



## **AGENDA**

### **PRESIDENTS MEETING**

**TBR Central Office – Board Room – Suite 366**

**Tuesday, November 11, 2014 – 9:00 A.M. (CT)**

1. Common Core (Chancellor John Morgan)
2. Recommended Revision to TBR Policy 5:01:01:04 – Military Leave (Vice Chancellor Dale Sims) *Attachment*
3. Recommended Revision to TBR Guideline P-140 – Charitable Organization Deduction – TBR Guideline P-140 (Vice Chancellor Dale Sims) *Attachment*
4. Recommended Revision to TBR Policy 4:03:03:50 – Athletic and Other Group Travel (Vice Chancellor Dale Sims) *Attachment*
5. Recommended Revision to TBR Guideline B-043 – University Athletic Tickets (Vice Chancellor Dale Sims) *Attachment*
6. New TBR Policy 4:01:05:70 – Emergency Management Planning (Vice Chancellor Dale Sims) *Attachment*
7. Recommended Revision to TBR Guideline B-100 – Institutional Emergency Preparedness Plan (Vice Chancellor Dale Sims) *Attachment*
8. New TBR Guideline B-115 – Uniform Disposition of Unclaimed Property (Vice Chancellor Dale Sims) *Attachment*

## **Presidents Meeting Agenda, November 11, 2014**

### **Page Two**

9. Update on Academic Affairs Initiatives (Vice Chancellor Tristan Denley)  
*Attachment*
10. Update on the Recommended Modifications to the Policies, Procedures and Guidelines for Reverse Transfer (Vice Chancellor Tristan Denley)  
*Attachment*
11. Proposed Revision to TBR Guideline P-080 – Discrimination & Harassment Complaint & Investigation Procedure (Mary Moody, General Counsel)  
*Attachment*
12. New TBR Policy 4:03:03:60 – Reports of Expenditures of the Chancellor and Presidents (Tammy Gourley Birchett, Director of System Wide Internal Audit) *Attachment*
13. Higher Education Reauthorization Act (Senator Lamar Alexander's staff to the U.S. Senate Health Education Labor and Pensions Committee (HELP) – Peter Oppenheim, Education Policy Director and Counsel; Bob Moran, Deputy Education Policy Director; Andrew LaCasse, Education Policy Advisor; Lauren Davies, Education Policy Advisor (*Attachment*))

## November 11, 2014

PRESENTER: Dale Sims, Vice Chancellor Business and Finance

Minor Revision – Adds a reference that members of the US Air Force Auxiliary Civil Air Patrol are also entitled to the Military leave, per TCA 42-7-102. The addition to the policy doesn't change the benefit, but serves as a reference and confirmation that this policy applies to this group of employees.

## **Military Leave Policy : 5:01:01:04**

### Policy/Guideline Area

Personnel Policies

### Applicable Divisions

TCATs, Community Colleges, Universities, System Office

### Purpose

The purpose of this policy is to establish the criteria and process regarding military leave for employees at the System Office and institutions governed by the Tennessee Board of Regents.

### Definitions

- Military Duty – means
  - training and service performed by an inductee, enlistee, or reservist or any entrant into a temporary component of the armed forces for the United States; and
  - time spent in reporting for and returning from such training and service, or if a rejection occurs, from the place of reporting for such training and service.
- Military Duty also includes active duty training as a reservist in the armed forces of the United States or as a member of the national guard of the United States when the call is for training only.
- Qualified - means that the employee has the ability to perform the essential tasks of the position. The employee's inability to perform one or more non-essential tasks of a position does not make him or her unqualified.

# Policy/Guideline

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## I. Introduction

- A. All employees who are members of any reserve component of the armed forces of the United States or of the Tennessee National Guard or the US Air Force Auxiliary Civil Air Patrol shall be entitled to a leave of absence from their duties for all periods of military service during which they are engaged in the performance of duty or training in the service of this State, or of the United States, under competent orders as stipulated in U.S.C. Title 38, § 4311-4318 and T.C.A. § 8-33-101 through 8-33-109, ~~and~~ 58-1-106 and 42-7-102.
- B. An employee or applicant for employment, who performs, applies to perform, or has an obligation to serve in a uniformed service shall not, on that basis, be denied employment or reemployment or be discriminated or retaliated against for such service or application for service in any manner.

## II. Military Leave with Pay

- A. Each employee who is on military leave shall be paid his or her salary or compensation for a period, or periods, not exceeding twenty (20) working days in any one (1) calendar year.
- B. Holidays and scheduled off duty days do not count toward the twenty (20) workdays allowed.
- C. During the 20 day period the employee continues to earn regular pay, service credit, and applicable annual and/or sick leave accruals. All other rights and benefits continue to which the employee is otherwise entitled.
- D. A regular employee who has exhausted the 20 days of paid leave in any one calendar year may elect to use accrued annual leave. In addition, a regular

employee may use accrued sick leave if the employee provides proof to the president/director/chancellor or his/her designee that he/she was sick while serving in the armed forces.

- E. An employee on terminal leave is entitled to use his/her twenty (20) days of paid military leave with no loss of rights or benefits to which the employee is otherwise entitled.
- F. Employees must furnish certification from competent military authority of the dates active duty was actually performed.
- G. Longevity credit will not be affected.
- H. Employees are entitled to additional paid leave if called to active duty pursuant to T.C.A. § 58-1-106

### III. Military Leave with Partial Pay

- A. Military Leave with Partial Pay shall be granted to all employees who are called to active duty by the President of the United States or under the authority of a Governor as members of the Reserve or National Guard as provided by applicable Tennessee Executive Orders.
- B. Partial pay shall be the difference between the employee's regular state salary and the employee's fulltime military salary.
- C. Affected employees shall remain state employees while on such active duty for the purpose of;
  - 1. Accruing sick leave;
  - 2. Accruing annual leave;

3. Accruing longevity pay which shall continue to be paid to the employee annually; and
  4. Accruing retirement time.
    - a. Earnable compensation and retirement benefits shall be not increased or decreased by any partial payment made pursuant to this section.
    - b. The period of absence while on military duty shall count toward the minimum twelve (12) months and 1,250 hours required that an employee work for eligibility for leave under the Family Medical Leave Act.
- D. Current Executive Orders 4, 9, 12, 17, 20, 26 and 40 relating to Military Leave with Partial Pay can be found at: [www.state.tn.us/sos/pub/execorders/index](http://www.state.tn.us/sos/pub/execorders/index)

IV. Military Leave without Pay

- A. Military leave without pay shall be granted to all employees for periods of active duty or training activity with the armed forces of the United States, its reserve components or the Tennessee National Guard for periods beyond the twenty (20) days of paid leave in a calendar year.
- B. Military leave without pay shall be granted to employees voluntarily entering the regular components of the Armed Forces of the United States.
- C. During a period of unpaid military leave, a regular employee retains all accumulated annual and/or sick leave.
- D. Longevity credit will not be affected.

V. Reemployment Rights

- A. With exceptions noted in the regulations, an employee may perform service in the uniformed services for a cumulative period of up to five (5) years and retain reemployment rights. (20 C.F.R. 1002.99 – 1002.103)
- B. An employee leaving for military service must give his/her employer advance notice of his/her intent to leave the employment position for uniformed service unless giving such notice is prevented by military necessity or is otherwise impossible or unreasonable under all the circumstances. The notice may be either verbal or written, may be informal, and does not need to follow any particular format. (20 C.F.R. 1002.85 – 1002.86)
- C. An employee leaving for military service cannot be required to decide at that time whether he/she intends to return to that employer but may defer that decision until after completing the period of service. An employee who indicates intent not to seek reemployment following military service may change his/her mind and not forfeit reemployment rights. (20 C.F.R. 1002.88)
- D. Reemployment must occur promptly, no later than within two weeks of the employee's application for reemployment.
- E. An employee on military leave of absence who is relieved or discharged from military duty under circumstances other than dishonorable shall be entitled to reemployment rights as follows:
  - 1. If the employee served less than 31 days, or was absent for a period of any length for the purpose of an examination to determine his or her fitness to perform service, the employee must report back to the employer not later than the beginning of the first full regularly-scheduled work period on the first full calendar day following the completion of the period of service, and the expiration of eight (8) hours after a period allowing for safe transportation from the place of that service to the employee's residence.



- a. For example, if the employee completes a period of service and travel home, arriving at ten o'clock in the evening, he or she cannot be required to report to the employer until the beginning of the next full regularly-scheduled work period that begins at least eight hours after arriving home, i.e., no earlier than six o'clock the next morning.
  - b. If it is impossible or unreasonable for the employee to report within such time period through no fault of his or her own, he or she must report to the employer as soon as possible after the expiration of the eight-hour period.
- 2. If the employee served between 31 and 180 days and makes an oral or written request for reemployment no more than 14 days after completing service.
- 3. If the employee served more than 180 days and makes an oral or written request for reemployment no more than 90 days after completing service.
  - a. Source: Uniformed Services Employment and Reemployment Rights Act (USERRA) of 1994, amended 1/18/06 (20 C.F.R. 1102.115)
- F. An injured employee must comply with the notification procedures determined by the length of service, after the time period required for the person's recovery. The recovery period may not exceed two (2) years unless circumstances beyond the person's control make notification within the two-year period impossible or unreasonable. (20 C.F.R. 1002.116)
- G. An employee who fails to report or apply for reemployment within the timeframes described above does not automatically forfeit entitlement to reemployment, but will be subject to the System's policy regarding unauthorized absence from work. (20 C.F.R. 1002.117)

- H. The president/director/Chancellor or his/her designee may request that employees applying for reemployment submit documentation to substantiate that:
  - 1. The employee's application is timely; and
  - 2. The employee's entitlement to reemployment has not been terminated due to dishonorable or bad conduct discharges;
  - 3. The employee has been fully discharged to return to employment.
- I. If the employee fails to provide requested documentation;
  - 1. It shall not be a basis for denying reemployment if the documentation does not exist or is not readily available at the time requested by the employer;
  - 2. The employer may terminate the employee and any rights or benefits provided under this policy should documentation become available that establishes the employee does not meet one or more of the requirements in Section V.D above.

VI. Reemployment to Position

- A. An employee who was released under conditions other than dishonorable shall be eligible for reemployment as follows:
  - 1. As a general rule, the employee is entitled to reemployment in the job position that he or she would have attained with reasonable certainty if not for the absence due to uniformed service. This position is known as the escalator position. (20 C.F.R. 1002.191)
  - 2. Once the escalator position is determined, other factors and elements may have to be considered to determine the appropriate reemployment position.

This may include the employee's length of service, qualifications, and disability, if any, as well as seniority, status, and rate of pay that the employee would ordinarily have attained in that position given his or her job history, including prospects for future earnings and advancement. (20 C.F.R. 1002.192-193)

3. If an opportunity for promotion or eligibility for promotion requiring a skills test was missed, the employee will receive a reasonable amount of time to adjust to the employment position prior to the skills test being administered. (20 C.F.R. 1002.192-193)
4. The USERRA does not prohibit lawful adverse job consequences that result from the employee's restoration on the seniority ladder. (20 C.F.R. 1002.194)
5. If the employee's period of service was less than 91 days, the employee is reemployed in the escalator position. If the employee is not qualified for the escalator position, and after reasonable efforts by the employer, remains not qualified, the employee will be employed in the position he or she was employed on the date that the period of service began. If the employee is not qualified to perform either the escalator position or the pre-service position, after reasonable efforts by the employer, the employee will be reemployed in any other position that is the nearest approximation first to the escalator position, and then to the pre-service position. In all instances, the employee must be qualified to perform the duties of this position and the employer must make reasonable efforts to help the employee become qualified to perform the duties of the position (20 C.F.R. 1002.196)
6. If the employee's period of service was more than 91 days, the employee is reemployed in the escalator position, or a like position. If the employee is not qualified for the escalator position or the like position, and after reasonable

efforts by the employer, remains not qualified, the employee will be employed in the position he or she was employed on the date that the period of service began, or a like position. If the employee is not qualified for any of the above referenced positions, the employee will be reemployed in any other position that is the nearest approximation first to the escalator position, and then to the pre-service position. In all instances, the employee must be qualified to perform the duties of this position and the employer must make reasonable efforts to help the employee become qualified to perform the duties of the position (20 C.F.R. 1002.197)

7. Efforts required of the employer to help the employee become qualified for the reemployment position(s) must be reasonable.
  - a. TBR is not required to reemploy an employee upon his or her return from service if he or she cannot qualify for the appropriate reemployment position.
  - b. If the employee cannot become qualified for the escalator position, the employee must be reemployed in a position of equivalent seniority, status and pay that the employee is qualified to perform or could reasonably become qualified to perform.
  - c. If no such position exists, the employee must be placed in a job that is similar in terms of seniority, status and pay consistent with the employee's circumstances.
  - d. Whether a task is essential depends on several factors, and these factors include but are not limited to:
    1. The employer's judgment as to which functions are essential;
    2. Written job descriptions developed before the hiring process begins;

3. The amount of time on the job spent performing the function;
  4. The consequences of not requiring the individual to perform the function;
  5. The terms of a collective bargaining agreement;
  6. The work experience of past incumbents in the job; and/or
  7. The current work experience of incumbents in similar jobs.
- e. Only after the employer makes reasonable efforts, as defined in (20 C.F.R. 1002.5(i), may it determine that the employee is not qualified for the reemployment position. These reasonable efforts will be made at no cost to the employee. Source: 20 C.F.R. 1002.198
8. Consideration of seniority in re-employment decisions is limited to situations involving re-employment following a period of documented military leave. Although provided for by the state military leave statute, "seniority" is not a factor in employment decisions unrelated to military leave, nor is seniority (apart from longevity) recognized under TBR system or institutional policy.
- B. If two or more persons are entitled to reemployment in the same position and more than one of them has reported for reemployment, the person who left the position first shall have the right to the position. The remaining employee (or employees) is entitled to be reemployed in a position similar to that in which the employee would have been employed, according to the rules that normally determine a reemployment position, as set out above. (20 C.F.R. 1002.199)

## VII. Retention Rights

- A. If the employee's most recent period of service in the uniformed services was more than 30 days, he or she must not be discharged except for cause:

1. For 180 days after the employee's date of reemployment if his or her most recent period of uniformed service was more than 30 days, but less than 181 days; or
2. For one (1) year after the date of reemployment if the employee's most recent period of uniformed service was more than 180 days.(20 C.F.R. 1002.247)

VIII. Continuation of Benefits

- A. A returning employee is entitled to the same rights and benefits he/she would have had if employment had been continuous.

1. Insurance

- a. If elected, medical insurance coverage may be continued during a period of military service for the lesser of:
  1. 24 months following the beginning of the military leave;
  2. The period beginning on the date on which the employee's absence begins until the day after the date on which the employee fails to report to work or apply for employment as determined in Section IV.A.; or,
  3. Unless state law or Executive Order provides for greater benefits.
- b. If coverage is continued, the employee will be required to pay premiums as follows: (a) 30 or less days of service - employee's portion of the premium only or (b) more than 30 days of service— up to 102%. This includes the employee's and employer's portion of the premium, and 2% for administrative costs. (20 C.F.R. 1002.166)

- c. If the employee elects to discontinue insurance coverage, a waiting period may not be imposed for reinstatement of coverage upon reemployment if a waiting period would not have been imposed had coverage not been terminated.
- d. SERRA allows a health plan to impose an exclusion or waiting period for illnesses or injuries determined by the Secretary of Veterans Affairs to have been incurred in, or aggravated during the performance of military duty. (20 C.F.R. 1002.168)
- e. Continuation of other State insurance plans will be determined by the State Division of Insurance Administration. Continuation of System plans will be in accordance with the provisions of the plan(s).

## 2. Retirement

- a. For retirement purposes, a returning employee is considered as not having a break in service, except as noted in Section IV.B.
- b. Following an employee's return to work, the institution/system office will make retirement contributions which would have been made if employment had been continuous, not to exceed five (5) years.
- c. Contributions shall be made at the rate that would have been made if employment had been continuous.

## 3. Rate of Pay

- a. If the employee is reemployed in the escalator position, the employee must be compensated at the rate of pay associated with the escalator position by taking into account any pay increases, differentials, step increases, merit increases or periodic increases that the employee would

have attained with reasonable certainty had he or she remained continuously employed during the period of service.

- b. Any pay adjustments must be made effective as of the date it would have occurred had the employee's employment not been interrupted by uniformed service. (20 C.F.R. 1002.236)

#### 4. Longevity

- a. During a period of military leave, a regular employee continues to earn service credit for longevity pay.
- b. Upon reemployment, and in accordance with the employer's payroll procedures, the employee will receive all longevity pay that would have been paid if employment had been continuous. (Refer to Longevity Guideline P-120.)
- c. However, pursuant to the current Executive Order, payments must continue to be made annually.

#### 5. Leave Accrual

- a. A returning employee will begin to accrue leave at the rate(s) that would have been in effect if employment had been continuous.

## Sources

TBR Board Meetings: August 15, 1975; June 25, 1976; December 2, 1977; June 30, 1978; June 29, 1979; June 26, 1981; September 18, 1981; September 24, 1982; June 24, 1983; September 30, 1983; June 28, 1985; June 26, 1987; June 21, 1996 (Finance and Administration approval November 18, 1996); March 15, 2002 (Finance and Administration approval April 11, 2002); September 29, 2006; March 28, 2008



Note: The provisions of this policy adopted at the August 15, 1975 meeting, became effective on January 1, 1976, and changes in eligibility to earn leave or in the amount of leave earned for period of service were prospective only.

**November 11, 2014**

# Charitable Organization Deduction: P-140

## Policy/Guideline Area

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Personnel Guidelines

## Applicable Divisions

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TCATs, Community Colleges, Universities, System Office

## Purpose

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The purpose of this guideline is to establish the operational Guideline for Charitable Organization Deductions by the Tennessee Board of Regents.

## Policy/Guideline

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### I. Introduction

- A. The following guidelines establish a unified charitable giving campaign with a specific solicitation policy, calendar of events, enrollment procedures, contribution methods, requirements and limitations, approval process for addition of new agencies, and reporting procedures.
  - 1. All federations, independent agencies and institutions are expected to comply with the provisions of this guideline.

### II. Types of charitable organizations that will be considered

- A. Only organizations which are supported by voluntary contributions and which provide direct and substantial health and human services to Tennessee Board of Regents employees, their families, and other Tennesseans and/or provide substantial financial support to health, human services, and environmental agencies that provide significant services to Tennesseans and have a substantial presence in the State.

### III. Calendar of Events

A. The Tennessee Board of Regents Charitable Giving Campaign shall be held annually during the period September 1 – November 15. However, the institutions/~~centers~~/~~central~~system office ~~have~~-has the flexibility to designate campaign dates at any time within this period. Each February, the ~~Central~~System Office shall develop a calendar establishing dates on which:

1. Currently approved federations and independent agencies shall be required to verify their continued eligibility to participate in the TBR Charitable Giving Campaign;
2. New federations or independent agencies shall be required to submit applications for inclusion in the current campaign year;
3. Federations, independent agencies, and institutions shall be notified of newly approved agencies and their corresponding deduction code numbers;
4. Institutions/~~centers~~/~~Central~~System Office shall appoint current year campaign coordinators;
5. The ~~Central~~System Office shall notify federations and independent agencies of the theme selected for the current year campaign;
6. Federations and independent agencies shall submit current year campaign materials to the ~~Central~~System Office for preliminary review;
7. Federations and independent agencies will begin contacting institutions regarding campaign dates;
8. ~~Central~~System Office shall provide final approval of campaign materials;
9. Institutions/~~centers~~/~~Central~~System Office shall receive campaign materials for distribution.

10. Institutions shall submit an annual report of contributions to the CentralSystem Office, federations, and independent agencies.

IV. Responsibilities of the ~~Institution/CentralSystem~~ Office/~~Institutions/Centers~~

- A. The CentralSystem Office shall develop and administer a charitable giving solicitation policy governing participating federations, independent agencies, and institutions.
- B. A copy of this policy will be made available to all participating federations, independent agencies, and TBR Campaign Coordinators at each institution at least 30 days prior to the campaign start date.
- C. The CentralSystem Office shall develop and maintain a master list of eligible participating federations and agencies on its web site.
- D. The CentralSystem Office shall develop a uniform enrollment pledge form and brochure that lists approved federations, their member agencies, and independent agencies, along with designated TBR code numbers.
- E. ~~Institutions/centers/~~CentralSystem Office shall distribute campaign materials and provide instructions for employees regarding payroll deduction options and completion of forms.

V. Responsibilities of Federations and Independent Agencies

- A. Participating federations and independent agencies shall share the costs of providing pledge forms, brochures, shipping, and other incidentals associated with the campaign.
- B. Responsibility for production of annual campaign materials will be rotated among the federations.
- C. Each federation shall pay  $\frac{1}{4}$  of the total cost; independent agencies listed in the current campaign brochure shall pay the final  $\frac{1}{4}$  of cost.

- D. Federations shall provide regional training sessions for campus coordinators and shall appoint a liaison for the institutions/~~centers~~/CentralSystem Office.

VI. Requirements and Limitations

- A. Organizations with current payroll deductions are "grandfathered" and will not require additional approval from the CentralSystem Office. (Exhibit 1) However, such approval does not eliminate annual verification of continued eligibility and current contact information.
- ~~B. Employees will be limited to three charitable organization deductions. Deductions for umbrella organizations (i.e., Community Health Charities, Community Shares, United Way) will be regarded as one deduction.~~

VII. Process to Obtain Approval as a Qualified Agency and Establish Payroll Deductions

- A. New organizations shall contact the CentralSystem Office to obtain an application form and shall be required to submit all required documentation in accordance with the date specified in the Calendar of Events. The CentralSystem Office shall notify agencies of its approval/disapproval within 30 days of receipt of the application.
- B. Newly approved organizations and code numbers will be added to the master list on the date specified in the Calendar of Events.
- C. The CentralSystem Office will establish a block of deduction codes for charitable organizations. A specific range will be assigned for agencies that are approved for System-wide deductions. The remainder of the codes may be assigned at the discretion of the institution/~~center~~/ CentralSystem Office.

VIII. Enrollment

- A. Current employees may designate pledges only during the annual campaign period.



- B. New employees shall be offered the opportunity to authorize charitable organization deductions during the first full calendar month of service. Such employees shall use TBR's current campaign form and brochure to make designations.
- C. Names and addresses of donors shall not be supplied to federations or independent agencies unless specified by the donor on the acknowledgement section of the pledge form.

IX. Methods of Payroll Deduction



- A. Employees may select a one-time lump sum deduction, which will be taken out of the paycheck designated by the institution [/center/CentralSystem](#) Office, or
- B. Employees may select a monthly deduction, with the [date of the](#) first deduction being designated by the institution [/school/CentralSystem](#) Office.

X. Reporting Procedures

- A. Final reports containing the total gross pledged designations for each federation and independent agency shall be submitted to the [CentralSystem](#) Office in accordance with the Calendar of Events. ([Exhibit 2](#).)
- B. In addition, final reports and accompanying pledge forms shall be provided to each federation and independent agency by the date established on the Calendar of Events in order for each federation to provide necessary data to its participating agencies regarding distribution of designated funds.

## Exhibits

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-  [Exhibit 1 - Application for Payroll Deduction](#) (docx /12.42 KB)
-  [Exhibit 2 - Report Form](#) (docx /17.94 KB)

## Sources

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Source: May 8, 1995 presidents meeting; May 20, 2003 presidents meeting.



**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

**November 11, 2014**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: Recommended Revisions to Policy 4:03:03:50 – Athletic and  
Other Group Travel

ACTION: Voice Vote

PRESENTER: Dale Sims

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**BACKGROUND INFORMATION:**

The following revisions are recommended:

Revise the policy name and purpose statement to clarify that the policy applies to student group travel, not employee group travel. Employee group travel is addressed in the Board's general travel policy.

The remaining revisions are housekeeping in nature.

# Athletic and Other **Student** Group Travel: 4:03:03:50

## Policy/Guideline Area

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Business and Finance Policies

## Applicable Divisions

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TCATs, Community Colleges, Universities

## Purpose

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This policy is established by the Tennessee Board of Regents in recognition of the unique characteristics associated with travel by athletic personnel and teams and other groups at the institutions governed by the Board. The purpose of the policy is to address practical considerations for travel related specifically to the performance of intercollegiate athletic recruiting, athletic team travel, and other **student** group travel. The policy shall apply only to these functions; travel for other purposes by athletic personnel and other **non-student** groups shall be subject to Tennessee Board of Regents General Travel Policies and Procedures (No. 4:03:03:00) and institutional policies and guidelines. All travel will be reimbursed subject to TBR Policy No. 4:03:03:00 unless a specific exception is provided below. In addition, each institution shall comply with all pertinent regulations of the National Collegiate Athletic Association or the National Junior College Athletic Association and the athletic conference of which the institution is a member.

Each institution shall develop and enforce guidelines for athletic and other group travel consistent with the provisions of this policy. Institutional guidelines should include working procedures and be presented in such detail as to ensure thorough understanding of the provisions by all affected personnel.

## Policy/Guideline

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### I. Athletic Recruiting

A. Travel Advances

1. Travel advances should be made consistent with the Tennessee Board of Regents General Travel Policies and Procedures.
2. In addition, temporary or permanent travel advances may be made to staff members engaged in recruiting when such advances are approved by the president or designee.

B. Reimbursement Rates - Courtesy Vehicle

1. If a staff member has a "courtesy vehicle" due to his or her association with the institution, the maximum rate allowed will be the rate allowed under the Tennessee Board of Regents General Travel Policies and Procedures, ~~less seven cents per mile~~ **less the portion of the IRS business standard mileage rate treated as depreciation.**

C. Approval for Travel

1. The following are subject to prior approval by the president or designee:
  - a. Blanket travel authorization for scouting or recruiting; and
  - b. The travel of visitors and guests at institutional expense for any occasion related to recruiting.

D. Guest Meals

1. The actual cost of guest meals may be claimed when incurred by a staff member for recruiting purposes.
2. Such claims must be submitted in appropriate detail.
3. Receipts are required.

E. Student Recruits

1. Staff members are responsible for compliance with pertinent NCAA, NJCAA, and conference rules regarding student recruits.
2. Lodging in campus facilities should be arranged if space is available. If campus space is not available, arrangements may be made for lodging in local motels/hotels, and, with the approval of the athletic director or designee may be charged to the athletic department.
3. If available, the use of campus dining services should be arranged and costs may be charged to the athletic department. If necessary, staff members will be reimbursed at cost for off-campus meals, with reasonable and customary gratuities allowed. Receipts must accompany claims.
4. Transportation may be arranged through a local travel service and charged to the athletic department with the approval of the athletic director or designee. Automobile mileage may be reimbursed to a student recruit at the maximum rate allowed under the Board of Regents General Travel Policies and Procedures for the use of a personal vehicle.
5. Entertainment expenses may be reimbursed at cost within NCAA, NJCAA, and conference rules.

## II. Travel

- A. Institution officials and guests of the institution that accompany the team or student groups on trips must be approved in advance by the president or designee.
- B. In all cases, team and group transportation will be arranged through established institutional procedures, and travel itineraries are to be arranged in advance.

1. Documentation must be maintained in the athletic or other appropriate departments or offices indicating that various cost alternatives have been explored before making all arrangements and reservations.
  2. However, if such arrangements are made by the institution's purchasing office, that office should maintain the appropriate documentation.
- C. A roster of all individuals on a particular trip must be included with the itinerary documentation for proper accounting and auditing purposes and filed with the travel claim.
- D. A travel advance in the amount of 100% of the estimated trip expenses may be allowed.
1. One person from the athletic department or ~~other appropriate department or office~~ **coach staff member** who is familiar with the travel regulations will be responsible for the advance and all bills connected with team or group travel.
- E. Receipts are required for all team or group travel expenses consistent with TBR Policy No. 4:03:03:00.
- F. Actual lodging expenses will be reimbursed.
1. Documentation must be maintained in the athletic department or other appropriate department or office indicating that various cost alternatives have been explored before making all arrangements and reservations.
  2. However, if such arrangements are made by the institution's purchasing office, that office should maintain the appropriate documentation.
- G. Miscellaneous expenses, such as movies while on trips, must be supported by receipts.
1. Telephone calls by staff members for business purposes may be claimed with documentation consistent with TBR Policy No. 4:03:03:00.

- H. Individual meals associated with team or group travel will follow the Board of Regents General Travel Policies and Procedures.
- I. All team or group meals and snacks will be reimbursed at actual cost.
  - 1. Gratuities not to exceed reasonable and customary rates are allowed.
  - 2. Appropriate documentation and receipts are required.
- J. All travel claims and requisitions for team or group travel must be approved in writing by the appropriate approving authority.

### III. Other Group Travel

- A. Travel by student groups or other groups of participants in programs or activities of the institution may be reimbursed under the same provisions as included in Section II above.
- B. Travel by student groups or other groups of participants in programs or activities of the institution should be addressed by specific institutional guidelines which describe the approval process, discussion of possible liability issues and requirement of waivers/releases of liability by the student if appropriate.
  - 1. Sample waivers/releases and a discussion of liability issues have been provided by the Office of the General Counsel and should be on file in the offices of student and academic affairs.
  - 2. A waiver/release is not appropriate for travel that is required as part of an academic program.

### IV. Exceptions

- A. The Chancellor or his or her designee may approve exceptions to the requirements of this policy in appropriate cases.

## Sources

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TBR Meeting March 23, 1984; TBR Meeting June 29, 1990; June 29, 2007.

**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

**November 11, 2014**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: Recommended Revisions to Guideline B-043 – University Athletic Tickets

ACTION: Voice Vote

PRESENTER: Dale Sims

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**BACKGROUND INFORMATION:**

The following revision is being recommended:

**III. Complimentary Tickets**

Each president **or designee** may authorize complimentary tickets.



# University Athletic Tickets: B-043

## Policy/Guideline Area

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Business and Finance Guidelines

## Applicable Divisions

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Universities

## Purpose

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The purpose of this guideline is to establish the process and procedures for university athletic tickets at institutions governed by the Tennessee Board of Regents.

## Policy/Guideline

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### I. General Statement

- A. Gate receipts from athletic events are an important source of revenue for university intercollegiate athletic programs. Admission charges are a recognized form of user-fees, necessary to generate funds for program operations, which state appropriations and student fees cannot and should not totally support. To ensure proper management of ticket sales, it is essential that each university implement procedures for effective control of ticket distribution and accounting for gate receipts.
- B. The following guideline establishes basic provisions regarding the accountability for tickets for athletic events, pursuant to which each university shall develop detailed operating procedures.

### II. General Ticket Procedures

- A. The price of tickets for athletic events should be recommended by the athletic director and approved by the president or designee prior to the printing of the tickets.

1. A ticket should be assigned to each seat available for occupancy, except in designated student areas, if applicable.
  2. The price of tickets should take into account conference requirements, if applicable.
- B. Procedures for securing and distributing tickets should follow sound business practices, with proper documentation, reconciliation, and control measures.
- C. The appropriate athletic revenue account must receive credit for the value of tickets issued.
- D. All persons admitted to an athletic event for which there is an admissions charge must present a valid ticket, unless otherwise provided for below.
- E. A detailed plan should be developed and approved by the president, or his or her designee, for enforcing admissions control, seat assignment, and security.

### III. Complimentary Tickets

- A. Each president **or designee** may authorize complimentary tickets.
1. A listing of complimentary tickets should be prepared, approved by the president or designee prior to each event, and filed for audit purposes.
  2. The listing should contain the name of the individual who will receive the ticket or the specified group of individuals being approved (such as "high school recruits"), the account to which the cost of the ticket will be charged, the cost, and the purpose of issuing the ticket.
- B. The individual authorized to receive complimentary tickets must acknowledge receipt of the ticket(s) by signing for them.

1. Complimentary tickets may be mailed to the receiving party without securing a written acknowledgement only when mailing is the reasonable and practical distribution method; adequate file documentation and notations shall be maintained on all complimentary tickets mailed.
- C. Complimentary tickets designated for use by student athletes may be distributed as provided by NCAA and conference policy and provisions.
- D. All complimentary tickets issued will be charged to the account indicated on the listing required by III.A.2 above.

IV. Student Tickets

- A. Procedures should be established for admitting students to athletic events.
1. Tickets may be issued to students, or an area may be designated for students only, which is accessed by a designated student entrance, and student identification is required for admission.
  2. If tickets are issued to students, a complete accounting of the seat assignments for each event should be documented for audit purposes.

V. Group Tickets

- A. Each university may develop group promotional packages for admission to athletic events, subject to approval of the president or his or her designee prior to implementation.

VI. Special Passes

- A. Special passes issued by the university for concession workers, game officials, the press, security officials assigned to the event, participating team coaches, and other

workers assigned to the event must be controlled. Each institution should establish reasonable procedures appropriate to the event.

- B. Where facilities for athletic events are contracted, the assignment of special passes to facility workers should be controlled through specific contract provisions.

## VII. Other

- A. Admission to the president's box may be handled through either complimentary tickets or special passes at the discretion of the president, subject to procedures set-forth above.
- B. Ticket arrangements for student athletes from visiting teams should be controlled through specific contract provisions.

## VIII. Exceptions

- A. Exceptions to these guidelines are subject to prior approval by the Chancellor based upon written justification by the president.

## Sources

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June 26, 1981 TBR meeting; May 15, 1990 Presidents Meeting; August 9, 1994 Presidents Meeting; May 15, 2007 Presidents Meeting.

**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

**November 11, 2014**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: New Policy 4:01:05:70 – Emergency Management Planning

ACTION: Voice Vote

PRESENTER: Dale Sims

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**BACKGROUND INFORMATION:**

The attached new policy requires that institutions develop and maintain plans and procedures utilizing emergency mitigation, preparedness, response and recovery criteria consistent with the National Incident Management System and the Tennessee Emergency Management Plan. These plans and procedures will help ensure that all institutions are able to respond appropriately in the case of emergencies or disasters, which could occur within or around the institution in order to mitigate risks to students, faculty, staff and property. The policy also specifies the roles of institutions and the system Office in these efforts.

## Emergency Management Planning: 4:01:05:70

### Policy/Guideline Area

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Business and Finance Policies

### Applicable Divisions

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Community Colleges, TCATS, Universities, System Office

### Purpose

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The Board of Regents considers emergency preparedness and planning activities essential for maintaining the safety and security of each institution. The purpose of this policy is to ensure that institutions develop and maintain plans and procedures utilizing emergency mitigation, preparedness, response and recovery criteria consistent with the National Incident Management System and the Tennessee Emergency Management Plan. These plans and procedures will help ensure that all institutions are able to respond appropriately in the case of emergencies or disasters which could occur within or around the institution in order to mitigate risks to students, faculty, staff and property.

### Policy/Guideline

#### I. Emergency Management Planning

- A. Each institution shall develop, maintain and, execute an Emergency Management Plan that meets state and federal requirements. The Plan will guide the institution in responding to natural, man-made and/or public health hazards with the goal of mitigating risks to students, faculty, staff and property.
- B. The Plan shall be based on the concepts and principles of the National Incident Management System (NIMS), incorporating elements of the Incident Command System (ICS). The Plan should identify how the institution fits within the overall NIMS structure.
- C. The Plan shall address how the institution will integrate and coordinate with other governmental entities and should be shared, as appropriate, with relevant local, regional and/or state agencies in order to promote coordination among the various entities.
- D. The primary roles of the System Office are to:
  - 1. Provide necessary guidance for institutional officials to meet federal and state requirements;
  - 2. Act as liaison between TEMA (state) and TBR;

3. Coordinate meetings of institutional emergency management planning staff;
4. Assist in coordinating key personnel training;
5. Monitor institutional compliance with this policy; and
6. Report periodically to the Board on the status of emergency preparedness across the system.

### Sources

### Related Policies

Institutional Emergency Preparedness Plan

### Contact

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Mickey Sheen

[615-366-4437](tel:615-366-4437)

[mickey.sheen@tbr.edu](mailto:mickey.sheen@tbr.edu)

**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

**November 11, 2014**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: Recommended Revision to Guideline B-100 – Institutional  
Emergency Preparedness Plan

ACTION: Voice Vote

PRESENTER: Dale Sims

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**BACKGROUND INFORMATION:**

The attached revision to Guideline B-100 is recommended to better align the guideline to the provisions of the National Incident Management System. The guideline specifically references use by institutions of the “Guide for Developing High Quality Emergency Operations Plans for Institutions of Higher Education” in preparing their plans. This guide is a publication of the U.S. Department of Education and represents a joint effort of several federal agencies, including Homeland Security, the FBI, and FEMA.



## **Institutional Emergency Management Plan: B-100**

### Policy/Guideline Area

#### Business and Finance Guidelines

### Applicable Divisions

TCATs, Community Colleges, Universities

### Purpose

This Emergency Preparedness Plan Guideline outlines procedures to improve the protection of lives and property through the effective use of institutional resources at Tennessee Board of Regents institutions. The guideline's purpose is to mitigate the potential effects of the various hazards that might impact a TBR institution, to prepare for the implementation of measures which will preserve life and minimize damage, to respond effectively to the needs of the institution's community during emergencies, and to provide a recovery system to return the institution and its community to a normal status as soon as possible after such emergencies.

### Definitions

The following definitions are provided as guidelines to assist personnel in determining the appropriate response:

- **Minor Emergency** - Any potential or actual incident that does not seriously affect the overall functional capacity of the institution. Emergencies in this category will be handled according to the established procedures of those work units responsible for responding to these emergencies. Notifications to senior administrators regarding the incident will be made consistent with the standard protocols of the responding work units.
- **Major Emergency** - Any potential or actual incident that substantially disrupts a significant portion of the overall operations of the institution. Outside emergency services, as well as major commitment of campus support services, may be required. The institution's Police Department or Local Law Enforcement (in the absence of an institutional police department) will take immediate action to meet the emergency and safeguard persons and property. Major policy considerations will be required from higher levels of campus authority. The Emergency Preparedness Plan may be activated at the direction of the Chancellor, President, Director, or designee in the event of a major emergency.
- **Building Emergency** - A condition during which a specific building and its occupants are subjected to, or potentially subjected to, special precautions/actions necessary to maintain order and to safeguard institutional personnel and property. Upon determination that conditions exist which could lead to a state of emergency or have the potential of existing in a single building through events restricted to a building (e.g., bomb threat, equipment malfunction, etc.), the designated administrator (e.g., Physical Plant Director) shall be notified immediately. The

administrator will immediately inform the President or designee. The appropriate administrators shall implement the necessary procedures and notify appropriate personnel to ensure the safety and protection of the persons and property in the building. The Emergency Management Response Team shall be informed as soon as is possible.

- Disaster - An event or incident that seriously impairs or halts the operations of the institution. A disaster may result in multiple casualties and severe property damage. A coordinated effort of all campus services will be required. Outside emergency resources will be required. The emergency response plan will be activated by the Chancellor, President, Director, or designee.

## Policy/Guideline

### I. Introduction

- A. An emergency management plan addresses all types of emergency functions at a Tennessee Board of Regents institution.
- B. A state of emergency may be declared at any time an emergency reaches such proportions that it cannot be handled by routine measures. Such emergencies may include, but are not necessarily limited to:
  - 1. tornados
  - 2. earthquakes
  - 3. winter storms
  - 4. fires
  - 5. infectious diseases
  - 6. hazardous chemical spills
  - 7. transportation accidents
  - 8. explosions
  - 9. utility outages
  - 10. civil disturbances
  - 11. bombs
  - 12. hostage situations
  - 13. terrorist activities
  - 14. Active threats
  - 15. Technological hazards
- C. Since emergencies normally occur without warning, plans and procedures should be designed to provide sufficient flexibility to accommodate contingencies of assorted types and magnitudes.
- D. The institutional emergency management plan must be reviewed and revised, as necessary, on at least an annual basis by senior administrators in conjunction with the institutional emergency response management team.
- E. Additionally, aspects of the plan must be tested in training exercises and drills consistent with Federal and State law.

- F. University units that are not responsible for maintaining an independent emergency management plan are still responsible for developing and maintaining local building emergency procedures to address the safety of occupants with the assistance of and oversight by campus safety officers.
  - G. Campuses will have a system in place that assigns and trains people within campus units as necessary to develop department/building specific responses to general emergencies, helps communicate campus requirements, provides information during emergencies and coordinates department/building specific drills.
- II. Minimum Procedures of an Institutional Emergency Management Plan
- A. Pursuant to this guideline **Policy 4:01:05:70**, all TBR institutions are required to have a written institutional Emergency Management Plan that is developed and implemented consistent with the concepts and principles of the National Incident Management System, incorporating elements of the Incident Command System.
  - B. In developing the plan, the institution should utilize the Guide for Developing High-Quality Emergency Operations Plans for Institutions of Higher Education found at <http://rems.ed.gov/EOPGuides>
  - C. Institutions should undertake emergency operations planning within the context of local or regional, state and federal emergency planning. In order to promote coordination among these entities, the Institution should include a local or regional emergency planning representative to assist it in developing its emergency management plan.
  - D. An institution's Emergency Management Plan should be developed along the following outline:
    - Basic Plan
      - 1. Introductory Material
        - 1.1. Cover Page
        - 1.2. Promulgation Document and Signatures Page
        - 1.3. Approval and Implementation
        - 1.4. Record of Changes
        - 1.5. Record of Distribution
        - 1.6. Table of Contents
      - 2. Purpose, Scope, Situation Overview, and Assumptions
        - 2.1. Purpose
        - 2.2. Situation Overview

- 2.3. Planning Assumptions
3. Concept of Operations
4. Organization and Assignment of Responsibilities
5. Direction, Control, and Coordination
6. Information Collection, Analysis, and Dissemination
7. Training and Exercises
8. Administration, Finance, and Logistics
9. Plan Development and Maintenance
10. Authorities and References

#### Functional Annexes

NOTE: This is not a complete list, but it is recommended that all emergency management plans include at least the following functional annexes:

1. Evacuation
2. Deny Entry or Closing (Lockdown)
3. Shelter-in-Place or Secure-In-Place
4. Accounting for All Persons
5. Communications and Notifications
6. Continuity of Operations (COOP)
7. Recovery
8. Public Health, Medical and Mental Health
9. Security
10. Rapid Assessment

#### Threat- or Hazard-Specific Annexes

NOTE: This is not a complete list. Each institution's annexes will vary based on its threats and hazard analysis.

1. Hurricane or Severe Storm
2. Earthquake
3. Tornado
4. Hazardous Materials Incident

5. Mass Casualty Incident
6. Active Shooter
7. Pandemic or Disease Outbreak
8. Bomb Threat or Explosion

- E. The [Exhibits](#) are included as template or guidance documents only. Institutional administrators may elect to customize the attached documents for inclusion in its emergency management plan or they may draft new documents outlining their institutional plan to address the emergency situations presented in the appendices.
- F. Emergency Response Management Team - The institutional emergency management plan should designate appropriate administrators to an Institutional Emergency Response Management Team (ERMT).
1. The institutional emergency management plan may designate that the Chancellor, President, or Director is the highest institutional authority in any emergency situation. The plan must establish a clear chain of command outlining institutional employees with authority to act in response to the emergency.
  2. The Emergency Response Management Team should serve in a support role to the President or Director during an emergency.
  3. Institutions have the discretion to determine which administrators to appoint to the ERMT and it is advisable that institutions give serious consideration to the inclusion of the personnel listed in Exhibit 1.
  4. [Exhibit 1](#): EMRT Administrators Specific Responsibilities outlines the potential responsibilities of each administrator during a crisis.
    1. President/Director
    2. Chief Academic Affairs Officer
    3. Chief Business/Finance and Administration Office
    4. Chief Student Affairs Officer
    5. Chief Public Relations Officer
    6. Chief of Institutional Police Department or Director of Security Department
    7. Director of the Institutional Health Clinic
    8. Chief Information Officer
    9. Housing/Residence Life Director
    10. Physical Plant/Facilities Director

G. Declaration of Emergency– The institutional emergency management plan shall designate an employee (or group of employees) authorized to Declare an Emergency.

1. The plan may provide that the Chancellor, President, Director or designee with or without consultation from the ERMT, will make a determination of whether declaration of an emergency is appropriate.
2. If an emergency is declared, the employee(s) authorizing the declaration will cause ERMT members (as well as others as directed by the Chancellor, President or Director) to be contacted, advise them that an emergency has been declared, and direct them to respond to the Emergency Operations Center (EOC).
3. A systematic calling plan must be established to ensure that all ERMT members receive timely notification of the official declaration of emergency.

H. Emergency Operations Center - The institutional emergency management plan should designate a campus location that will serve as an Emergency Operations Center. An alternative location should be designated in the event that the primary location is not available.

1. Members of the Emergency Response Management Team and others as designated by the President or Director should be present in the EOC during emergencies, to the extent practicable.
2. Institutions should consider having all activities, such as requests for personnel, equipment, and supplies monitored and coordinated from the EOC to ensure a coordinated effort and to ensure the best use of the resources needed to handle the emergency situation.
3. A log should be maintained in the EOC which reflects all significant events and actions taken in the EOC.
4. A communications log should also be maintained which reflects the time and date of every significant communication to/from the EOC, whom the communication was received from/sent by, to whom the communication was directed, the nature of the communication, and any EOC action resulting from the communication.

H. Command Post - The institutional emergency management plan should authorize the establishment of a Command Post on campus that is near the scene of the emergency.

1. The plan should designate an employee, such as the Chief of the Institutional Police Department, Director of Public Safety, or Facilities Director, depending on the type of emergency, to establish and manage a command post near the scene of the emergency.

2. Upper level managers and directors from the institution whose personnel are directly involved in the emergency response will report to the command post, as will commanders from responding agencies external to the institution.
3. Operational decisions relative to the emergency response will be coordinated from the command post.
4. The command post will maintain contact with the EOC for purposes of instruction, status reports, and requests for support.

- I. Evacuations and Relocations - The institutional emergency management plan should authorize an appropriate administrator to determine that an evacuation is necessary and issue an evacuation order.

[Exhibit 3](#): General Evacuation Procedures outlines a suggested university housing evacuation procedure.

- J. Shelters - Institutions should designate appropriate locations as “Shelter Locations” at each campus/facility.

Suggested Procedures for a “Shelter in Place” or “Lock Down” are in [Exhibit 4](#): Shelter-in-Place/Lock-down Procedures.

- K. News Media - Institutions should have a procedure to manage media inquiries during an emergency situation.

1. The Emergency Preparedness Plan must include a news media procedure to direct the management of media inquiries during emergencies. If none exists, the institution’s Public Relations/Media Office should be responsible for coordinating the institution’s response to news media inquiries at all times, including emergency situations.
2. At the Tennessee Colleges of Applied Technology, the Director, or a direct designee, is the only authorized administrator to respond to news media inquiries.
3. No institutional employee, other than employees of institution’s Public Relations Office or the designated administrator, should release information to news media representatives, unless instructed to do so.
4. All news media requests should be directed to Public Relations/Media Office, the designated administrator, or the EOC.
5. The news media procedures must designate a location for press conferences during emergency incidents.
6. The procedure must include provisions regarding a process through which the institution’s Public Relations/Media Office will notify the TBR Public Relations Office of published press releases related to the emergency situation.

7. News media personnel should not be allowed into secure areas without an appropriate escort.
  8. [Exhibit 5](#): Crisis Media Relations lists institutional / local media contacts and information regarding the release of student and employee records.
- L. Volunteer Management – Institutions should have a procedure to manage volunteers who respond to an emergency situation.
1. Volunteers should be directed to the EOC or a central location for registration and assignment. During the registration process volunteers will be required to provide some form of reliable identification.
  2. A volunteer log should be maintained which will reflect the name, address, date of birth, driver's license or social security number, any particular skill of each volunteer, the name of the supervisor to whom they are assigned, and the number of the identification card issued to the volunteer.
  3. If practical, each volunteer will sign a standard Volunteer Release Form and be issued an identification card that will be affixed to their outer clothing.
  4. Volunteers will be assigned to a supervisor involved in the emergency response.
  5. [Exhibit 6](#): Volunteer Registration Form is a model Volunteer Statement/Understanding of Agreement (e.g., Volunteer Registration Form) that may be executed by institutions to register volunteers during an emergency response period.
- M. Purchasing Guidelines - Institutions should have a procedure to manage purchases during an emergency situation.
1. All emergency purchases will be handled in the shortest possible time frames.
  2. To the greatest extent possible, institutional employees will make purchases using procurement cards.
  3. For those purchases which cannot be made by use of procurement cards, Business Affairs personnel will facilitate the timely acquisition of needed resources in a manner consistent with emergency situations.
  4. A record of all emergency related expenditures will be maintained by the work unit making those expenditures.  
  
A copy of those records will be forwarded to the EOC and the original purchase documents will be handled consistent with institutional purchasing guidelines.



- N. Transportation Services - Institutions should have a plan to transport persons and/or equipment during an emergency.
1. An appropriate institutional department should be designated to be responsible for providing vehicles for evacuations and other emergency related activities.
  2. Distribution of vehicles should be made in such a manner as to maintain accountability while being responsive to the emergency needs of the institution.
  3. The Physical Plant or appropriate personnel should be prepared to experience an increase in emergency maintenance to institutional vehicles, to include minor off-site repairs related to such problems as flat tires, dead batteries, etc.
  4. [Exhibit 7](#): Institutional Vehicles is a template to outline the type and number of institutional vehicles on campus.
- O. Lines of Communication – Institutions should establish a plan for alternate communication options for use during an emergency response period.
1. Generally, the primary means of communications during an emergency are telephones, cell phones, satellite phones, and two-way radios.
  2. If the institutional phone system has been rendered inoperable or if the emergency incident is a bomb threat, then the EOC, EMRT, and other necessary personnel will use cell phones and radios.
  3. Radios will be the primary communications medium if landline phones, satellite phones, and cell phones are inoperable.
  4. In the event that phones, cell phones, and radios, become inoperable, consideration should be given to the use of “runners” to transmit messages.
  5. [Exhibit 8](#): Log of Campus Radios/Communication Devices is a template to outline the type and location of one-way and two-way radios at the institution.
- P. Documentation of Activities – Institutions should have a procedure to document activities in response to an emergency.
1. Each department/office should be instructed to maintain a record of all emergency-related activities performed by the personnel of that work unit. The record will reflect the personnel worker hours (for non-exempt staff), as well the assignments of personnel, and the work performed by each work unit, and other resources expended in response to the emergency.
- Q. Campus Maps and Building Prints - Institutions should ensure that copies of campus maps, site maps and building prints / records are in a central location.

1. To the extent that doing so does not compromise security of the institution, the institutional Emergency Preparedness Plan shall ensure that accurate copies of main and satellite campus maps/site plans, prints of buildings and record plans of buildings are attached to the plan.
  2. If the determination is made that security concerns outweigh the inclusion of such material in the Emergency Preparedness Plan, then the institution must ensure that accurate copies of campus maps and building prints are maintained in a secure location that is readily accessible by law enforcement personnel, the President or Director, and the ERMT.
- R. Student Assistance Coordinating Committee (Threat Assessment Team) – Institutions should have a Student Assistance Coordinating Committee/Threat Assessment Team that meets regularly to discuss the needs of distressed, disturbed, disruptive, or dangerous students.
1. Institutions must establish a Student Assistance Coordinating Committee that will meet regularly to evaluate the needs and provide necessary assistance to students who are identified as distressed, disturbed, disruptive, and/or dangerous.
  2. Institutions have the sole discretion to determine which administrators to appoint to the Committee; however, it is advisable that institutions give serious consideration to the inclusion of personnel from the following institutional departments, if applicable:  
  
Judicial Affairs  
  
Disabled Student Services  
  
Student Health  
  
Counseling Services  
  
Academic Support Services  
  
Housing and Residential Life, and  
  
Police Department.
  3. [Exhibit 9](#): Model Student Behavior Information is a model document that addresses institutional management of student behavior matters, including release of student records via the Partners in Education Program; student misconduct reports/methods to report students of concern; and student civility codes.
- S. Faculty and Staff Training Regarding Student Behavior Management - Institutions should require all faculty and designated staff to complete training regarding the identification and management of distressed, disturbed, disruptive or dangerous students.

1. Institutions must establish a method to maintain records certifying that all faculty, including adjunct faculty, and designated staff complete annual training regarding the identification and management of distressed students.
  2. Institutions have the sole discretion to determine which staff members must participate in the training; however, it is advisable for institutions to include all personnel who have direct contact with students (e.g., student affairs, financial aid, residence life, etc.)
- T. Maintenance of Emergency Management Plan - Institutions must properly maintain the Emergency Management Plan and review it at least on an annual basis.
1. Electronic and hard copies of the Emergency Management Plan will be maintained by all members of the Emergency Response Management Team and department/office heads who will have significant roles in responding to emergencies.
  2. The plan should also be maintained in the Institutional Police Department or Department of Public Safety, if one exists.
  3. Institutions are advised to put a copy of the plan in the library and to post it on the internet.
  4. An electronic copy of the plan must be maintained in a manner that will permit access during an emergency (e.g., Acrobat Adobe copy on diskette or memory stick, internet posting, etc.).
  5. Department/office heads should establish appropriate procedures within their work units to facilitate plan implementation.
  6. On an annual basis the President/Director or his/her designee, in consultation with the ERMT will review the plan and update/modify the plan as necessary.
- U. Emergency Response Plan Training - Institutions shall conduct appropriate training for all personnel regarding the Emergency Preparedness Plan and the Plan shall be publicly posted.
1. Members of the ERMT and department/office heads should ensure that they and members of their staff are knowledgeable concerning the contents of the Emergency Preparedness Plan.
  2. All employees must have knowledge of the contents and procedures of the institution's plan. On a periodic basis different aspects of the plan should be tested, either through simulated exercises or in-service training, as appropriate.
  3. A Safety Committee/Risk Management Committee may be established to assist in these training exercises as necessary.

4. The Emergency Response Management Team Members should receive training in the (NIMS) National Incident Management System method of handling emergency situations.
5. The Safety Committee / Risk Management Committee or appropriate personnel may consult the Tennessee Emergency Management Association (TEMA) Training and Education Office to request information regarding special training seminars.

### III. [Exhibits](#) to Guideline B-100

- A. [Exhibit](#) 1: EMRT Administrators Specific Responsibilities
- B. [Exhibit](#) 2: Housing/Residence Life Procedures
- C. [Exhibit](#) 3: Shelter-in-Place/Lock-down Procedures
- D. [Exhibit](#) 4: Crisis Media Relations
- E. [Exhibit](#) 5: Volunteer Registration Form
- F. [Exhibit](#) 6: Institutional Vehicles
- G. [Exhibit](#) 7: Log of Campus Radios/Communication Devices
- H. [Exhibit](#) 8: Student Behavior Information
- I. [Exhibit](#) 9: Fire Drills
- J. [Exhibit](#) 10: Bomb Threats
- K. [Exhibit](#) 11: Tornado Procedures
- L. [Exhibit](#) 12: Earthquake Procedures
- M. [Exhibit](#) 13: Biological Hazards
- N. [Exhibit](#) 14: Hostile Intruder/Violent Person
- O. [Exhibit](#) 15: Terrorist Attack
- P. [Exhibit](#) 16: Flood, Snow, and Ice
- Q. [Exhibit](#) 17: Hostage
- R. [Exhibit](#) 18: Protests/Demonstrations
- S. [Exhibit](#) 19: Explosion/Train or Aircraft Crash
- T. [Exhibit](#) 20: State and Local Emergency Telephone Numbers
- U. [Exhibit](#) 21: Building Contact Telephone Numbers
- V. [Exhibit](#) 22: Local Utility Company Telephone Numbers
- W. [Exhibit](#) 23: Emergency Response Campus Resources

### IV. Resources

The following resources should be beneficial in developing and implementing the institutional emergency management plans:

- A. <http://www.ready.gov/campus>
- B. <http://www.tnema.org/>
- C. <https://training.fema.gov/IS/>
- D. <http://www.fema.gov/response-recovery>

**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

**November 11, 2014**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: New Guideline B-115 – Uniform Disposition of Unclaimed  
Property

ACTION: Voice Vote

PRESENTER: Dale Sims

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**BACKGROUND INFORMATION:**

The purpose of this new guideline is to outline provisions for consistent procedures for complying with Tennessee's Uniform Disposition of Property Act, T.C.A. § 66-21-101 et seq. and Regulations 1700-2-1-.01 through 1700-2-1-37, at the institutions governed by the Tennessee Board of Regents. The Guideline is intended to serve as a reference document for institutional staff responsible for processing and disposing of unclaimed property, abandoned property, and lost & found property.

**Guideline Area**

B = Business & Finance Guidelines

Number – B-115

Name: Uniform Disposition of Unclaimed Property

**Purpose**

The purpose of the following guideline is to outline provisions for consistent procedures for complying with Tennessee's Uniform Disposition of Property Act, T.C.A. § 66-21-101 et seq. and Regulations 1700-2-1-.01 through 1700-2-1-37, at the institutions governed by the Tennessee Board of Regents. The Guideline is intended to serve as a reference document for institutional staff responsible for processing and disposing of unclaimed property, abandoned property, and lost & found property.

**Applies To**

TCATS, Community Colleges, Universities, System Office

**Policy****I. General Requirement**

A. TBR Institutions are subject to the state of Tennessee's Uniform Disposition of Unclaimed Property Act when the last known address of the owner is in Tennessee, in a foreign country, or is unknown, in accordance with the Unclaimed Property Law, T.C.A. § 66-21-101 et seq. and Regulations 1700-2-1-.01 through 1700-2-1-37.

B. This act requires institutions to exercise due diligence in attempting to locate owners of unclaimed property in its custody and to annually report certain unclaimed property to the state.

C. The state of Tennessee accepts unclaimed property for which the owner's last known address is in another state or commonwealth of the U.S.

1. The State reciprocally reports this property on behalf of the institution to the appropriate state or commonwealth.

**II. Unclaimed Property**

A. Tennessee's Unclaimed Property Law applies to unclaimed property items:

1. That an institution owes to or is holding for other organizations or individuals; and
2. For which the institution has had no contact with the owner for a minimum of one year up to the maximum statutory period of five years.

B. Unclaimed property includes, but is not limited to:

1. Payroll checks that have not been cashed,
2. Disbursement checks that have not been cashed,
3. Refund checks that have not been cashed,
4. Miscellaneous checks that have not been cashed,
5. Unidentified remittances,
6. Credit balances in accounts receivable,
7. Stored Value Cards

C. Non-cash (e.g. personal and/or household) items are considered "lost and found" items.

1. "Lost and found" items are not considered to be unclaimed property, should not be processed under this policy, and should not be reported to the state.

### III. Due Diligence

A. Before reporting unclaimed property, as defined above, the institution is required to exercise due diligence in attempting to notify the property owner of amounts \$50 or greater with information on how to claim property.

B. Sending a first-class letter to the last known address of the property owner constitutes due diligence.

1. Letters must be sent during the "Due Diligence Window" specified by the state Treasurer and based on the reporting date.
2. The timetable provided below is based on the current May 1 reporting date. (Property under \$50 requires no due diligence letter



and is submitted to the state along with other unclaimed amounts from the same calendar year.)

3. A sample due diligence letter is attached as Exhibit 1.

C. Mail returned as "undeliverable" is evidence that the owner cannot be located. If the owner cannot be located, the property should be considered abandoned and be reported to the state as unclaimed property.

D. Unreturned mail is considered a contact (presumably, the owner has received the notification and is now aware of the property's location).

1. If contact is established, the property is no longer considered to be abandoned and should not be reported to the state.

2. If the owner does not claim the property or provide the institution with directions for disposing of the property within 90 days of the date of contact, the institution may then assume ownership of the property.

3. The institutional business office will account for these funds in unclaimed property funds that remain available should the funds be claimed by owners.

#### IV. Stored Value Cards

A. Where applicable, each institutional business office is responsible for performing due diligence on all stored value cards that have been inactive for at least one (1) year, and a maximum of five (5) years, that have a balance of \$50 or greater.

B. Detailed information associated with these cards must be maintained at the institution.

1. Each institutional business office must compile and maintain a file of names, addresses, and social security numbers of dormant account owners, along with amounts each year.

2. The list will also include balances under \$50 for which due diligence is not required.

#### V. Accounts Receivable Credit Balances

A. Each institutional business office is responsible for performing due diligence on all credit balances in accounts receivable that have been

inactive for at least one (1) year, and a maximum of five (5) years, that have a balance of \$50 or greater.

B. Detailed information associated with these balances must be maintained at the institutional business office.

1. Each institutional business office must compile and maintain a file of names, addresses, and social security numbers of dormant account owners, along with amounts by April 1 of each year.
2. The list will also include credit balances under \$50 for which due diligence is not required.

## VI. Unclaimed Property Report

A. The annual unclaimed property report must be submitted electronically in the format required by the Tennessee Department of Treasury, Unclaimed Property Division. The current requirements can be found at the Division's website <http://treasury.tn.gov/unclaim/Forms>

1. The institutional business office should compile the list of all cash items (i.e., checks not cashed, unidentified remittances, credit balances in accounts receivable, stored value cards) for the entire institution and report it to the state Treasurer's Office.
2. Reports must be filed with the state Treasurer on or before May 1 of each year and must include property presumed abandoned held as of December 31 of the appropriate reporting year.
3. The maximum abandoned period for the institution is five (5) years.
  - a. The state Treasurer may grant one 30-day extension provided a written request is received on or before May 1.

## VII. Verification Form

A. Along with the report, the institutional business office must submit a notarized verification form for unclaimed cash items, signed by the designated individual in the institutional business office.

## VIII. Timetable for Unclaimed Property

A. The following timetable describes the year's schedule for reporting unclaimed property:

1. December 31 - End of reporting year.
2. January 1 to February 28 - Due diligence window. Institutional business office perform required due diligence on appropriate items considered abandoned.
3. April 1 - Deadline for institutional business office to complete report of abandoned property.
4. May 1 - Report, verification forms and unclaimed property (cash) are due in the state Treasurer's Office.

B. The institution will require proper proof of ownership when individuals claim property items. The institutional business office will have developed procedures for handling claims.

#### IX. Disposition of Non-Cash Items (Lost and Found)

A. Abandoned non-cash items may be:

1. Sold at a public auction or by sealed bids in accordance with TBR Policy No. 4:02:20:00 Disposal of Surplus Personal Property;
2. Donated to a local charity (if not purchased through a public sale); or
3. Discarded or destroyed if not valuable.

B. The following provisions apply to certain types of valuable non-cash property:

1. Jewelry, Electronic & Mechanical Items must be appraised and a minimum sales price established.
  - a. If appraised at little or no value, the item should be discarded.
  - b. Where appraised to have reasonable market value, these items shall be disposed of pursuant to TBR Policy No. 4:02:20:00 Disposal of Surplus Personal Property.
2. Coins that appear to have a market value substantially higher than face value should be appraised and a minimum sales price set.

a. These items shall be disposed of pursuant to TBR Policy No. 4:02:20:00 Disposal of Surplus Personal Property.

3. Firearms should be disposed of in accordance with local statutes.

4. Dangerous items (items of a combustible nature that are dangerous to store) should be safely disposed of as soon as possible.

5. Illegal items should be disposed of in accordance with instructions from the proper legal authorities.

#### X. Payment of Claims

A. Before receiving payment for claims, owners must present proper proof of ownership to the institution.

B. Where items are claimed after having been transferred to the state Treasurer, payment is the responsibility of the state Treasurer.

#### XI. Confiscated Property

A. Confiscated property will not be considered abandoned and should be treated as institution surplus property for disposal purposes (see TBR Policy No. 4:02:20:00 Disposal of Surplus Personal Property).

B. Confiscated firearms and other hazardous items should be disposed of in accordance with local statutes.

#### **Source**

New

#### **Related**

Disposal of Surplus Personal Property

#### **Exhibits**

Exhibit 1: Sample Due Diligence Letter

## **SAMPLE DUE DILIGENCE LETTER**

(Institution Letterhead)

January 1, 20XX

Owner Name  
1234 Any Road  
Any Town, TN 99999-9999

Account # xxxxxx  
Balance: \$xxx.xx

Dear Owner Name:

We are holding unclaimed property of at least \$50 due to the person listed above. The owner may claim this property by contacting us at the address or telephone number listed below:

Institution Name  
Institution Office  
123 College Street  
Big City, TN 99999-999  
(123) 456-7890

If we do not hear from the owner by (the last date your system can remove items for refund before reporting to the state, at least 60 days from date of letter) the law requires us to submit this property to the Tennessee Treasury Department Unclaimed Property Division.

Sincerely,

**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: Update on Academic Affairs Initiatives

ACTION: Information Item

PRESENTER: Vice Chancellor Tristan Denley

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**BACKGROUND INFORMATION:**

Vice Chancellor Denley will provide an update on current Academic Affairs Initiatives including: New Program Approval Policy, Course Revitalization RFP, Intrusive Analytics Demo, and the Library Task Force.

## **PRESIDENTS QUARTERLY MEETING**

## **DIRECTORS QUARTERLY MEETING**

DATE: Presidents Meeting (November 11, 2014)  
Directors Meeting (November 12, 2014)

AGENDA ITEM: Reverse Transfer

ACTION: Action Item

PRESENTER: Vice Chancellor Tristan Denley

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### **BACKGROUND INFORMATION:**

Vice Chancellor Denley will present an update on the recommended modifications to the policies, procedures and guidelines for Reverse Transfer which Tennessee Governor Bill Haslam signed HB 2827 amending Tennessee Code Annotated, Title 49 relative to higher education. This amendment added the following language to Section 1 Tennessee Code Annotated, Title 49, Chapter 7, Part 1:

The community colleges of the board of regents system are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the universities of the board of regents and the University of Tennessee systems and with private institutions of higher education that are accredited by the Southern Association of Colleges and Schools. The universities of the board of regents and the University of Tennessee systems are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the community colleges of the board of regents system.

## **Recommended Updates to the Policies, Procedures and Guidelines for Reverse Transfer**

### **Introduction and Purpose**

On April 4, 2012, Tennessee Governor Bill Haslam signed HB 2827 which amended Tennessee Code Annotated, Title 49 relative to higher education. This amendment added the following language to Section 1 Tennessee Code Annotated, Title 49, Chapter 7, Part 1:

The community colleges of the board of regents system are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the universities of the board of regents and the University of Tennessee systems and with private institutions of higher education that are accredited by the Southern Association of Colleges and Schools. The universities of the board of regents and the University of Tennessee systems are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the community colleges of the board of regents system.

In July 2012, a taskforce was convened to develop and implement a Reverse Transfer Process across the State of Tennessee. The original taskforce was comprised of members from the Tennessee Higher Education Commission, the Tennessee Board of Regents (TBR), the Tennessee Independent Colleges and Universities Association (TICUA), and the University of Tennessee (UT) systems.

The full taskforce defined Reverse Transfer as “a credit review of students who transfer from a community college to a four year institution prior to receipt of the associate’s degree to determine if and when the students complete the associate’s degree requirements and, if so, to award them an associate’s degree.” While the remaining courses required for the associate degree are completed at a Tennessee four-year institution, it is the responsibility of the associate degree-granting institution to verify degree completion and to award the two-year degree.

Subsequently, workgroups were created and charged to develop components of the overall process. The workgroups included members from THEC, TICUA, TBR, and UT. The Policies/Procedures workgroup was charged with the development of academic policy/procedures that will serve as the framework for Reverse Transfer across the State of Tennessee and among the three systems of higher education (Tennessee Board of Regents, University of Tennessee, and the Tennessee Independent Colleges and Universities).



## Definitions

1. The associate degree requirements are verified and the degree is awarded by the appropriate two-year institution.
2. Potential Reverse Transfer degree candidates are those students who:
  - are currently enrolled at a Tennessee four-year institution and were previously enrolled as students at a Tennessee community college or other Tennessee associate degree-granting institution,
  - have earned a minimum of 15 college credits towards an associate degree at the associate degree-granting institution, and
  - have earned a combined minimum of 60 total college-level credits.
3. The screening degree audit will be run on those students who are currently enrolled at a Tennessee four-year institution and were previously enrolled at a Tennessee community college or other Tennessee associate degree-granting institution as students, have earned a combined minimum of 60 total college-level credits and have successfully transferred a minimum of 12 college credits towards an associate degree at the associate degree-granting institution.

A four-year institution may not accept all credits earned at the associate degree-granting institution (e.g., grades of "D") that may in fact count towards the associate degree. Therefore, a threshold of "successfully transferred" credits that is less than the minimum residency credits required at the associate degree-granting institution was established to capture and include those students who may have not had all earned degree credits accepted by the four-year institution. Students meeting this threshold are considered to be "close" to degree completion for purposes of the screening degree audit. The associate degree-granting institution will still have responsibility for the official degree audit and degree conferral, if the student is eligible.

## Participation

1. All TBR and UT institutions will participate in Reverse Transfer as encouraged and supported by the State of Tennessee HB 2827. TICUA institutions may choose to participate. Those state institutions that have existing Reverse Transfer agreements with other state institutions must participate in the statewide solution. However, state

institutions may develop free-standing reverse transfer agreements with non-participating TICUA institutions.

## **Governance and Compliance**

1. The UT-TBR-TICUA Articulation and Transfer Council will have oversight of the Reverse Transfer process and policies and will review the policy and its impact annually. Oversight responsibilities include, but are not limited to, assessment and evaluation of the process, reporting to the Legislature, and modifications in the process/policies as needed.
2. The University of Tennessee Center for Business and Economic Research (CBER) will house and maintain the server and will have primary responsibility for the stored data (demographic and academic) as well as the data extracted for evaluation and reporting purposes. CBER will maintain the confidentiality and integrity of the data and will have primary responsibility for research and reporting related to Reverse Transfer. Data collected for the Reverse Transfer process will not be integrated into or become part of the Tennessee Longitudinal Data System (TLDS) unless approved by the Chancellor/President on each campus. CBER will collaborate with THEC, TBR, TICUA, UT, the Lumina Foundation (Tennessee's grant project founder), and the Office of Community College Leadership and Research (OCCRL) at the University of Illinois Champagne-Urbana campus throughout the evaluation and reporting processes. The "Credit When It's Due" (CWID) founders contracted OCCRL to document a baseline analysis, policy change/implementation and aggregate student outcomes for the CWID project nation-wide. In addition, each campus/system may designate an individual to have access to individual records for their students to conduct additional research and/or to validate the number of students receiving an associate degree and their credit hours reported to THEC.
3. Policies/procedures must be in compliance with the standards of accreditation set forth by the Southern Association of Colleges and Schools (SACSCOC).
  - a. Reverse Transfer candidates must complete "...at least 25 percent of the credit hours required for the degree" at the Tennessee institution awarding the associate's degree. (SACSCOC 3.5.2)
  - b. Reverse Transfer candidates must adhere to the Catalog requirements established by the degree-granting institution. (SACSCOC 3.5.3)

4. All student information shared between and among institutions to facilitate Reverse Transfer awards must be in compliance with FERPA guidelines and applicable State of Tennessee statutes.

## **Policies**

1. The Tennessee Higher Education Commission will work to identify and make any necessary modifications to the funding formula to reflect a spirit of full collaboration among Tennessee institutions of higher education and reward participating Tennessee institutions accordingly. Reverse Transfer, an initiative to promote the educational attainment of adult learners through the full cooperation and collaboration among Tennessee institutions of higher education, will result in the generation of student and institutional outcomes where none previously existed.
2. Each institution will be responsible for the accuracy of Equivalency Tables and degree audits. Equivalency tables and degree audits must be reviewed and updated annually, or as new programs are approved.
3. The “last hours” policy shall be waived for Reverse Transfer degree candidates at all Tennessee institutions. Requiring students to complete any number of “last hours” at the community college would potentially place undue hardship on the student and would be counter-intuitive to the intent of Reverse Transfer.
4. To adhere to the FERPA guidelines, the four-year institution must have written permission from the student to send the results of the screening degree audit to the associate degree-granting institution for reverse transfer degree audit purposes. The process to obtain student consent must include a reasonable way to identify the individual and authenticate the identity of the student as the source of the consent to the disclosure of the education records. Schools must obtain written consent (e.g., hard copy, electronic consent) from those students who appear to have the credits for associate degree completion prior to sending the results of the screening degree audit to the associate degree-granting institution. The communication to the student must include the purpose for sending the information, the institution to which the student’s information will be sent, and the option to revoke participation in the reverse transfer process at any time. Additionally, four year institutions may provide a section on the transfer application to allow for the exchange of the screening degree audit results for reverse transfer audit purposes or to opt out of the reverse transfer degree audit.

5. If a Reverse Transfer degree candidate attended more than one associate degree-granting institution prior to transferring to a four-year institution, the degree confirming institution will be the institution where the student earned the most credits, provided the student earned a minimum of 15 credits at that institution to meet the SACSCOC residency requirement (SACSCOC 3.5.2) and the student meets the requirements for an associate degree at that institution. In the event the student has earned the same number of credits and meets the residency and degree requirements at two or more institutions, the institution that the student attended most recently will be considered as the degree-granting institution.
6. Students will not be assessed a fee for to have the screening degree audit report sent to the associate degree-granting institutions in the degree audit process of Reverse Transfer.
7. Reverse Transfer degree recipients will not be assessed a graduation fee at the associate degree-granting institution.
8. Each community college and each participating four-year institution will designate a contact person for Reverse Transfer. The contact person will serve as a point of information to students, faculty, and advisors.
9. Students are afforded due process under the appeals process and procedures outlined in the Catalog at the appropriate institution.
10. Once a degree is conferred (baccalaureate or associate), the student will not be considered further for the reverse transfer process.

## Procedures

1. Initially, Reverse Transfer degree awards will be limited to those degree programs that are currently identified as a Tennessee Transfer Pathway. Community colleges also have the discretion to award the A.A., A.S. General Studies, and A.F.A degrees as reverse awards where applicable. All other associate degree programs should be added to the Reverse Transfer process as quickly as feasible. Additionally, all two-year degrees may be considered for and awarded through Reverse Transfer. While it is likely that the majority of Reverse Transfer degrees awarded will be either A.A., A.S., or A.F.A. degrees, it is possible that a student could complete the A.A.S. or A.S.T. degree requirements at a four-year institution, in which case the degree eligibility assessment would be made at the two-year institution.

2. The degree awarding process will be institution-initiated.
  - a. Reports will be generated each spring and fall semester (for May and December degree awards, respectively) to identify potential degree candidates and sent to the associate degree-granting institution for a degree audit and confirmation of degree. Potential degree candidates will be identified through a match of descriptive attributes which may include full name, permanent address, birth date, or other identifiers.
  - b. The associate degree-granting institution will send eligible students a letter of degree confirmation, information regarding participation in graduation ceremonies, and then mail diploma. Students will not need to file degree application for the associate degree.
  - c. A student may decline the degree.
  - d. Students being awarded a degree and the hours credited for the degree at the community college and four-year school will be recorded in the data set maintained by CBER.
3. The associate degree-granting institution will notify, in writing, those students whose associate degree audit indicates outstanding academic requirements for the Reverse Transfer associate degree and any "holds" the student may have.
  - a. Students will be notified of their progress toward the Reverse Transfer degree twice a year (spring and fall) to coincide with the reporting schedule identified in Procedure 2.
  - b. It is the student's responsibility to complete any outstanding academic requirements within his/her Catalog time limit in order to be considered for a Reverse Transfer degree.
  - c. It is the student's responsibility to clear any and all "holds" to be considered for a Reverse Transfer degree.
4. Website information for Reverse Transfer will be developed with input from UT, TBR, and TICUA, and will be located on the Tennessee Transfer Pathway website which is maintained by Tennessee Technological University. Each participating associate-degree granting institution will have a Reverse Transfer page that will include a link to the Reverse Transfer website. The institution's Reverse Transfer contact person's name, email, and telephone number as well as general information about Reverse Transfer will be included on the institution page.

## Guidelines

1. The general education assessment requirement may be waived for Reverse Transfer degree candidates at the discretion of the degree-granting institution.
  - a) The 2010 Tennessee Higher Education Commission's *Quality Assurance* guidelines concerning General Education Assessment (p. 7) indicate: "Institutions may exclude students from testing for 'good cause.' Good cause exemptions must be supported by documentation from the institution's chief academic officer. Exceptions should not be approved for simple inconvenience. This material should be available for review by Commission staff if needed."  
([http://www.tennessee.gov/thec/Divisions/AcademicAffairs/performance\\_funding/PF%202010-15%20Guidebook%20Mar%2017%202011.pdf](http://www.tennessee.gov/thec/Divisions/AcademicAffairs/performance_funding/PF%202010-15%20Guidebook%20Mar%2017%202011.pdf))
  - b) Reverse Transfer degree recipients will then complete the general education assessment as graduating seniors from a Tennessee baccalaureate degree program.
  - c) Therefore, community colleges will not be penalized under THEC Performance Funding *Quality Assurance* guidelines for waiving the general education assessment requirement for Reverse Transfer degree recipients (See Policy 1 in this document).
2. Upper division courses completed at a four-year institution may be considered for lower division course substitution on a case-by-case basis and in accordance with current policy at the associate degree-granting institution.
4. Reverse Transfer degree recipients may participate in the graduation ceremonies at the degree-granting institution. Students who choose to participate in the ceremony will be responsible for cap and gown rental.

Approved by the Full Reverse Transfer Taskforce: 06/20/14

Presented to the Articulation and Transfer Council by:

Dr. Gloria R. Gammell  
University of Tennessee  
07/02/14

Revised and Approved by the Articulation and Transfer Council: [need date](#)

## **PRESIDENTS QUARTERLY MEETING**

**November 11, 2014**

DATE: November 11, 2014

AGENDA ITEM: Proposed Revision to P-080, Discrimination & Harassment-  
Complaint & Investigation Procedure

ACTION: Requires Vote

PRESENTER: Mary G. Moody  
General Counsel

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### **BACKGROUND INFORMATION:**

At its September quarterly meeting, the Board of Regents approved revisions to the policies pertaining to sexual discrimination, harassment and misconduct. Since that time, institutions have moved to revise their own policies and procedures on these subjects to align them with federal law and TBR Policies. The university counsel have requested the proposed revision to P-080 to allow for an institution to adopt procedures that take into consideration the organizational structure and resources of the institution. At this time, the attorneys for the community colleges do not see a need for such an exception for them.

Approval of the revision is recommended by the Office of General Counsel.

**Proposed Revision to TBR Guideline P-080, Discrimination & Harassment-Complaint & Investigation Procedure**

The following language will be added at the end of the existing guideline:

**VII. Exception to Guideline for Universities**

- A. In lieu of following this Guideline, a university may adopt its own procedures for consideration of complaints of discrimination or harassment, subject to the approval of the Chancellor.
- B. A university seeking to adopt alternative procedures must first submit the proposed procedures to the TBR General Counsel, who will evaluate the proposed procedures to determine whether they are substantially equivalent to this Guideline.
- C. If the General Counsel determines that the proposed procedures are substantially equivalent to this Guideline, she will recommend their approval to the Chancellor.



**PRESIDENTS QUARTERLY MEETING**

**DIRECTORS QUARTERLY MEETING**

DATE: November 11, 2014  
November 12, 2014

AGENDA ITEM: New TBR Policy, 4:03:03:60, Reports of Expenditures of the  
Chancellor and Presidents

ACTION: Requires Vote

PRESENTER: Tammy Birchett

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**BACKGROUND INFORMATION:**

The state statute requiring the reports of expenditures states that TBR should have a policy regarding the report of expenditures of the Chancellor and presidents. Such a policy was not created when the legislation was passed in 2004 because a process and procedures were put into place. However, when this requirement was recently reviewed, the General Counsel's office advised that a policy would be preferable to adhere to the statute. The attached policy includes the requirements of the law and the process that is in place within the TBR system.

## **Policy Area**

Business and Finance Policies

Number – 4:03:03:60

Name: Reports of Expenditures by the Chancellor and Presidents

## **Purpose**

To comply with TCA 49-14-104, which requires a policy establishing at least annual reporting of discretionary expenditures made by, at the direction of, or for the benefit of the Chancellor or system presidents. To comply with TCA 49-7-3001, which requires risk-based internal financial audits of the offices of the chancellor and presidents.

## **Applies To**

Tennessee Board of Regents System Office

Universities

Community Colleges

## **Definitions**

Discretionary Expenditures – TCA 49-14-104 states that “it is the legislative intent that the policy require the report of discretionary expenditures, which shall include, but not be limited to, those made from unrestricted gifts, foundation funds, athletic funds, sponsorship fees, licenses and royalty funds and other such funds that would not be included in the operating budget for the chancellor's or the president's office.”

## **Policy**

- I. Quarterly Reports of Expenditures
  - A. The Chancellor and each president shall provide a quarterly report of the expenditures made by, at the direction of, or for the benefit of the Chancellor or president, in a format provided by the system office.
  - B. The report will include expenditures from any source of funds, including but not limited to, institutional funds, foundation funds, unrestricted gifts, athletic funds, sponsorship fees, licensing revenue, royalty funds and any third-parties.
  - C. The report will be submitted following the end of each quarter to the TBR Office of Business and Finance.

II. Administrative Review of Expenditures

- A. The TBR Office of Business and Finance will compile the quarterly reports and provide them to the Office of System-wide Internal Audit.
- B. The TBR Office of System-wide Internal Audit will review the reports quarterly and provide a comprehensive report of the expenditures to the Audit Committee of the Board of Regents at least annually.

III. Audits of Expenditures

- A. The TBR Office of System-wide Internal Audit will select a sample each year of the offices of the Chancellor and the presidents of the institutions comprising the system and direct risk-based internal financial audits of those offices. At least thirty percent (30%) of such offices shall be audited for any given fiscal year.
- B. The results of the internal financial audits performed will be presented to the Audit Committee of the Board of Regents for review and made available to the president's council or other sub-councils as needed.
- C. The results of the internal financial audits performed will be provided to the Comptroller of the Treasury by December 1 each year.

**Related**

**Exhibits**

**PRESIDENTS QUARTERLY MEETING**  
**DIRECTORS QUARTERLY MEETING (*if applicable*)**

**November 11, 2014**

DATE: Presidents Meeting (November 11, 2014)

AGENDA ITEM: Presentation on recommended changes to the Higher Education Reauthorization Act

ACTION: Information Item

PRESENTER: Senator Alexander's staff to the U.S. Senate Health Education Labor and Pensions Committee (HELP)-Peter Oppenheim, Education Policy Director and Counsel; Bob Moran, Deputy Education Policy Director, Andrew LaCasse, Education Policy Advisor, and Lauren Davies, Education Policy Advisor.

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**BACKGROUND INFORMATION:**

Senator Alexander is the ranking republican of the U. S. Senate Health Education Labor and Pensions Committee. He and his staff have been examining the Higher Education Reauthorization Act and changes to it. They are prepared to give an overview of the following topics under discussion in the HELP Committee:

- simplification of financial aid (FAFSA),
- accreditation,
- teacher education,
- the task force on Title IV reform, and the
- Campus Sexual Violence Elimination Act (SAVE).

The have suggested 30 minutes for a high level discussion with the presidents. We are schedule a longer (1.5 hour) afternoon session with TBR staff and campus leaders.