Admission Policy Change, etc.)

OCS (Extension of an Existing Degree Program to an Off Campus Site)



OD (Online delivery) if applicable

NC (Name Change Request)

## PROPOSED ACTION AND REQUIRED FORMS

(Add Form CL for all proposed collaborative programs.)

Establish a New Academic Degree: Content of Letter of Intent as described previously

COVER, SUM, PS, PJ, SE, FP Establish a New Certificate Program: COVER, SUM, PS, PJ, SE, FP

Establish a New Concentration: COVER, SUM, PS, PJ, SE, FP

Consolidate an Existing Academic Program: COVER, SUM, PC

Converting on-ground program to a fully online delivery format: COVER, SUM, OD

Substantive Curriculum Modification: COVER, SUM, PC (affecting 18 credit hours or more at the undergraduate level and 9 or more credit hours at the graduate level since the program was originally proposed or last modification approved, or to increase required hours for an undergraduate degree that results in more than 60/120)

Termination, Inactivation, or Reactivation: COVER, SUM, PC

9. Revision of admission, retention, and/or graduation policy: COVER, SUM, PC

10. Extending an Academic Degree to an Off-Campus Site: COVER, SUM, OCS  
(Also include forms PJ, SE, and FP if new costs are created by the extension.) NOTE: THEC Policy A1.4 also has specific forms required.

11. Establishment of a new academic unit or reorganization resulting in a net gain of an academic unit (i.e., department, school, on-campus center, institute, bureau, or college) COVER, SUM, PC (If new costs are anticipated, the FP form must also be submitted.)

## C. SUBMITTING THE PROPOSAL

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~~Number of copies—Submit one copy of the proposal electronically with the President's signature to the Vice Chancellor for Academic Affairs.~~

#### ~~Review Calendar~~

~~The submission of a proposal should be carefully planned in order to assure timely staff review and Board consideration—and, as may be required, THEC review and consideration. In doing so, the following considerations are relevant:~~

~~(a) The TBR considers academic proposals for new degree programs at each of its quarterly meetings; the THEC, on the other hand, considers academic proposals only at its Winter (January) and Summer (July) meetings.~~

~~(b) The number of proposals received at any one time may determine whether or not the staff review of a particular proposal is completed in time for submission to the TBR at the desired time. Proposals are generally reviewed on a first-come basis. Should the review of a proposal not be completed in time for the next meeting of the Board, it will be carried over with priority to the subsequent meeting.~~

~~(c) The following schedule may serve as a general guide for all proposed academic actions other than for the establishment of new degree programs. For proposed new degree programs, a timeline should be discussed with TBR staff and will be addressed in the letter to the President granting approval to develop the proposal after the Letter of Intent has been submitted. Proposed new graduate degree programs will require considerably more time than undergraduate degree program proposals.~~

~~Proposals will be accepted on a continual basis. Proposals (other than degree programs) received by 15th of each month (except December) will typically be reviewed by the end of the month and summaries prepared for consideration by the Board through the 30-day review process. Approval by the Chancellor, through delegated authority, will be given at the end of the 30-day review period unless objections were voiced by the Board. Letters will be sent to the appropriate institution to authorize implementation of the proposed action. If THEC approval is required, the letter will inform the institution of the approval by TBR and explain that the proposal will be sent to THEC for its review.~~

Source: March 5, 1976 meeting. Revised December 12, 1980 TBR meeting; November 8, 1982, May 29, 1984, February 10, 1987, and February 14, 1989 Presidents Meeting, Presidents Meeting, February, 2003, Presidents Meeting, May 20, 2003, Presidents Meeting, February 7, 2006; Presidents Meeting, November 8, 2006; Presidents meeting, February 12, 2008, Presidents Meeting November 9, 2010.

## **GUIDELINE A-010: Academic Program Letters of Intent and Proposals**

### **SUBJECT: Submitting Proposals for Letters of Intent, New Academic Programs or Units, and for Modifications of Existing Academic Programs, Policies, or Units**

#### **DEVELOPING ACADEMIC PROPOSALS**

##### **Section I. Process**

Submitting a Letter of Intent is the first step for any new academic degree program or certificate (24 SCH or more) program proposal (See THEC policy A1:0 and A1:1). The TBR Vice Chancellor for Academic Affairs should be notified that a Letter of Intent will be forthcoming. The Letter of Intent must be submitted to the TBR Vice Chancellor for Academic Affairs and include all of the following information:

##### **A. Introduction**

1. The title of the proposed program with proposed concentrations, degree designation, CIP Code, and proposed implementation date.

##### **B. Mission**

1. Address how will the proposed program further the mission of the institution, meets the priorities of the State Master Plan for Higher Education and follows the directives of the Complete College Tennessee Act of 2010 relative to increased degree production
2. Address how will the program meet the goals of the system and institutional the strategic plan.
3. Identify the location of the program within the organizational structure and if it will require the addition of a new organizational unit. If so, describe the nature of the unit.
4. State if the proposed program requires a SACS Substantive Change Review and, if so, describe the scope of the substantive change.



### C. Program Need

1. Identify the academic, workforce development, and/or research needs the program will meet. Cite employment projection and supply/demand data appropriate to the discipline and degree level as justification. Cite THEC supply/demand analyses, as appropriate, for degree or certificate field.
2. Explain why establishing this program at this time is an institutional priority.
3. List newly approved and established programs (within the same CIP classification) at the same degree level offered at other public institutions in Tennessee (See THEC web-based inventory and program productivity analyses for state institutions: [http://tennessee.gov/thec/Divisions/AcademicAffairs/aa\\_main.html](http://tennessee.gov/thec/Divisions/AcademicAffairs/aa_main.html)). This includes certificates which may be offered at the Technology Centers.
  - a. Identify any low-producing programs among those listed. (See THEC annual program productivity reports).
  - b. If similar programs exist, describe any opportunities for collaboration with other institutions that will be pursued.
  - c. Identify campus and off-campus locations where the institution plans to offer the program.
4. A statement of how the program will enhance racial diversity should be provided in keeping with the TBR approved campus Diversity Plan. 5. Additional Requirements for Letters of Intent for Proposed Doctoral Programs:
  - a. Cite THEC data on productivity of existing doctoral programs listed in the same CIP classification and provide a rationale for the addition of a same-CIP program.



- b. Provide letters from presidents of Tennessee institutions offering same-CIP doctoral programs within the same broad geographic service area certifying that the proposed program will not be perceived as duplicative.

#### D. Enrollment/Productivity

1. Project annual full-time, part-time and FTE enrollments and number of graduates for the first five years of program operation.
2. Explain how these enrollment/productivity projections were derived.

#### E. Curriculum

1. Describe the academic focus of the program and number of hours required.
2. Project the date for program accreditation (where applicable).
3. Identify the delivery methods for the program (online, on-ground, hybrid) and provide a rationale for the delivery mode(s).
4. Provide letters of support for all cooperating institutions or agencies.
5. Describe the articulation and transfer avenues projected for the proposed program in compliance with PC § 49-7-202.

#### F. Resources

1. Describe the strengths of the existing faculty in credentials and available FTE (state number of full- and part-time faculty). Estimate additional FTE (specify number of full-time and part-time faculty) needed to support the program.
2. Describe existing and needed library and information technology resources to be available to support the projected program.

3. Describe existing or anticipated facilities and equipment needed to support the program.
4. Describe student advising support.
5. Describe the anticipated effect the program will have on existing associated degree programs or concentrations within the institution.

#### G. Financial Projections

1. Attach the THEC Financial Projections form.
2. Provide evidence of non-state funds (gifts, grants, awards) available to meet start-up costs.
3. Provide a rationale for reallocation of budgeted funds.
  - a. Cite THEC annual degree productivity data where funds may be redirected from closed low-producing programs (A1.1.20P) if relevant.

#### H. Summary

1. Summarize the institution's program development plans and resource commitments.
  - a. List the institution's active Letters of Intent
  - b. List programs that are in Post Approval Monitoring and are failing to meet benchmarks.
  - c. List low-producing programs at all levels.
  - d. List all programs terminated within the last 12 months.
  - e. The projected date for submission of the full proposal and the target date for Board approval.
  - f. The projected date for implementation of the proposed program.

## Section II. Procedures

### A. For Letters of Intent

Submit one copy of the Letter of Intent electronically with the President's signature to the Vice Chancellor for Academic Affairs. Once a Letter of Intent is received, the proposed action will be reviewed by TBR and, when appropriate, THEC staff. In forwarding the Letter of Intent to THEC, TBR designates approval for the Letter of Intent.

TBR and/or the THEC may take one of four actions in response to the Letter of Intent based on THEC Policy A1.0. It may elect to award approval, disapproval, conditional approval or defer approval. Conditional approval is awarded only to temporary programs with specified termination dates.

### B. For Program Proposals Approved for Development

Subsequent to the approval of the Letter of Intent, the President will authorize any amendments to the Letter of Intent within the final proposal and notification to SACS, as appropriate. A copy of the original Letter of Intent, the approval from THEC for the Letter of Intent, and the SACS approval letter should be submitted to TBR along with the final proposal.

The submission of a proposal should be carefully planned in order to assure timely staff review and approval by the Vice Chancellor for Academic Affairs prior to submission for Board approval -- and, as may be required, THEC review and authorization. In doing so, the following considerations are relevant:

1. The TBR and the THEC considers academic proposals for new degree programs at each of its quarterly meetings.
2. The number of proposals received at any one time may determine whether or not the staff review of a particular proposal is completed in time for submission to the Board at the desired time. Proposals are generally reviewed on a first-come basis.

Should the review of a proposal not be completed in time for the next meeting of the Board, it will be carried over with priority to the subsequent meeting.

3. Other than for the establishment of new degree programs, the following schedule may serve as a general guide for all proposed academic actions:

For proposed new degree programs, a timeline should be discussed with the TBR staff.

Proposals will be accepted on a continuous basis.

Proposed new graduate degree programs will require considerably more time than undergraduate degree program proposals due to the external consultation process required.

C. For Other Requested Academic Actions:

- (a) Regardless of whether submission of a Letter of Intent is required, the Vice Chancellor for Academic Affairs should be informed prior to the development of any proposal anticipated to generate new costs or that may duplicate similar programs offered at other institutions serving the same region or population. Academic action proposals (other than degree programs) received by 15th of each month (except December) will typically be reviewed by the end of the month and summaries prepared for consideration by the Board through the 30-day review process. Approval by the Chancellor, through delegated authority, will be given at the end of the 30-day review period unless objections were voiced by the Board. Letters will be sent to the appropriate institution to authorize implementation of the proposed action. If THEC approval is required, the letter will inform the institution of the approval by TBR and explain that the proposal will be sent to THEC for its review.
- (b) Requests for name changes should be submitted on the appropriate form and will be approved through delegated authority by the Vice Chancellor for Academic Affairs.

### Section III. PROPOSAL FORMS FOR ACADEMIC ACTIONS

Electronic forms are available on the TBR Academic Affairs webpage for “Publications and Forms.” Since forms may be revised by TBR staff as needed, all proposals should be developed using forms obtained directly from the website to insure that the most current format has been submitted. There is no specific form for a Letter of Intent. The Letter of Intent should provide a narrative description of the items above. Specific questions related to the above criteria are listed in THEC Policy A1.0 Attachment B.-

The President’s signature is required on all proposals and indicates that the proposal is supported and has been approved through the institution’s curriculum review process or other appropriate committee review. All forms must be submitted electronically to the Vice Chancellor for Academic Affairs. Instructions are provided along with the forms on the TBR website.

The following actions require the submission of a proposal for Board approval:

1. Establish a new academic degree
2. Establish a new certificate program (Note: The community college must consult with the Tennessee Technology Center(s) within the designated service area to ensure there is no duplication of effort. Documentation must be submitted with the proposal to identify any concerns or to demonstrate there are no objections to the proposed program.)
3. Establish a new concentration
4. Consolidate an existing academic program
5. Convert an existing on-ground program to a fully online delivery format
6. Substantive curriculum modification
7. Termination, inactivation, or reactivation of a program
8. Revise of any admission, retention, and/or graduation policy (general or program specific)
9. Extend an existing academic degree to be fully offered at an off-campus location

10. Establishment of a new academic unit or reorganization resulting in a net gain of an academic unit (i.e., department, on-campus center, institute, bureau, division, school, or college)
11. Develop on-line course(s) with cost in excess of \$9500 or more.

Source: March 5, 1976 meeting. Revised December 12, 1980 TBR meeting; November 8, 1982, May 29, 1984, February 10, 1987, and February 14, 1989 Presidents Meeting, Presidents Meeting, February, 2003, Presidents Meeting, May 20, 2003, Presidents Meeting, February 7, 2006; Presidents Meeting, November 8, 2006; Presidents meeting, February 12, 2008, Presidents Meeting November 9, 2010.

# **PRESIDENTS/DIRECTORS QUARTERLY** **MEETINGS**

DATE: Presidents Meeting (November 8, 2011)  
Directors Meeting (November 9, 2011)

AGENDA ITEM: Suggested Revisions to Policy 3:04:01:00 - Student Scholarships,  
Grants, Loans, and Financial Aid Programs

ACTION: Voice Vote

PRESENTER: Dale Sims

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## **BACKGROUND INFORMATION:**

When this policy was first written in 1978, it attempted to address the various types of scholarship or grant programs in existence at the time. The policy defined two basic types of programs (programs funded by federal, state, or private funds and those funded with institutional funds). For institutional funded programs, the policy recognized several categories of institutional programs including institutional grants and academic service grants. The level of institutional financial commitment to each type of program was limited in some way. Specifically, resources funding institutional grants and academic service grants cannot exceed 10% of the institution's annual tuition and fee revenues.

Over the years, new types of scholarship programs were developed by institutions to meet the changing needs of students and institutions. In some cases, these new programs did not cleanly "fit" into the TBR policy framework. As such, some institutions elected to not implement these new financial aid programs while other institutions did so long as the combined financial commitment for the new programs and other institutional and academic service grants did not exceed the 10% combined limit mentioned above.

To provide clarification, a committee comprised of institutional members from Business and Finance, Academic Affairs and Student Services met by conference call to review the policy and its current operation. The committee recommended that presidents be given flexibility to authorize additional scholarship and grants programs, provided that the total value of such programs (when combined with existing academic scholarships and institutional grants) do not exceed 10% of the institution's annual tuition and fee revenues. The committee felt this change was preferable to attempting to specifically identify and enumerate every scholarship or grant program available for use by an institution.

## **Policy 3:04:01:00**

### **Subject: Student Scholarships, Grants, Loans, and Financial Aid Programs**

This policy covers the establishment of and participation in student scholarship and financial aid programs by TBR universities, community colleges, and technical institutes. (TTCs are covered by separate policy.)

#### **I. Federal, State and Private Financial Aid, Loan, and Scholarship Programs**

A. All institutions are hereby authorized to participate in any private, federal, or state programs providing financial aid, loans, scholarships, grants, and other forms of educational assistance to students. Institutions must meet the eligibility requirements for participation and comply with all federal and state laws and regulations related to said programs.

B. In participating in educational assistance programs, institutions shall comply with all applicable laws. Institutions may participate in publicly or privately funded educational assistance programs which provide preference on the basis of race, color, creed, sex, handicap, age, religious preference, veteran's status, or national origin in the selection of students or awards to students, but only where the aggregate of all such participation is non-discriminatory and after consultation with legal counsel. Institutions may participate in any educational assistance programs provided by the federal government or the State of Tennessee for affirmative action or diversity purposes in furtherance of the institution's affirmative action and or diversity plan.

#### **II. Institutional Scholarships and Grant Programs**

##### **A. General Parameters**

1. State appropriations shall be expended or applied only to Access and Diversity grants.
2. Each institution is authorized to employ students under local work programs, and each university is authorized to employ students and graduate assistants pursuant to Board Policy No. 5:02:05:00.
3. Institutions may award scholarships and grants, in any of the programs listed below in Sections II. C. and D., to students who are full-time, part-time, out-of state, or Tennessee residents.
4. The maximum amount of an individual academic service scholarship awarded for any one semester or summer session shall be the amount of the maintenance fees (and/or out-of-state tuition) for the semester or summer session plus an allowance for books and supplies. The maximum books and supplies allowance shall be commensurate with the book and supply allowance component of the standard student budget compiled by the institution's financial aid officer. The maximum amount that may be awarded to any individual during a single fiscal year shall not exceed the total amount of combined fees and book allowances defined herein. For the purposes of this policy, maintenance fees (and/or out-of-state tuition)



shall be defined as all mandatory fees payable by a student for continued enrollment at the institution, including but not limited to debt service fees, student activity fees, and registration fees. The maximum amount awarded to a part-time student shall be prorated based on the number of hours for which the student is enrolled. Refunds shall be handled in accordance with TBR refund policy outlined in TBR Guideline B-060. The provisions of this section do not apply to privately funded scholarships or grants.

5. Each institution shall establish specific criteria for the scholarship programs listed below in Sections II. C. and D. Such criteria must meet the minimum limitations set forth in this TBR policy; however, the institution may set criteria which is more restrictive than the TBR policy. The written procedures implementing this policy and all requirements for eligibility, maintenance, and renewal shall be clearly published in the official catalog of the institution.

#### B. Funding Sources for Scholarships and Grant Programs

1. Academic Scholarships and Institutional Grants may be funded by a maximum of 10% of total tuition and fees received by the institution in any one year. An exception to this limitation may be made upon approval of the Chancellor and subsequent approval of the budget by TBR.

2. Athletic and Performance Grants may be funded by private contributions, donations, endowment earnings designated for scholarships and grants, revenues derived from the activities in which the student participates, and student fees specifically programmed and approved for such assistance.

3. Access and Diversity Grants shall be funded by state funds and may be supplemented by other campus revenue sources.

4. Academic Work Scholarships in the College of Medicine (ETSU) may be funded by a maximum of 10% of total tuition and fees received by the College of Medicine in any one year.

#### C. Scholarship and Grant Programs Requiring Service to the Institution

##### 1. ATHLETIC GRANTS

(a) Each institution is authorized to award grants for students involved in athletics.

(b) Grants for athletes awarded by institutions shall be subject to applicable limitations imposed by any national, regional, or other conference or association of which the institution is a member.

(c) The requirement of service to the institution is satisfied by student performance of athletic endeavors.

##### 2. PERFORMANCE GRANTS

(a) The institution may award grants to students who perform a service to the institution, such as band members, cheerleaders, spirit squad members, staff of student newspapers and yearbooks, etc.

(b) The service requirement is fulfilled by the performance of the activity by the student.

### 3. OTHER INSTITUTIONAL GRANTS

(a) Institutional Grants may be provided for meeting affirmative action and minority recruitment goals.

(b) Institutional Grants may be provided for assisting handicapped, physically disadvantaged, and economically disadvantaged students.

### 4. ACADEMIC SERVICE SCHOLARSHIPS

(a) Awards to first-time freshmen shall be limited to students who had a minimum high school average of 2.9 or the equivalent. In addition, first-time university freshmen shall have a minimum enhanced ACT composite score of 19 to be eligible for consideration. Awards to GED students shall be based upon evidence of comparable scholastic ability. Institutions may make exception to the requirements of this paragraph when admitting freshmen who have not attended high school or another postsecondary institution for at least four years.

(b) Awards to transfer and other than first-time freshman students will require a minimum cumulative college GPA of 2.9 for universities and 2.5 for two year colleges earned on the basis of at least twelve (12) credit hours. Students who have completed less than twelve (12) credit hours shall, for the purposes of this policy, be considered first-time freshmen.

(c) Renewal of academic service scholarships after the initial academic year of the freshman shall require a minimum GPA of 2.5. All subsequent renewals shall require a minimum semester GPA of 2.5 for students of both universities and two year institutions.

(d) Awards of academic service scholarships shall be made on a semester basis. Failure to maintain the required grade-point average or a satisfactory standard of conduct will result in the automatic forfeiture of the scholarship. A student who forfeits his/her scholarship for any of the above reasons may be eligible for consideration after the lapse of at least one full semester. Exceptions to this provision may be made when approved by the institution's president or his/her designee.

(e) Economic status and need of the applicant will be considered a favorable factor only when all other conditions appear equal. Consideration may be given to the student's potential for the future as well as his or her area of specialization in relation to the needs of the state and the nation.

(f) An Academic Service Scholarship shall involve a service obligation to the institution of 75 hours per semester. The service obligation will be structured to primarily provide an educational benefit to the student, not a work benefit to the institution. The service requirement for part-time and summer session students shall be prorated based on the number of hours for which the student is enrolled.

### 5. ACADEMIC WORK SCHOLARSHIPS (in the College of Medicine - ETSU)

(a) Awards shall be made to incoming freshmen who are Tennessee residents, present an MCAT score of 9.0 or better and a "P" in writing skills, and have an undergraduate GPA of 3.3 or better.

(b) Students are ineligible for the Academic Work Scholarship if they are a recipient of a grant or award from the Armed Forces, NHSC, THEC, or under contractual obligation for practice after residency. Likewise, students who receive funding from CWSP or RSWP (work programs) or who hold a salaried position at ETSU are ineligible for a TBR scholarship.

(c) The award will be for tuition plus book stipend. No award will exceed total in-state fees, debt service, student activity, registration, and a book allowance commensurate with the educational cost allowance for all other students.

(d) Scholarship recipients must earn at least a 3.0 GPA to qualify for renewal awards. In addition, recipients must earn overall GPA and progress normally through the curriculum as defined by Title IV "satisfactory academic progress" regulations to maintain the scholarship or qualify for renewal awards.

(e) Recipients must work not less than 300 hours per calendar year. Activities will include but not be limited to participation in research projects, generation of publications, support of activities related to increased extramural findings, and other scholarly activities as deemed appropriate by the Special Research Project Review Committee. This Committee, made up of basic scientists, clinical practitioners/research and research project administrators, will oversee the selection of and assignments to work-study projects.

#### D. Grants Which Do Not Require Service to the Institution

1. Access and Diversity grants may be provided to students in order to achieve diversity plan objectives.
2. Students receiving Access and Diversity grants are not required to provide service to the institution.
3. Students enrolled in institutional Honors programs which require significant enrichment activities by the student over and above normal course requirements are not by this policy required to provide service to the institution.
4. Students receiving privately-funded or publicly-funded scholarships which require an institutional match are not by this policy required to provide service to the institution.

#### E. Exceptions

**1. The President or his/her designee is authorized to approve other scholarships/grants so long as the total amount of these and other academic scholarships and institutional grants funded under this policy do not exceed a maximum of 10% of total tuition and fees received by the institution in any one year.**

Source: SBR Meetings: December 8, 1978; March 18, 1983; September 30, 1983; June 29, 1984; June 29, 1990; December 11, 1992; March 30, 2001; April 2, 2004; June 30, 2006; June 19, 2009; TBR Board Meeting September 25, 2009.

**PRESIDENTS QUARTERLY MEETING  
DIRECTORS QUARTERLY MEETING.  
November 2011**

DATE:                      Presidents Meeting (November 8, 2011)  
                                 Directors Meeting (November 9, 2011)

AGENDA ITEM:        Revisions to TBR Policy 4:01:05:00, Internal Audit

ACTION:                Requires Vote

PRESENTER:          Tammy Gourley, Director of System-wide Internal Audit

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**BACKGROUND INFORMATION:**

Revisions are proposed to the Internal Audit policy:

1. To update it for revisions to standards of the Institute of Internal Auditors (IIA) and adding sub-sections for
  - a. Internal Audit Standards and
  - b. Audit Engagements;
2. To incorporate significant terms from the IIA standards;
3. To update it for current practices; and
4. To clarify existing language.

**POLICY: 4:01:05:00**

**SUBJECT: Internal Audit**

### **General Statement**

The internal audit function contributes to the improvement of the institution's operations by providing objective and relevant assurance regarding risk management, control and governance processes to management and the Board. ~~effectiveness of controls that~~ ~~Management is responsible for~~ evaluating the institution's risks and establishing and maintaining adequate controls and processes. ~~To provide relevant information, the internal audit activity will consider the goals of the institution, management's risk assessments and other input from management in determining its risk-based audit activities.~~ ~~While particular responsibilities and activities vary among institutions, the fundamental purpose of internal auditing is to provide an independent, objective assurance and consulting activity designed to add value and improve operations. Each internal audit function shall adhere to The Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing and Code of Ethics.~~

This policy addresses staffing, responsibilities of the internal audit function, ~~and~~ audit planning and reporting on internal audit activities. In addition to this policy, the Office of System-wide Internal Audit maintains an audit manual. The purpose of the audit manual is to provide for consistency, continuity, and standards of acceptable performance.

### Internal Audit Standards

Each internal audit function shall adhere to The Institute of Internal Auditors' (IIA) International Standards for the Professional Practice of Internal Auditing and Code of Ethics (TCA 4-3-304(9). The Institute of Internal Auditors, International Professional Practices Framework (IPPF), incorporates the definition of internal auditing, the International Standards for the Professional Practice of Internal Auditing and the institute's Code of Ethics into one document. It includes the following definition of internal auditing:

Internal Auditing is 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.

Risk is the possibility of an event occurring that will have an impact on the achievement of an institution's goals and objectives. Risk is measured in terms of the impact an event may have and the likelihood that the event will occur. To optimize the achievement of the institution's goals and objectives, the Board and management acts to minimize the related risks by implementing reasonable procedures to control and monitor the risks.



Governance processes is 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 the organizational structure within an institution or a department; policies, guidelines and procedures instituted by the Board or management to direct and control a particular activity such as maintenance fees or hiring practices; preparation and review procedures for preparing reports such as annual financial statements or federal grant or financial aid reports.

The IPPF includes attribute standards, which address the expected characteristics of organizations and individuals performing internal audit activities and performance standards, which describe the nature of internal audit activities and establish criteria to evaluate the performance of internal audit activities.

To assure compliance with the IIA Standards, internal audit offices must implement and maintain a quality assurance and improvement program that incorporates both internal and external review activities. Internal reviews include both ongoing and periodic review activities. External reviews must be performed at least every five years by a qualified, independent reviewer. Results of quality assurance reviews will be communicated to the Audit Committee and management.

### **Internal Audit Personnel**

1. Each university shall employ at least two individuals with full-time responsibility as internal auditors. Additional internal audit staff shall depend upon institutional size and structure. Two-year institutions shall employ at least one full-time internal auditor or have an approved agreement with a university or other two-year institution to provide required audit services. Titles of internal audit staff shall be consistent within the overall institutional structure.
2. Internal audit staff ~~must shall~~ possess the professional credentials, knowledge, skills, and other competencies needed to perform their individual and experience requisite to position responsibilities. The internal audit function collectively must possess or obtain the knowledge, skills, and other competencies needed to perform its responsibilities. The campus Internal Audit Director and the Director of System-wide Internal Audit 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. Other system auditors should annually complete sufficient, relevant continuing professional education to satisfy the requirements for their related professional certification or, at a minimum, forty hours of relevant continuing professional education. Internal Audit Directors should communicate concerns to management regarding the lack of sufficient resources to complete the objectives of an engagement or the audit plan. Such resources may include the need for additional personnel or personnel with specialized knowledge, such as those with knowledge of fraud, information technology or other technical areas.

3. The appointment of campus Internal Audit Directors as recommended by the President is subject to approval by the Chancellor or designee (TCA 49-14-106). The appointment of the Director of System-wide Internal Audit is subject to review and approval by the Audit Committee of the Board of Regents (TCA 49-14-102).
4. Compensation of campus internal auditors is subject to review by the Audit Committee of the Board of Regents. Compensation of the Director of System-wide Internal Audit and the central office internal auditors is subject to review and approval by the Audit Committee of the Board of Regents.
5. The termination or change of status of campus Internal Audit Directors (TCA 49-14-106) requires the prior approval of the Chancellor and the Audit Committee of the Board of Regents. The termination or change of status of the Director of System-wide Internal Audit (TCA 49-14-102) or central office internal auditors requires the prior approval of the Audit Committee of the Board of Regents.

### Internal Audit Role and Scope

1. In accordance with T.C.A. § 49-14-102, the Director of System-wide Internal Audit reports directly to the Audit Committee and the Tennessee Board of Regents. Campus internal auditors report to the respective campus President with audit reporting responsibility to the Audit Committee and the Board through the Director of System-wide Internal Audit. [This reporting structure assures the independence of the internal audit function.](#)
2. [The TBR, Office of System-wide Internal Audit](#) hosts periodic meetings and communicates with the [institutional](#) audit directors on matters of mutual interests.
3. The Office of System-wide Internal Audit maintains an internal audit manual to guide the internal audit activity in a consistent and professional manner at each institution. ~~[This reporting structure assures the independence of the internal audit function.](#)~~
4. The internal auditors' responsibilities include:
  - 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. Assisting the institution with its strategic planning process to include a complete cycle of review of goals and values.
- h. Evaluating program performance.
- i. Performing management advisory consulting services and special requests as directed by the Audit Committee, the Chancellor, or the institution's President.

35. The scope of internal auditing extends to all aspects of institutional operations and beyond fiscal boundaries. The internal auditor shall have access to all records, personnel, and physical properties relative to the performance of duties and responsibilities.

64. The scope of a particular internal audit activity may be as broad or as restricted as required to meet management needs.

57. Objectivity is essential to the internal audit function. Therefore, internal audit personnel should not be involved in 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.

86. Management is responsible for identifying, evaluating, and responding to potential risks that may impact the achievement of the institution's objectives. The aAuditors continually evaluate the risk management, processes and internal control, and governance processes-structures. To facilitate these responsibilities, Internal Audit will receive notices or copies of external audit reviews, program reviews, fiscally related consulting reports, notices of cash shortages, physical property losses, and employee misconduct. These will be considered in the evaluation of risks.

## **Audit Plans**

1. Internal Audit shall develop an annual audit plan using an approved risk assessment methodology.

2. Audit areas and respective audit programs are available in the TBR Audit Manual for guidance in these areas.

32. At the beginning of each fiscal year, after consultation with the Chancellor or President and other institution management, the Internal Audit Director will prepare an annual plan listing proposed areas to be audited. The audit work plan must be flexible to respond to immediate requests. The institutional Internal Audit Director will submit an electronic copy of the audit plan for review by the Director of System-wide Internal Audit and the Audit Committee. The Director of

System-wide Internal Audit will prepare an annual system-wide internal audit plan for approval by the Audit Committee. Once approved by the Audit Committee, audit plans for all institutions will be submitted to the Comptroller's Office, Division of State Audit.

3. The status of the past year's plan will also be prepared in an annual activity report that ~~should~~may include ~~other-all~~significant audit services performed. The Internal Audit Director ~~President~~ will submit an electronic copy of the annual activity report ~~two copies of the institution's Audit Plan~~ for review by the Director of System-wide Internal Audit and the Audit Committee. Once reviewed by the Audit Committee, annual audit activity reports for all institutions will be submitted to The Director of System-wide Internal Audit will forward one copy to the ~~State~~ Comptroller's Office, Division of State Audit.
43. The Director of System-wide Internal Audit will prepare an annual system-wide internal audit plan for approval by the Audit Committee.

### **Audit Engagements**

1. Audits engagements will be planned to provide relevant results to management and the Audit Committee regarding the effectiveness and efficiency of processes and controls over operations. To ensure management's expectations are met, auditors will communicate with management regarding the objectives and scope of the engagement.
2. In planning and during the engagement, auditors should consider and be alert to risks that affect the institution's goals and objectives, operations and resources. Auditors should consider risks based on the operations under review, which include but are not limited to the risk of financial misstatements, noncompliance and fraud.
3. An audit work program will be designed to achieve the objectives of the engagement and will include the steps necessary to identify, analyze, evaluate and document the information gathered and the conclusions reached during the engagement.
4. Working papers that are created, obtained or compiled by an internal audit staff are confidential and are not an open record (TCA 4-4-304(9)).

### **Communicating Audit Resultsports**

1. ~~Each routine internal audit should result in a~~A written report that documents the objectives, scope, ~~and~~ conclusions, and recommendations of the audit will be prepared for audit engagements providing assurance to the Board and management. Management will include corrective action for each reported finding. ~~Reports on special studies, consulting services, and other non-routine items should be prepared as appropriate, given the nature of the assignment.~~
2. Internal Audit will perform audits to follow-up on findings included in internal audit reports, investigation reports and State Audit reports. A written report will be prepared and for any findings that have not been corrected, management will

- be asked to include a revised corrective action plan. The Chancellor or institution's President, along with the Audit Committee, will be notified at the conclusion of a follow-up audit if management has not corrected the reported finding.
3. A written report that documents the objectives, scope, conclusions and recommendations will be prepared for investigations resulting from allegations or identification of fraud, waste or abuse. As appropriate in the circumstances, management will include corrective action for each reported finding. 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, the case may be closed by writing a memo to the working paper file documenting the reasons for closing the case.
  4. Reports on special studies, consulting services, and other non-routine items should be prepared as appropriate, given the nature of the assignment.
  5. All internal audit reports will be signed by the institution's Internal Audit Director and transmitted directly to the Chancellor, President, or TTC Director in a timely manner.
  6. The Internal Audit Director ~~President or TTC Director~~ will transmit an electronic copy ~~two copies~~ of the internal audit report to the Director of System-wide Internal Audit. ~~The Director of System-wide Internal Audit will forward one copy of each report to the State Comptroller's Office.~~
  7. The Director of System-wide Internal Audit will ~~provide monthly summaries to the Audit Committee and~~ present significant results of internal audit reports to the Audit Committee quarterly.
  8. The Director of System-wide Internal Audit will provide a copy of each report to the Comptroller's Office, Division of State Audit.

## Exceptions

Any exceptions to the policy established herein shall be subject to the approval of the Director of System-wide Internal Audit and the Audit Committee.

Source: June 3, 1981 TBR Presidents' Meeting; July 1, 1984; May 20, 1986; February 14, 1989; November 14, 1989; August 13, 2002; February 10, 2004; November 18, 2004; June 29, 2007; December 6, 2007.



**PRESIDENTS QUARTERLY MEETING  
DIRECTORS QUARTERLY MEETING (if necessary)  
November 2011**

DATE:                      Presidents Meeting (November 8, 2011)  
                                 Directors Meeting (November 9, 2011)

AGENDA ITEM:        Revisions to TBR Policy 4:01:05:50, Preventing and Reporting  
                                 Fraud, Waste or Abuse

ACTION:                      Requires Vote

PRESENTER:            Tammy Gourley, Director of System-wide Internal Audit

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**BACKGROUND INFORMATION:**

Revisions are proposed to the Fraud, Waste and Abuse policy to agree with existing state law and to clarify provisions regarding confidentiality of information reported under this policy.

**POLICY: 4:01:05:50**

**SUBJECT: Preventing and Reporting Fraud, Waste or Abuse**

The Tennessee Board of Regents is committed to the responsible stewardship of its resources. Management of each TBR institution is responsible for maintaining a work environment that promotes ethical and honest behavior. Additionally, it is the responsibility of management of each TBR institution to establish and implement internal control systems and procedures to prevent and detect irregularities, including fraud, waste and abuse. Management at all levels should be aware of the risks and exposures inherent in their areas of responsibility, and should establish and maintain proper internal controls to provide for the security and accountability of all resources entrusted to them.

### **Terms**

**Fraud** An intentional act to deceive or cheat, ordinarily for the purpose or result of causing a detriment to another and/or bringing about some benefit to oneself or others. Fraudulent activities may include, but are not limited to the following:

- 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.
- Improper use or assignment of any institutional assets or resources, including but not limited to personnel, services or property.
- Improper handling or reporting of financial transactions, including use, acquisitions and divestiture of state property, both real and personal.
- Authorization or receipt of compensation for hours not worked.
- Inappropriate or unauthorized use, alteration or manipulation of data, computer files, equipment, software, networks, or systems, including personal or private business use, hacking and software piracy.
- Forgery or unauthorized alteration of documents.
- Falsification of reports to management or external agencies.
- Pursuit of a personal benefit or advantage in violation of the TBR Conflict of Interest Policy.
- Concealment or misrepresentation of events or data.
- Acceptance of bribes, kickbacks or any gift, rebate, money or anything of value whatsoever, or any promise, obligation or contract for future reward, compensation, property or item of value, including intellectual property.

**Waste** Waste involves behavior that is deficient or improper when compared with behavior that a prudent person would consider reasonable and necessary business practice given the facts and circumstances. Waste is a thoughtless or careless act, resulting 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.

**Abuse** Abuse involves behavior that is deficient or improper when compared with behavior that a prudent person would consider reasonable and necessary business practice given the facts and circumstances. Abuse also 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, July 2007.)

### **Preventing Fraud, Waste or Abuse**

**Maintaining an Ethical Work Environment** – Management is responsible for maintaining a work environment that promotes ethical and honest behavior on the part of all employees, students, contractors, vendors and others. To do so, management at all levels must behave ethically and communicate to employees and others that they are expected to behave ethically. Management must demonstrate through words and actions that unethical behavior will not be tolerated.

**Implementing Effective Internal Control Systems** – Management of each TBR institution has the responsibility to establish and implement internal control systems and procedures to prevent and detect irregularities, including fraud, waste and abuse. Internal controls are processes performed by management and employees to provide reasonable assurance of:

- safeguards over institutional assets and resources, including but not limited to cash, securities, supplies, equipment, property, records, data or electronic systems;
- effective and efficient operations;
- reliable financial and other types of reports; and
- compliance with laws, regulations, contracts, grants and policies.

To determine whether internal controls are effective, management should perform periodic risk and control assessments, which should include the following activities:

1. Review the operational processes of the unit under consideration.
2. Determine the potential risk of fraud, waste, or abuse inherent in each process.
3. Identify the controls included in the process (or controls that could be included) that result in a reduction in the inherent risk.
4. Assess whether there are internal controls that need to be improved or added to the process under consideration.
5. Implement controls or improve existing controls that are determined to be the most efficient and effective for decreasing the risk of fraud, waste or abuse.

Most managers will find that processes already include a number of internal controls, but these controls should be monitored or reviewed for adequacy and effectiveness on a regular basis and improved as needed. Typical examples of internal controls may include, but are not limited to:

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

**Reviews of Internal Control Systems** – Audits or other independent reviews may be performed on various components of the internal control systems.

**Internal Audit** – Internal Audit is responsible for assessing the adequacy and effectiveness of internal controls that are implemented by management and will often recommend control improvements as a result of this assessment. During an audit of a department or process, Internal Audit will also perform tests designed to detect fraud, waste or abuse that may have occurred.

**External Audits** – The Tennessee Department of Audit, Division of State Audit, performs periodic financial audits of Tennessee Board of Regents universities and community colleges. One purpose of this type audit is to evaluate an institution's internal controls, which will often result in recommendations for control improvements. State Audit will also perform tests designed to detect fraud, waste or abuse that may have occurred.

**Other Reviews** – Various programs may be subject to audits or reviews by federal, state or other outside agencies based on the type of program, function or funding.

Although audits and reviews may include assessments of internal controls, the primary responsibility for prevention and detection of fraud, waste or abuse belongs to management. Therefore, management should take steps to review internal controls whether or not audits are to be performed.

### **Reporting Fraud, Waste or Abuse**

**Responsibility for Reporting Fraud, Waste or Abuse** – Institutional management, faculty and staff with a reasonable basis for believing that fraud, waste or abuse has

occurred ~~must~~ are strongly encouraged to immediately report such incidents (TCA 8-50-116). Students, citizens and others are ~~strongly~~ also encouraged to report known or suspected acts of fraud, waste or abuse. Although proof of an improper activity is not required at the time the incident is reported, anyone reporting such actions must have reasonable grounds for doing so. Employees with knowledge of matters constituting fraud, waste or abuse, that fail to report it or employees who knowingly make false accusations may be subject to disciplinary action.

**Protection from Retaliation** - State law (TCA 8-50-116) prohibits discrimination or retaliation against employees for reporting allegations of dishonest acts or cooperating with auditors conducting an investigation. The Higher Education Accountability Act of 2004 directs that a person who knowingly and willingly retaliates or takes adverse action of any kind against any person for reporting alleged wrongdoing pursuant to the provisions of this part commits a Class A misdemeanor.

**Confidentiality of Reported Information** – According to the ~~Higher Education Accountability Act of 2004~~ Tennessee Code Annotated, 49-14-103, detailed information received pursuant to a report of ~~illegal, improper, wasteful or fraudulent activity~~ fraud, waste or abuse or any on-going investigation thereof shall be considered working papers of the internal auditor and shall be confidential. Although every attempt will be made to keep such information confidential, circumstances such as may be disclosed, however, upon an order of a court or subpoena may result in disclosure. Also, if TBR or one of its institutions has a separate legal obligation to investigate the complaint (e.g., complaints of illegal harassment or discrimination), TBR and its institutions cannot ensure anonymity or complete confidentiality.

**Methods for Reporting Fraud, Waste or Abuse** – Any employee who becomes aware of known or suspected fraud, waste or abuse should immediately report the incident to an appropriate departmental official. ~~Several options are available to employees, students and others for reporting acknowledged or suspected dishonest acts.~~ Incidents should be reported to:

- a supervisor or department head;
- an institutional official;
- the institutional internal auditor;
- the Office of System-wide Internal Audit at 615-366-4441 or [reportfraud@tbr.edu](mailto:reportfraud@tbr.edu); or
- the Tennessee Comptroller of the Treasury's Hotline for fraud, waste and abuse at 1-800-232-5454.

~~Any employee who becomes aware of known or suspected fraud, waste or abuse must immediately report the incident to an appropriate departmental official.~~ If the incident involves their immediate supervisor, the employee ~~should~~ must report the incident to the next highest-level supervisor or one of the officials listed below. Employees should not confront the suspected individual or initiate an investigation on their own since such actions could compromise the investigation.



A department official or other supervisor who receives notice of known or suspected fraud, waste or abuse must immediately report the incident to the following:

1. President/Vice President for Business and Finance/TTC Director (or designee)
2. Internal Audit Department
3. Safety and Security Office/Campus Police (when appropriate)

The President/Vice President/Director or designee will immediately notify the TBR Vice Chancellor for Business and Finance and the Director of System-wide Internal Audit regarding the acknowledged or suspected fraud or misconduct. TTC Directors should also report such matters to the Vice Chancellor for Tennessee Technology Centers and the Lead Institution Vice President for Business and Finance. The Director of System-wide Internal Audit will notify the Comptroller of the Treasury of instances of fraud, waste or abuse ~~fraudulent activity or other misconduct~~. After initial notification, each institution should refer to TBR Guideline B-080, *Reporting and Resolution of Institutional Losses*, for additional reporting procedures.

### **Investigations/Actions**

**Cooperation of Employees** – Individuals involved with suspected ~~fraudulent activity or misconduct~~ fraud, waste or abuse must ~~should~~ assist with and cooperate in any authorized investigation, including providing complete, factual responses to questions and either providing access to or turning over relevant documentation immediately upon request by any authorized person. The refusal by an employee ~~Any person refusing to provide such assistance must be notified that such refusal may result in the imposition of discipline, up to and including termination~~ disciplinary action. ~~Failure to provide such notice will not preclude the institution from terminating the employee.~~

**Remedies Available** – The Tennessee Board of Regents will evaluate the information provided and make a determination concerning external reporting obligations, if any, and the feasibility of pursuing available legal remedies against persons or entities involved in ~~misconduct or fraudulent acts~~ fraud, waste or abuse against the institution. Remedies include, but are not limited to, terminating employment, requiring restitution, and forwarding information regarding the suspected fraud to appropriate external authorities for criminal prosecution. In those cases where disciplinary action is warranted, the Office of Personnel/Human Resources, Office of General Counsel, and other appropriate offices shall be consulted prior to taking such action, and applicable institutional and Board policies related to imposition of employee discipline shall be observed.

**Resignation of Suspected Employee** – An employee suspected of misconduct may not resign as an alternative to discharge after the investigation has been completed. Exceptions to this requirement can only be made by the institution's President/Director, and require advance consultation with and approval by the Vice Chancellor for Business and Finance. If the employee resigns during the investigation, the employment records must reflect the situation as of the date of the resignation and the outcome of the investigation (*General Personnel Policy*, 5:01:00:00).

**Effect on Annual Leave** – 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 (*Annual Leave Policy*, 5:01:01:01; TCA 8-50-807).

**Student Involvement** – Students found to have participated in ~~misconduct or fraudulent acts~~ fraud, waste or abuse as defined by this guideline will be subject to disciplinary action pursuant to the TBR Policy 3:02:00:01, *General Regulations on Student Conduct and Disciplinary Sanctions*. The Dean of Students/Vice President of Student Affairs/TTC Director (or designee) will be responsible for adhering to applicable due process procedures and administering appropriate disciplinary action.

**Confidentiality During Investigation** – All investigations will be conducted in as strict confidence as possible, with information sharing limited to persons on a “need to know” basis. The identities of persons communicating information or otherwise involved in an investigation or allegation of ~~misconduct or fraudulent activity~~ fraud, waste or abuse will not be revealed beyond the institution and staff of the TBR Offices of General Counsel, Business and Finance and System-wide Internal Audit unless necessary to comply with ~~reporting requirements, federal or state law or if legal action is taken.~~

**Management’s Follow-up Responsibility** – Administrators at all levels of management must implement, maintain, and evaluate an effective compliance program to prevent and detect ~~fraud, waste and abuse~~ fraud, waste and abuse activities. Once ~~fraud has~~ such activities have been identified and reported, the overall resolution should include an assessment of how it occurred, an evaluation of what could prevent recurrences of the same or similar conduct, and implementation of appropriate controls, if needed.

Source: TBR Meeting, March 28, 2008.