

PRESIDENTS/DIRECTORS MEETING
TBR System Office, 3rd Floor, Rooms 341-344
Tuesday, February 21, 2017 – 9:00 A.M. (CT)

1. Federal Update – (Education Policy Advisors from Senator Lamar Alexander’s Office – Andrew LaCasse & Lauren Davies)
2. Recommended Guideline G-050 - Enterprise Information Systems Updates Guideline (Chief Information Officer Steve Vieira)
3. Recommended Guideline G-054 - IT Acceptable Uses (Chief Information Officer Steve Vieira)
4. Recommended Revisions to Policy 4:03:03:00 – General Travel (Vice Chancellor Dale Sims)
5. Draft Policy 4:01:00:05 - Consideration of University Budgets (Vice Chancellor Dale Sims)
6. Governor’s Budget (Vice Chancellor Dale Sims)
7. Shared Services Update – (Vice Chancellor Dale Sims)
8. Community College Common Admission Application – (Vice Chancellor Tristan Denley)
9. Academic Policy 2.01.00.03: Principles for Articulation in Vocational/Technical Education & Guideline A-31 – Components of Articulation Agreements (Vice Chancellor Tristan Denley)
10. Academic Policy 2.03.01.01: Undergraduate Academic Retention Standards (Vice Chancellor Tristan Denley)
11. Academic Affairs Update (Vice Chancellor Tristan Denley)
12. Proposed TBR Policy: 7:02:00:00: Behavioral Intervention Teams (General Counsel Mary Moody)
13. Proposed Revision of Guideline G-070 – Records Retention and Disposal of Records (General Counsel Mary Moody)
14. Time of Risk Assessment Tool Changes (President Karen Bowyer)
15. PII Concerns with TN eCampus (President Karen Bowyer)

PRESIDENTS/DIRECTORS QUARTERLY MEETING

February 21, 2017

DATE: Presidents/Directors Meeting (February 21, 2017)

AGENDA ITEM: Federal Update from Senator Lamar Alexander's Office

ACTION: Information Item

PRESENTER: Education Policy Advisors Andrew LaCasse & Lauren Davies

BACKGROUND INFORMATION:

Education Policy Advisors Andrew LaCasse and Lauren Davies will give a federal update from Senator Lamar Alexander's Office.

PRESIDENTS/DIRECTORS QUARTERLY MEETING

February 21, 2017

DATE: Presidents/Directors Meeting (February 21, 2017)

AGENDA ITEM: Guideline G-050 Enterprise Information Systems Updates

ACTION: Approval for the G-050 Enterprise Information Systems Updates Guideline

PRESENTER: Stephen Vieira, Chief Information Officer

BACKGROUND INFORMATION:

The guideline approved at the August 16 Presidents Meeting and the August 17 Directors Meeting was modified and suggested for approval by the IT Sub Council on January 24, 2017. The guideline was modified to add the line (C-3) "Luminis updates should be installed in a timely manner and the institution should not be outside the TBR certified support schedule" in an effort to guarantee that all versions of the Luminis portal software would be maintained at their most current level supported by the TBR Central office.

The purpose of this guideline is to establish minimum standards of expectations related to maintaining appropriate software versions and upgrades within the institutional infrastructure.

Guideline

Policy

- A. Enterprise information systems and components used at Tennessee Board of Regents' institutions should maintain appropriate and timely updates/patches/maintenance to ensure that systems, data, and personal identifiable information (PII) are adequately protected.
- B. Maintaining proper oversight and implementation of this policy will help to:
 - 1. Reduce system vulnerability,
 - 2. Provide consistent system-wide support,
 - 3. Ensure compatibility with other systems, and
 - 4. Enhance application functionality.
- C. It is important that institutional executive and oversight leadership support the necessary functions and processes required in order to ensure that systems and data are protected and secure.

Scope

- A. This policy applies to all enterprise information systems, software, and components.
- B. This would include, but not be limited to web systems, end-user applications, infrastructure and end-user information systems, and all other software and hardware not specifically noted.
 - 1. The following are the priorities and timeframes within which updates must be applied:
 - 2. Develop institutional approval and sign-off procedures based on the update requirements.
 - 3. Schedule to not be subject to change except in the most extreme circumstances.
 - 4. Be communicated to students, faculty and staff in a timely manner.
 - 5. Critical updates/fixes should be applied as soon as is possible in accordance with institutional approval and sign-off procedures.
- C. Enterprise Information Systems Covered by This Policy
 - 1. ERP Quarterly Updates should be installed in in their entirety and in a timely manner. The institution should not be more than one version behind the current ERP vendor-certified release.
 - 2. Oracle CPU Updates should be installed in a timely manner and the institution should not be more than one version behind the ERP vendor-certified release.
 - 3. **Luminis updates should be installed in a timely manner and the institution should not be outside the TBR certified support schedule.**
 - 4. External application and system hosting will conform to institutional requirements with written exceptions being made as necessary based on the abilities and contractual obligations between the institution and the hosting vendor.

5. Operating System (OS) updates for servers, workstations, and other end user equipment should be installed in a timely manner in accordance to institutional needs and requirements in order to minimize and avoid unduly exposing the institution to risks.
6. End-user applications regular and critical updates should be installed in a timely manner in accordance to institutional needs and requirements in order to minimize and avoid unduly exposing the institution to risks.
7. Network infrastructure and systems regular and critical updates should be installed in a timely manner in accordance with institutional needs and requirements in order to minimize and avoid unduly exposing the institution to risks.
8. All other enterprise information systems and components regular and critical updates should be installed in a timely manner in accordance to institutional needs and requirements, and to minimize and avoid unduly exposing the institution to risks.

Exceptions

1. Exceptions to items 1. and 2. under Enterprise Information Systems Covered by this policy must be approved by the President/CEO at the institution and filed with the Chancellor and System CIO.
2. Other exceptions to this policy may be approved by the CIO or most senior information technology (IT) official at the institution.
3. Each exception must be documented in detail and retained for future review.

Sources

New Guideline approved at Presidents Meeting, August 16, 2017, Directors Meeting August 17, 2017, effective September 1, 2017.

Related Policies

- Information Technology Resources

Contact

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PRESIDENTS/DIRECTORS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017) (*if policy/guideline applicable*)

AGENDA ITEM: Guideline G-054 IT Acceptable Uses

ACTION: Approval for the G-054 IT Acceptable Uses Guideline

PRESENTER: Stephen Vieira, Chief Information Officer

BACKGROUND INFORMATION:

The guideline was developed and suggested for approval by the IT Sub Council on January 20, 2015 but never brought forward for approval by either the Presidents or Directors in order to be listed among the TBR guidelines. Without the appropriate approval process, the guideline, previously listed on the TBR web site, was removed and sent back to the IT Sub Council for review and recommendations. At the IT Sub Council retreat on January 23, 2017, the guideline was once again suggested to be moved through the approval process.

The objectives of this guideline include: 1) to articulate the rights and responsibilities of persons using information technology resources owned, leased, or administered by the Tennessee Board of Regents (TBR); 2) to protect the interests of users and the TBR; and 3) to facilitate the efficient operation of TBR information technology systems.

Guideline G-054

Definitions

- Information technology resources or IT resources- include computers and computer time, data processing or storage functions, computer systems and services, servers, networks, printers and other input/output and connecting devices, and related computer records, programs, software, and documentation.
- Institutions- shall mean the TBR Universities, Community Colleges, and Colleges of Applied Technology.
- Personal or private for-profit use - shall mean a use of TBR information technology resources which has as a primary objective financial gain of the user. Activities by a student which are typical of the student job search process (e.g. use of campus e mail to contact potential employers or posting of one's resume on the Institution's website, if allowed under Institutional policies and procedures) are not to be considered personal or private for-profit uses.
- Public record - means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency. T.C.A. § 10-7- 301(6) I.

Guideline

I. User Responsibilities

A. The following lists of user responsibilities are intended to be illustrative, and not exhaustive.

1. Access

- a. Users shall obtain proper authorization before using TBR information technology resources.
- b. Users shall not use TBR information technology resources for purposes beyond those for which they are authorized.
- c. Users shall not share access privileges (account numbers and passwords) with persons who are not authorized to use them.
- d. Users shall not use TBR information technology resources in an attempt to access or to actually access computers external to the TBR system when that access is not authorized by the computer's owner (no "hacking" allowed).

2. Respect for others

- a. A user shall not attempt to obstruct usage or deny access to other users.
- b. Users shall not transmit or distribute material that would be in violation of existing TBR policies or guidelines using TBR information technology resources.
- c. Users shall respect the privacy of other users, and specifically shall not read, delete, copy, or modify another user's data, information, files, e-mail or

- programs (collectively, "electronic files") without the other user's permission. Users should note that there should be no expectation of privacy in electronic files stored on the resident memory of a computer available for general public access, and such files are subject to unannounced deletion.
- d. Users shall not intentionally introduce any program or data intended to disrupt normal operations (e.g. a computer "virus" or "worm") into TBR information technology resources.
 - e. Forgery or attempted forgery of e-mail messages is prohibited.
 - f. Sending or attempts to send unsolicited junk mail or chain letters is prohibited.
 - g. Flooding or attempts to flood a user's mailbox is prohibited.
3. Respect for State-owned property
- a. A user shall not intentionally, recklessly, or negligently misuse, damage or vandalize TBR information technology resources.
 - b. A user shall not attempt to modify TBR information technology resources without authorization.
 - c. A user shall not circumvent or attempt to circumvent normal resource limits, logon procedures, or security regulations.
 - d. A user shall not use TBR information technology resources for purposes other than those for which they were intended or authorized.
 - e. A user shall not use TBR information technology resources for any private or personal for-profit activity.
 - f. Except for those not-for-profit business activities which are directly related to an employee's job responsibilities or which are directly related to an organization which is affiliated with the Institution, a user shall not use TBR information technology resources for any not-for-profit business activities, unless authorized by the President or Director (or his/her designee).
 - g. Users shall at all times endeavor to use TBR information technology resources in an efficient and productive manner, and shall specifically avoid excessive game playing, printing excessive copies of documents, files, data, or programs; or attempting to crash or tie-up computer resources.
4. Additional Responsibilities of Employees and Independent Contractors
- a. Users who are Employees and Independent Contractors shall not make use of TBR information technology resources for purposes which do not conform to the purpose, goals, and mission of the TBR and to the users job duties and responsibilities.
 - b. Users shall not use TBR information technology resources for solicitation for religious or political causes.

II. Digital/Electronic Signatures and Transactions

- A. The Tennessee Board of Regents and its institutions must comply with the Tennessee Uniform Electronic Transactions Act (T.C.A. §47-10-101 et seq.) This Act permits the use of electronic signatures and electronic transactions under certain circumstances.
 - 1. In order to be legally enforceable, an electronic signature must meet the following two criteria.

- a. An electronic signature must be attributable (or traceable) to a person who has the intent to sign the record or contract with the use of adequate security and authentication measures that are contained in the method of capturing the electronic transaction (e.g., use of personal identification number or personal log-in identification username and password) (T.C.A. §47-10-109) (If Public Key Infrastructure technology ("PKI") is to be used in the creation of the digital signature, contact TBR Chief Information Officer prior to implementation.)
 - b. The recipient of the transaction must be able to print or store the electronic record of the transaction at the time of receipt. (T.C.A. §47-10-109)
2. The use of electronic/digital signatures in compliance with state and federal laws is permitted.

III. No Unlawful Uses Permitted

A. Users shall not engage in unlawful uses of the information technology system resources of the TBR.

B. Unlawful activities are violative of this guideline and may also subject persons engaging in these activities to civil and/or criminal penalties.

C. This list of unlawful activities is illustrative and not intended to be exhaustive.

1. Obscene Materials

a. The distribution and display of obscene materials is prohibited by the laws of Tennessee (see T.C.A. 39-17-902). Obscene materials are defined under Tennessee law (see T.C.A. 39-17-901(10)) as those materials which:

(1) The average person applying contemporary community standards would find that the work, taken as a whole, appeals to the prurient interest;

(2) The average person applying contemporary community standards would find that the work depicts or describes, in a patently offensive way, sexual conduct; and

(3) The work, taken as a whole, lacks serious literary, artistic, political, or scientific value.

b. Federal law (18 U.S.C. 2252) prohibits the distribution across state lines of child pornography.

2. Defamation

a. Defamation is a civil tort which occurs when one, without privilege, publishes a false and defamatory statement which damage the reputation of another.

3. Violation of Copyright

a. Federal law gives the holder of copyright five exclusive rights, including the right to exclude others from reproducing the copyrighted work.

b. Sanctions for violation of copyright can be very substantial. Beyond the threat of legally imposed sanctions, violation of copyright is an unethical appropriation of the fruits of another's labor.

c. Pursuant to the Digital Millennium Copyright Act of 1998, the TBR designated agent for receipt of complaints of copyright infringement occurring with the use of TBR information technology resources is the TBR Chief Information Officer or his/her designee.

- d. The TBR agent shall develop and maintain a guideline regarding receipt and disposition of complaints of copyright infringement.
 - e. The Institutions are authorized to designate agents to serve their specific campus, however the Chief Information Officer shall be promptly informed of as appropriate for complaints received by such Institutional agents.
4. Gambling
- a. Gambling, including that performed with the aid of the Internet, is prohibited under Tennessee state law (see T.C.A. § 39-17-502).

IV. World Wide Web Home Pages

- A. The principles of use articulated above in Sections IV. and V. are generally applicable to World Wide Web home pages.
 - 1. For example, use of TBR information technology resources to post a web page for personal or private for-profit use is prohibited under Section IV.B.3.e. Illegal content in web pages stored on TBR IT resources is prohibited under Section IV.B.2.b. Obscene content is prohibited under Section VI.C.1. Incorporation of copyrighted material, without either permission of the copyright holder or under a lawful exemption, is prohibited under Section VI.C.3.
 - 2. In addition to the principles of use outlined in Sections IV. and V., users may not incorporate into web pages or other electronic documents the trademarks or logos of others without express, written permission.
 - 3. Persons who are not employees of an Institution may not make use of Institutional trademarks or logos without express, written permission.
 - 4. Institutions are authorized to develop policies and regulations regarding use of Institutional trademarks on the Institution's website by employees.
 - 5. The Institution Presidents and Directors are authorized to designate persons (e.g. campus web master) who may approve a proposed use of the Institution's trademarks and logos by employees on Institutional web pages.

V. Advertising

- A. Use of TBR information technology resources to promote or advertise activities or entities which are not related to the Institution is prohibited, unless such use is consistent with the mission of the Institution and results in substantial benefit to the Institution.
- B. The President or Director of each TBR Institution is authorized to determine whether a given use is consistent with the mission of the Institution and results in substantial benefit to the Institution, consistent with other TBR Policies/guidelines (in particular, TBR Policy 1:03:02:50).
- C. Sale of advertising in web-based versions of Institution-affiliated student publications is specifically permitted.

VI. TBR Monitoring and Inspection of Electronic Records

- A. Electronic records sent, received, or stored on computers owned, leased, or administered by the TBR is the property of the Tennessee Board of Regents.

- B. As the property of the TBR, the content of such records, including electronic mail, is subject to inspection by TBR personnel.
- C. While the TBR does not routinely do so, the TBR is able and reserves the right to monitor and/or log all network activity of users without notice, including all email and Internet communications.
- D. Users should have no reasonable expectation of privacy in the use of these resources.

VII. Disclosure of Electronic Records

- A. Pursuant to T.C.A. § 10-7-101 et seq., and subject to exemptions contained therein, electronic files (including email correspondence) may be subject to public inspection upon request by a citizen of the State of Tennessee, if they are:
 - 1. Generated or received by TBR employees, and
 - 2. Either owned or controlled by the State, or
 - 3. Maintained using TBR IT resources.
- B. TBR personnel receiving such a request for public inspection should refer the request to the President or Director of their Institution (or to the President's or Director's designee).
- C. Institutions may charge reasonable fees for making copies of such records, pursuant to T.C.A. §10-7-506.
- D. While disclosure under T.C.A. § 10-7-101 et seq. applies to employees, disclosure of the electronic records of all users which are maintained using TBR IT resources may be made pursuant to a valid subpoena or court order, when otherwise required by federal, state or local law, or when authorized by the President or Director of the Institution.

VIII. Retention of Electronic Records

- A. Electronic records needed to support Institutional functions must be retained, managed, and made accessible in record-keeping or filing systems in accordance with established records disposition authorizations approved by the Public Records Commission and in accordance with TBR Guideline G-070, "Disposal of Records".
- B. Each employee of the TBR, with the assistance of his or her supervisor as needed, is responsible for ascertaining the disposition requirements for those electronic records in his or her custody.
- C. The system administrator is not responsible for meeting the record retention requirements established under T.C.A. § 10-7-101 et seq., and the TBR, as owner of electronic records stored on TBR computers, reserves the right to periodically purge electronic records, including email messages.
- D. Users who are either required to retain an electronic record, or who otherwise wish to maintain an electronic record should either:
 - 1. Print and store a paper copy of the record in the relevant subject matter file;
 - or
 - 2. Electronically store the record on a storage medium or in an electronic storage location not subject to unannounced deletion.

IX. Violation of this Guideline

A. Reporting Allegation of Violations

1. Persons who have reason to suspect a violation of this guideline, or who have direct knowledge of behavior in violation of this guideline should report that allegation of violation to the Institution President or Director or his/her designee.

B. Disciplinary Procedures

1. Allegations of violation of this guideline shall be referred by the designee of the President (typically, the senior IT officer) or of the Director to the appropriate person(s) for disciplinary action.
2. If a student, the guideline violation will be referred to the judicial officer of the institution under TBR Policy 3:02:00:01.
3. If an employee, the guideline violation will be referred to the immediate supervisor.
4. If there is a guideline violation, which the designee believes rises to the level of a serious violation of this or any other TBR policy/guideline; the designee is authorized to temporarily revoke access privileges. In those cases, the revocation of access must be reviewed by the appropriate disciplinary authority for review and final determination of access privileges. In such cases the authorization of the designee carries with it the authorization to make subjective judgments, such as whether material or statements violate TBR Policy/Guideline.

C. Sanctions

1. Persons violating this guideline are subject to revocation or suspension of access privileges to TBR IT resources.
2. Additionally other penalties, as outlined in TBR Policy 3:02:00:01 may be imposed upon student users.
3. Sanctions for violation of this guideline by employees may extend to termination of employment. Violations of law may be referred for criminal or civil action.

D. Appeals

1. Sanctions imposed upon students at a TBR University or Community College and imposed at the discretion of the senior IT officer (or other designee of the President) may be appealed to the Chief Student Affairs Officer.
2. Other sanctions may be appealed under established Institution procedure.

New Guideline approved August 19, 2014 at President's Meeting; effective September 26, 2014.

• Information Technology Resources
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PRESIDENTS QUARTERLY MEETING

DIRECTORS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017)

AGENDA ITEM: Recommended Revisions to Policy 4:03:03:00 – General Travel

ACTION: Requires Vote

PRESENTER: Vice Chancellor Dale Sims

BACKGROUND INFORMATION:

The recommended revisions to the General Travel policy include deletion of Section IX – Corporate Credit Cards for Travel as well as revisions to Section VIII regarding temporary travel advances.

VIII. Travel Advances

A. General

1. Normally travel expenses should be paid when incurred by an employee, with reimbursement made to the employee for actual expenses upon proper submission of a claim for travel expenses.
2. Advances to employees for anticipated travel expenses may be made under the circumstances hereinafter described as
 - a. Permanent travel advances; and
 - b. ~~Temporary travel advances except as provided in Section IX.C.~~ Temporary travel advances are available only under extraordinary circumstances as determined by the approving authority.
3. All travel advances must be approved by the president or director or his or her designees for employees of the institutions, and the Chancellor for employees of the Board.

~~IX. Corporate Credit Cards for Travel~~

1. ~~General~~ Individual institutions and/or the Board Office may arrange for corporate credit cards to assist with travel expenses.
2. ~~Membership~~ Corporate credit cards are made available to designated employees, with the employees personally responsible to the card vendor for all amounts charged to the card.
3. ~~Advances~~ Travel advances, permanent or temporary, shall not be issued to:
 1. ~~Any employee who is issued a corporate card; or~~
 2. ~~Any employee who is designated but chooses not to apply for a corporate card; or~~

3. ~~Any employee who has had his/her corporate card canceled or was refused a card based on the vendor's credit requirements.~~
1. ~~Institutions may make individual exceptions to the above provisions when the circumstances are determined to warrant such exception.~~
4. ~~Reimbursement - Reimbursement for travel expenses shall only be allowed for actual business expenses incurred, subject to the provisions of Section I.F, and the maximum limitations shown on the Addendum.~~
5. ~~Cancelations - The Tennessee Board of Regents and/or the card vendor may cancel an employee's corporate card at any time. In the event of cancellation of a corporate card, the Tennessee Board of Regents or appropriate institution shall promptly notify the employee of the cancellation and use its best efforts to obtain the canceled corporate card and return it to the card vendor.~~
6. ~~Termination - The Tennessee Board of Regents and its institutions shall notify the card vendor if a cardholder's employment is terminated, and the effective date of such action. Each institution shall establish procedures to collect corporate cards from terminated employees and return them to the card vendor.~~

PRESIDENTS QUARTERLY MEETING

DIRECTORS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017)

AGENDA ITEM: Draft Policy 4:01:00:05 - Consideration of University Budgets

ACTION: Information Item

PRESENTER: Vice Chancellor Dale Sims

BACKGROUND INFORMATION:

The FOCUS Act gives certain authority and responsibility to the TBR Board in relation to university budgets. The draft policy has been shared with the TBR General Counsel Office, Comptroller's office debt finance area and the State Attorney General's office. Board finance staff is reviewing comments that were received from these offices. The draft policy has also been shared with the university vice presidents for finance.

2 **Consideration of University Budgets: 4:~~01XX~~:~~00XX~~:~~05XX~~**

3 **Policy Area**

4 Business and Finance Policies

5 **Applicable Divisions**

6 Universities

7 **Purpose**

8 The purpose of this policy is to specify the manner in which the Board of Regents will, under the FOCUS
9 Act, consider for approval university budgets, including data and metrics required to be submitted by
10 universities.

11 **Policy**

12 1. Background

13 Tennessee Code Annotated, Section 49-8-203 (a) (1), as amended by the FOCUS Act of 2016,
14 provides, in relevant part, that:

15 (a) (1) With respect to the institutions they govern, each state university board and the
16 board of regents has the power to:

17 * * *

18 (C) Approve the operating budgets and set the fiscal policies for the schools and
19 programs under its control. Each state university board shall have the power to
20 approve the operating budget and set the fiscal policy for the university under its
21 control. In order to ensure the ability to satisfy both contractual obligations to
22 the Tennessee state school bond authority and obligations to that authority's
23 bondholders, the board of regents shall have authority over, and shall give final
24 approval to, the operating budget of each state university. [The funds](#)
25 [appropriated for each state university shall initially be distributed by the](#)
26 [department of finance and administration to the board of regents, which shall](#)
27 [then distribute such funds to each state university in such amounts as were](#)
28 [appropriated minus any deduction or deductions required to be made by the](#)
29 [board of regents pursuant to any financing agreement, or other similar](#)
30 [agreement, then existing by and between the board of regents and the Tennessee](#)
31 [state school bond authority or any successor organization. Notwithstanding any](#)
32 [provision of law, the board of regents shall retain all powers and duties with](#)
33 [respect to each state university, state community college, and Tennessee college](#)
34 [of applied technology, including, but not limited to, any projects at such](#)
35 [institutions which are necessary for the board of regents to fulfill its covenants,](#)

representations, agreements, and obligations under any financing agreement, then existing by and between the board of regents and the Tennessee state school bond authority, or any successor organization, on July 1, 2016, as the same may be amended pursuant to the terms thereof, or any successor or similar agreement subsequently entered into by and between the board of regents and the Tennessee state school bond authority.

One purpose of the FOCUS Act was to provide greater flexibility to state university boards in managing the financial affairs of individual university institutions. However, in recognition of existing contractual obligations entered into between the Board of Regents and bondholders through the Tennessee State School Bond Authority, a continuation of the review and approval of university budgets by the Board of Regents is required. Consistent with the intent of the FOCUS Act, the Board of Regents' consideration of university budgets is limited to those matters that are necessary to fulfill existing covenants, representations, agreements, and obligations under financing agreements entered into with the Tennessee State School Bond Authority.

2. Definitions

- a. "Agreement" means the Second Program Financing Agreement entered into between the Authority and the Board on behalf of the Institutions.
- b. "Annual Financing Charges" means amounts payable to the Authority for (i) the payment of principal of and premium, if any, and interest on debt for all projects, (ii) any payments to fund or replenish reserves therefor as may be required by the Resolution, regardless of Project, and (iii) any other payments required to be made by or on behalf of the Authority under or pursuant to the Resolution with respect to any Project, the University or the Board.
- c. "Authority" means the Tennessee State School Bond Authority.
- d. "Board" means the Tennessee Board of Regents.
- e. "Board System Office" means the Board's offices located at 1 Bridgestone Park, Third Floor, Nashville, TN 37214.
- f. "Fees and Charges" means all revenues, fees, rentals and other charges and moneys received by or on behalf of the University, or received by or on behalf of the University, which may be available for the purpose of paying Annual Financing Charges. For purposes of this policy, Fees and Charges include all revenues of a University which are accounted for as unrestricted revenues. For purposes of this policy, Fees and Charges exclude restricted revenues of a University.
- g. "Institution" means: The state university and community college system, including all of its constituent institutions wherever located (whether or not conferring degrees), and the services, programs and activities provided therein, and the board of regents of the state university and community college system, in the aggregate.
- h. "Locally Approved Budget" means a University budget that has been considered and approved by a state university board.
- i. "Project" means buildings, structures, improvements and equipment of every kind, nature and description which may be required by or convenient for the purposes of the

77 University or other things which are authorized by law (at the relevant time) to
78 undertake or use, in each case if and to the extent (i) capitalizable by the University,
79 including but not limited to a capital lease, and (ii) approved by the Authority upon
80 application therefor in such form, substance and manner as may be prescribed by the
81 Authority.

- 82 j. "Resolution" means collectively or individually as the context may require, the
83 resolutions of the Authority authorizing the issuance of Debt if, as and when
84 adopted by the Authority, and however styled, and any resolutions authorizing the
85 issuance of notes or other obligations (including but not limited to commercial
86 paper), in each case as amended and supplemented pursuant to the provisions
87 thereof.
- 88 k. "University" means the four year institutions governed by a state university board.
89 University specifically includes Austin Peay State University, East Tennessee State
90 University, Middle Tennessee State University, Tennessee State University, Tennessee
91 Tech University, and the University of Memphis.

92
93 3. Required Information and Metrics

- 94 a. **Fees and Charges Coverage Metric.** Pursuant to the Agreement, the Institution is
95 required to establish and collect Fees and Charges at a level sufficient to produce in
96 each Fiscal Year no less than two times the amount required for the payment of the
97 aggregate (without duplication) of: (i) all Annual Financing Charges in such Fiscal Year
98 payable with respect to all Projects for the Institution, plus (ii) the aggregate of all prior
99 charges, pledges, liens and claims on or payable from said Fees and Charges in such
100 Fiscal Year with respect to the Institution (the "Coverage Metric"). Pursuant to
101 Tennessee Code Annotated, Section 49-8-203 (a) (1) (C), the Board is empowered to
102 ensure that each University fulfills the covenants, representations, agreements, and
103 obligations under the Agreement.
- 104 i. Retrospective Requirement. A University shall be required to meet the
105 Coverage Metric for the most recent two fiscal years for which financial
106 statements are available (the "Retrospective Requirement"). The Board shall
107 develop a reporting format to be used to evidence compliance with this metric,
108 using information contained in the Institution's financial statements.
- 109 ii. Prospective Requirement. A University shall be required to meet the Coverage
110 Metric for the budget year subject to approval (the "Prospective Requirement").
111 For purposes of the Prospective Requirement the University shall, in addition to
112 all Projects currently subject to the Agreement, include estimated Fees and
113 Charges arising from currently disclosed Projects proposed to be financed by the
114 Authority and estimated Annual Financing Charges for such currently disclosed
115 Projects proposed to be financed by the Authority. The Board shall develop a
116 reporting format to be used to evidence compliance with this metric.

117 b. Appropriations. If any Fees and Charges shall not be paid when due and payable by a
118 University with respect to a Project, or if the Board shall notify the Authority of any
119 inability to make such payment from Fees and Charges, then the Board shall forthwith
120 deduct from the amounts appropriated by the General Assembly of the State of
121 Tennessee for the operation and maintenance of the University and pay to the Authority
122 such amount or amounts as may be required to make the Board current with respect to
123 the unpaid Annual Financing Charges and Administrative Fees.

124 b.c. Required Representations. To ensure compliance with the Agreement, during each
125 budget cycle each University shall review all outstanding projects financed in whole or
126 part by the Authority and submit a certification approved by its state university board
127 asserting the following:

- 128 i. The University has full power and authority to undertake or use each Project
129 and to comply with all requirements of the Agreement entered into between
130 the Board and the Authority;
- 131 ii. All necessary approvals or authorizations by the State (or any agency,
132 subdivision or sub-entity) with respect to each Project have been or will be
133 obtained;
- 134 iii. Construction, acquisition, renovation or improvement by the University
135 (directly or indirectly) with respect to each Project shall be conducted pursuant
136 to State law;
- 137 iv. The University will proceed with due diligence towards completion of each
138 Project, and will complete each Project with other funds available to the
139 University if Authority funds are not sufficient to complete the Project;
- 140 v. The University will complete each Project free and clear of all liens and
141 encumbrances;
- 142 vi. The University will neither (i) permit any encumbrance which affects the
143 Board's ability to honor its commitments under the Agreement nor (ii) assign
144 the Agreement or the Board's rights, title or interest in or to any Project;
- 145 vii. The University will operate, maintain and keep, or cause the operation,
146 maintenance and functioning of, the Project in good repair and condition,
147 including the provision of and payment for necessary utilities and insurance
148 coverage in accordance with State policy;
- 149 viii. The University will comply with all laws, rules and regulations governing the
150 University and each Project;
- 151 ix. The University will permit the Authority or its representatives to enter Projects
152 during regular business hours for purpose of inspection; and
- 153 x. The University will take no action, nor will it fail to take any action, which would
154 cause the Authority to violate any tax covenant with respect to any Project; all
155 representations made by the University to the Board, whether or not contained
156 in the Agreement, as to the use of Projects shall at all times be true, complete
157 and correct; and the University will inform the Board in advance of any actual

158 or potential change in use or ownership of any Project at the time such change
159 is first known to or considered by the Institution.

160 **e.d. Reporting the Results of University Budget Reviews.** During each budget cycle, staff
161 shall provide the Board information that reports the Coverage Metric and compliance
162 with Required Representations set forth above. After review of this information the
163 Board shall take action it deems appropriate including, but not limited to, approval of
164 the budget as submitted, rejection of the budget as submitted, or referral of the budget
165 to the state university board for further consideration.

166 4. Procedure

- 167 a. Consideration by the Board of Locally Approved Budgets will occur during each of the
168 three (3) existing budget cycles as required the Tennessee Higher Education Commission
169 (“THEC”) and Board Policy.
- 170 b. University budget submissions will be in the form required by THEC and will include any
171 supplemental schedules required by the Board as deemed necessary to fulfill the
172 Board’s statutory budget approval responsibilities.
- 173 c. As part of issuance of budget instructions to community colleges and colleges of applied
174 technology, the Board System Office will notify the Universities of the date the Board
175 will consider University budgets and the date by which draft University budgets must be
176 submitted to the Board System Office for review.
- 177 d. To provide adequate time for review, it is anticipated that University budgets will be
178 submitted to the Board System Office in draft form prior to consideration by the state
179 university boards.
 - 180 i. In addition to review of the budget submission for compliance with the
181 Coverage Metrics and Required Representations, the Board System Office staff
182 will perform a preliminary review of University budgets for mathematical
183 accuracy and consistency of the budget with supplemental information and
184 analysis forms.
 - 185 ii. Board System Office staff will notify University staff of any questions,
186 deficiencies, or need for clarification.
- 187 e. University staff will submit the Locally Approved Budget, including required
188 representations, to the Board System Office as soon as practical after action by the state
189 university board. University staff shall identify any amendments made to the draft
190 budget originally submitted, including revisions to required supplemental schedules, if
191 any.
 - 192 i. Board System Office staff will review Locally Approved Budgets submitted for
193 compliance with the Coverage Metrics and Required Representations and to
194 ensure mathematical accuracy and consistency of the budget with supplemental
195 information and analysis forms.
 - 196 ii. Board System Office staff will notify University staff of any questions,
197 deficiencies, or need for clarification of Locally Approved Budgets.

|

198 iii. Board System Office staff will provide the University with the Board transmittal
199 summarizing the staff’s analysis of the Locally Approved Budget as well as the
200 date the Locally Approved Budget will be considered by the Board.

201 **Sources**

202 To Be Completed by Legal

203 **Contact**

204 To Be Completed by Legal

DRAFT

PRESIDENTS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)

AGENDA ITEM: Community College Common Admission Application

ACTION: Information Item

PRESENTER: Vice Chancellor Tristan Denley

BACKGROUND INFORMATION:

Vice Chancellor Tristan Denley will provide an update to the group on the community college common admission application.

PRESIDENTS QUARTERLY MEETING

DIRECTORS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017)

AGENDA ITEM: Principles for Articulation in Vocational/Technical Education:
Policy 2:01:00:03 and Components of Articulation Agreements:
Guideline A-031

ACTION: Requires Vote

PRESENTER: Vice Chancellor Tristan Denley

BACKGROUND INFORMATION:

Principles for Articulation in Vocational/Technical Education: Policy 2:01:00:03

Since the approval of the revision of Policy 2:01:00:03, *Principles for Articulation in Vocational/Technical Education*, at the September 2015 Board of Regents meeting in Jackson, Tennessee, the policy was again reviewed to reflect a greater emphasis on the recognition of skills demonstrated by working adult; and a more transparent pathway for TCAT students into relevant and related programs of study in the community colleges.

- Aligned community college applied science curriculum competencies will be delineated for those **courses eligible for transfer of credit** from the TCAT or other technical education/training entities.
- Representative community college faculty in the subject will develop the statewide **competency-based course supplemental document**.
- The statewide competency-based course document will represent a minimum of **70 – 80 percent alignment** between the colleges.
- Community college and TCAT faculty of aligned programs will convene **to develop and recognize standardized processes and procedures** among the colleges that will allow for the TCAT graduate in the field **to continue a competency-based pathway**.

Components of Articulation Agreements: A-031

With the Policy 2:01:00:03 again under consideration by the Board, Guideline A-031: *Components of Articulation Agreements* was reviewed for the purpose of greater clarity. The principal proposals for consideration are:

Statewide agreements for the awarding of semester credit hours will be based upon aligned **common competencies** among and between institutions of higher learning. The award of credit will be based upon:

- Validation of equivalent competencies; and
- Where both programs have the purpose of the graduate being able to sit for the same **industry credential, certification, or license**, the community college will recognize the industry award as the validation assessment for the awarding of credit[s] within the program.
- The community college system, upon the alignment of programs of study among the community colleges, may bring together representative in-field faculty from the institutions to develop a common method for the awarding of semester credit hours based upon recognition of equivalent learning outcomes through the establishment of **statewide assessment processes**.

Attachments

Policy Area

Academic Policies

Applicable Divisions

TCATs, Community Colleges

Purpose

The purpose of this policy is to establish processes and procedures for articulation of technical and career programs at institutions governed by the Tennessee Board of Regents, ~~to the Colleges of Applied Technology.~~

Policy

- I. Articulation from a Community College to College of Applied Technology Certificate and Diploma Programs
 - A. A student may be eligible to receive clock hours toward a diploma or certificate program based upon the evaluation of the college transcript and course syllabi.
 - B. The institutions involved must agree that the learning outcomes specified in courses offered by the community college satisfy learning outcomes in similar courses and/or programs offered by the colleges of applied technology. Syllabi of the courses from the institutions involved must be maintained and documented.
 - C. Grades that articulate from the community college must be a C or above.
- II. Articulation to College of Applied Technology Certificate and Diploma Programs from Secondary ~~Educaiton~~ Education
 - A. Colleges of applied technology and secondary schools may enter into agreements for the articulation of competencies in certificate and diploma programs.
 1. The college of applied technology must agree that the learning outcomes specified in courses offered by the secondary school satisfy learning outcomes as expressed in

program competencies offered by the colleges of applied technology. Competency lists from the institutions involved must be maintained and documented.

2. Clock (contact) hours will be awarded to the student upon enrollment in the college of applied technology based upon the student's demonstrated attainment of competencies through college of applied technology recognized checklists or by assessment.
- B. Student requirements include the following provisions:
1. The student must meet all regular admissions requirement of the college of applied technology as published in the institutional catalog.
 2. The student who is admitted to any college of applied technology program must meet all applicable academic requirements of the proposed program of study.
- III. **Awarding of Semester Credit Hours (articulation)** from a College of Applied Technology Certificate and Diploma Program, or Other Technical Education/Training entity, to a Community College or University
- A. In order to facilitate the efficient comparison of learning outcomes between the TCATs and community colleges, aligned community college applied science curriculum competencies will be delineated for those courses eligible for transfer of credit from the TCAT or other technical education/training entities. Representative community college faculty in the subject will develop the statewide competency-based course supplemental document. The statewide competency-based course document will represent a minimum of 70 – 80 percent alignment between the colleges, reflecting the learning outcomes in the common course library, which allows for regional educational differences.
- B. Within each comparable field of study between the TCATs and community colleges, representative community college faculty of aligned programs will convene to develop and recognize standardized processes and procedures among the community colleges that will allow for the TCAT graduate in the field to continue a competency-based pathway toward the A.A.S. degree or technical certificate in the specified program.

- C. A student may be eligible to receive semester credit hours toward a technical certificate or associate degree based upon the evaluation of the TCAT transcript, and the TCAT program competencies and syllabi.
- D. The community colleges, with comparable fields of study with the TCATs, must agree that the equivalent competencies specified in related TCAT programs satisfy the learning outcomes in similar courses and/or programs offered by the community colleges. Documentation of equivalent learning outcomes, the process for validation of the transfer credit, and any remediation process must be maintained by the institutions awarding the credit.
- E. Grades that articulate from the TCAT must be a C or above, dependent upon the requirements of the field of study, and as established statewide by the community colleges' faculty.
- F. Students may be eligible to be awarded semester credit hours ~~from~~ by a community college or university based upon Policy 2:01:00:04, Awarding of Credits Earned Through Extra-Institutional Learning to Community Colleges and Universities.
- G. Additional guidance can be found in TBR Guidelines A-30, Components of Articulation Agreements including the attached Exhibit of the Tennessee Higher Education Commission's document on Prior Learning Standards; and A-31, Articulation Among Community Colleges and Universities.

Sources

Board Meeting: March 29, 2006; TBR Board Meeting March 29, 2012; Revised at TBR Board Meeting September 16, 2015.

Policy Area

Academic Policies

Applicable Divisions

TCATs, Community Colleges

Purpose

The purpose of this policy is to establish processes and procedures for articulation of technical and career programs at institutions governed by the Tennessee Board of Regents.

Policy

- I. Articulation from a Community College to College of Applied Technology Certificate and Diploma Programs
 - A. A student may be eligible to receive clock hours toward a diploma or certificate program based upon the evaluation of the college transcript and course syllabi.
 - B. The institutions involved must agree that the learning outcomes specified in courses offered by the community college satisfy learning outcomes in similar courses and/or programs offered by the colleges of applied technology. Syllabi of the courses from the institutions involved must be maintained and documented.
 - C. Grades that articulate from the community college must be a C or above.
- II. Articulation to College of Applied Technology Certificate and Diploma Programs from Secondary Education
 - A. Colleges of applied technology and secondary schools may enter into agreements for the articulation of competencies in certificate and diploma programs.
 1. The college of applied technology must agree that the learning outcomes specified in courses offered by the secondary school satisfy learning outcomes as expressed in program competencies offered by the colleges of applied technology. Competency lists from the institutions involved must be maintained and documented.

2. Clock (contact) hours will be awarded to the student upon enrollment in the college of applied technology based upon the student's demonstrated attainment of competencies through college of applied technology recognized checklists or by assessment.
- B. Student requirements include the following provisions:
1. The student must meet all regular admissions requirement of the college of applied technology as published in the institutional catalog.
 2. The student who is admitted to any college of applied technology program must meet all applicable academic requirements of the proposed program of study.
- III. Awarding of Semester Credit Hours (articulation) from a College of Applied Technology Certificate and Diploma Program, or Other Technical Education/Training entity, to a Community College or University
- A. In order to facilitate the efficient comparison of learning outcomes between the TCATs and community colleges, aligned community college applied science curriculum competencies will be delineated for those courses eligible for transfer of credit from the TCAT or other technical education/training entities. Representative community college faculty in the subject will develop the statewide competency-based course supplemental document. The statewide competency-based course document will represent a minimum of 70 – 80 percent alignment between the colleges, reflecting the learning outcomes in the common course library, which allows for regional educational differences.
- B. Within each comparable field of study between the TCATs and community colleges, representative community college faculty of aligned programs will convene to develop and recognize standardized processes and procedures among the community colleges that will allow for the TCAT graduate in the field to continue a competency-based pathway toward the A.A.S. degree or technical certificate in the specified program.
- C. A student may be eligible to receive semester credit hours toward a technical certificate or associate degree based upon the evaluation of the TCAT transcript, and the TCAT program competencies and syllabi.

- D. The community colleges, with comparable fields of study with the TCATs, must agree that the equivalent competencies specified in related TCAT programs satisfy the learning outcomes in similar courses and/or programs offered by the community colleges. Documentation of equivalent learning outcomes, the process for validation of the transfer credit, and any remediation process must be maintained by the institutions awarding the credit.
- E. Grades that articulate from the TCAT must be a C or above, dependent upon the requirements of the field of study, and as established statewide by the community colleges' faculty.
- F. Students may be eligible to be awarded semester credit hours by a community college or university based upon Policy 2:01:00:04, Awarding of Credits Earned Through Extra-Institutional Learning to Community Colleges and Universities.
- G. Additional guidance can be found in TBR Guidelines A-30, Components of Articulation Agreements including the attached Exhibit of the Tennessee Higher Education Commission's document on Prior Learning Standards; and A-31, Articulation Among Community Colleges and Universities.

Sources

Board Meeting: March 29, 2006; TBR Board Meeting March 29, 2012; Revised at TBR Board Meeting September 16, 2015.; proposed

Components of Articulation Agreements: A-031

Guideline Area

Academic Guidelines

Applicable Divisions

TCATs, Community Colleges, Universities

Purpose

The purpose of this guideline is to establish the criteria and process for articulation agreements, *i.e.* the awarding of transfer semester credit hours, involving career-technical education by institutions governed by the Tennessee Board of Regents.

Guideline

I. Compliance with Accrediting Agencies

- A. ~~All articulation agreements~~ The awarding of transfer semester credit hours ~~with~~ by community colleges and universities ~~should~~ will be in compliance with the Commission on Colleges of the Southern Association of Colleges and Schools' Principles of Accreditation on Programs (reference 3.4), the Commission's Position Statement on the "Transfer of Academic Credit," and its policy on "The Transfer or Transcribing of Academic Credit."
- B. Specific articulation agreements between secondary education and the Tennessee Colleges of Applied Technology must comply with the Council on Occupational Education's Handbook of Accreditation and its Policies and Rules.
- C. Specific articulation agreements between the Tennessee Colleges of Applied Technology, the community colleges and ~~por~~ the universities will comply with those policies and guidelines set forth by the Commission on Colleges of the Southern Association of Colleges and Schools' Principles of Accreditation and other relevant documents.
- D. Articulation agreements ~~and the subsequent awarding of transfer credit~~ must be in compliance with all applicable program accrediting agencies.

II. Articulation Agreements

- A. Articulation agreements must demonstrate compliance with the TBR Policy 2:01:00:04. Articulation agreements should ensure that students are not required by university, college or TCAT procedure or regulation to pursue educational/training experiences that duplicate competencies-skills the individual already possesses for the individual to acquire a credential.
- B. Statewide agreements for the awarding of semester credit hours will be based upon aligned common competencies among and between institutions of higher learning. The award of credit will be based upon:
1. Equivalent competencies; and
 2. Where both programs have the purpose of the graduate being able to sit for the same industry credential, certification, or license, the community college will recognize the industry award as the validation assessment for the awarding of credit[s] within the program. Examples of industry certification include but not limited to: CISCO certifications [individual courses], state board licenses [individual and/or multiple courses depending in the field] and Siemens certifications [multiple courses].
- C. Each articulation agreement should include:
1. Competencies that indicate that the learning outcomes specified in courses offered by the lower-level institution satisfy learning outcomes in similar courses offered by the upper-level institution. Syllabi and competency lists of the courses from the institutions involved must be maintained in the appropriate offices of both institutions.
 2. Details of the ~~working articulation~~ procedure for the awarding of credit;
 3. Descriptions of required proficiency levels and criteria for measurement;
 4. The evaluation plan and process; and
 5. A renewal date for the agreement (Note: Because technology changes so rapidly it is suggested that the period of review be no more than every three years).

III. Awarding of Credit (Articulation) and Challenge Assessments

- A. Award by assessment may be for up to seventy-five percent (75%) of the semester credit hours required in accordance with SACSCOC/COE guidelines [SC 3.5.2], unless the program's professional accreditation agency designates in policy a lower transfer percentage.
- B. The community college system, upon the alignment of programs of study among the community colleges, may bring together representative in-field faculty from the institutions to develop a common method for the awarding of semester credit hours based upon recognition of equivalent learning outcomes through the establishment of statewide assessment processes.
 - 1. The representative faculty will establish common procedures for the recognition of equivalent learning outcomes, which may include performance and/or cognate assessments, portfolio assessment, or other means to validate the transfer credit.
 - 2. The representative faculty within the subject may recognize third-party assessment(s), which reflect equivalency of the competencies within the aligned program of study. Examples of third-party assessments include NOCTI assessments, industry skill certifications such as JAVA, CISCO, FANUC, Siemens, etc., and state/national allied health-related licenses. The assessments should be seen as a reflection of a level of proficiency of the individual, and as a quality assurance of the program, even in the absence of reference in active local industry job listings.
 - 3. The process for awarding credit must be for specific courses within the aligned curriculum.
- ~~C. If the receiving institution develops an option which permits the awarding of credit by assessment, the following requirements should be met:~~
 - ~~1. Award by assessment may be for up to seventy five percent (75%) of the semester credit hours required for the in accordance with SACSCOC/COE guidelines [SC 3.5.2], unless the program's professional accreditation agency designates in policy a lower transfer percentage.~~
- C. Individual community colleges may develop one-to-one articulation agreements with specific education/training entities for the purpose of awarding semester credit hours for courses that have not been part of a statewide award process.
 - 1. Credit awarded must be for specific courses.
 - 2. The credit must be awarded **only** on the basis of the student successfully passing a challenge examination or competency-based assessment procedure for which the

standards for proficiency are approved and accepted by the receiving department and institution.

3. If the receiving institution's faculty develops the challenge examination or competency-based assessment, and the content is equivalent to the regular on-site course's competency-based assessment, the institution has the option of awarding a letter grade, rather than a non-quality grade of "pass/fail," and therefore count toward calculation of the grade point average. The award of a letter grade must be in accordance with the policies, regulations and guidelines of the institution's accrediting agency.

IV. General Requirements for Students

- A. Students are required to conform to all institutional requirements for admission, testing and placement.
- B. Upon enrollment in the TCAT, college or university, extra-institutional credit will be transcribed in a manner as to facilitate timely and adequate advising such that a student does not duplicate skill/competency attainment realized in the previous institution, i.e. is not required to repeat a course.

Sources

President's Meeting, February 13, 2007; Presidents Meeting February 2, 2016.

Related Policies

- Awarding of Credits Earned Through Extra-Institutional Learning to Community Colleges and Universities

Components of Articulation Agreements: A-031

Guideline Area

Academic Guidelines

Applicable Divisions

TCATs, Community Colleges, Universities

Purpose

The purpose of this guideline is to establish the criteria and process for articulation agreements, i.e. the awarding of transfer semester credit hours, involving career-technical education by institutions governed by the Tennessee Board of Regents.

Guideline

I. Compliance with Accrediting Agencies

- A. The awarding of transfer semester credit hours by community colleges and universities will be in compliance with the Commission on Colleges of the Southern Association of Colleges and Schools' Principles of Accreditation on Programs (reference 3.4), the Commission's Position Statement on the "Transfer of Academic Credit," and its policy on "The Transfer or Transcribing of Academic Credit."
- B. Specific articulation agreements between secondary education and the Tennessee Colleges of Applied Technology must comply with the Council on Occupational Education's Handbook of Accreditation and its Policies and Rules.
- C. Specific articulation agreements between the Tennessee Colleges of Applied Technology, the community colleges and/or the universities will comply with those policies and guidelines set forth by the Commission on Colleges of the Southern Association of Colleges and Schools' Principles of Accreditation and other relevant documents.
- D. Articulation agreements and the subsequent awarding of transfer credit must be in compliance with all applicable program accrediting agencies.

II. Articulation Agreements

A. Articulation agreements must demonstrate compliance with the TBR Policy

2:01:00:04. Articulation agreements should ensure that students are not required by university, college or TCAT procedure or regulation to pursue educational/training experiences that duplicate competency-skills the individual already possesses for the individual to acquire a credential.

B. Statewide agreements for the awarding of semester credit hours will be based upon aligned common competencies among and between institutions of higher learning. The award of credit will be based upon:

1. Equivalent competencies; and
2. Where both programs have the purpose of the graduate being able to sit for the same industry credential, certification, or license, the community college will recognize the industry award as the validation assessment for the awarding of credit[s] within the program. Examples of industry certification include but not limited to: CISCO certifications [individual courses], state board licenses [individual and/or multiple courses depending in the field] and Siemens certifications [multiple courses].

C. Each articulation agreement should include:

1. Competencies that indicate that the learning outcomes specified in courses offered by the lower-level institution satisfy learning outcomes in similar courses offered by the upper-level institution. Syllabi and competency lists of the courses from the institutions involved must be maintained in the appropriate offices of both institutions.
2. Details of the procedure for the awarding of credit;
3. Descriptions of required proficiency levels and criteria for measurement;
4. The evaluation plan and process; and
5. A renewal date for the agreement (Note: Because technology changes so rapidly it is suggested that the period of review be no more than every three years).

III. Awarding of Credit (Articulation) and Challenge Assessments

- A. Award by assessment may be for up to seventy-five percent (75%) of the semester credit hours required in accordance with SACSCOC/COE guidelines [SC 3.5.2], unless the program's professional accreditation agency designates in policy a lower transfer percentage.
- B. The community college system, upon the alignment of programs of study among the community colleges, may bring together representative in-field faculty from the institutions to develop a common method for the awarding of semester credit hours based upon recognition of equivalent learning outcomes through the establishment of statewide assessment processes.
 - 1. The representative faculty will establish common procedures for the recognition of equivalent learning outcomes, which may include performance and/or cognate assessments, portfolio assessment, or other means to validate the transfer credit.
 - 2. The representative faculty within the subject may recognize third-party assessment(s), which reflect equivalency of the competencies within the aligned program of study. Examples of third-party assessments include NOCTI assessments, industry skill certifications such as JAVA, CISCO, FANUC, Siemens, etc., and state/national allied health-related licenses. The assessments should be seen as a reflection of a level of proficiency of the individual, and as a quality assurance of the program, even in the absence of reference in active local industry job listings.
 - 3. The process for awarding credit must be for specific courses within the aligned curriculum.
- C. Individual community colleges may develop one-to-one articulation agreements with specific education/training entities for the purpose of awarding semester credit hours for courses that have not been part of a statewide award process.
 - 1. Credit awarded must be for specific courses.
 - 2. The credit must be awarded on the basis of the student successfully passing a challenge examination or competency-based assessment procedure for which the standards for proficiency are approved and accepted by the receiving department and institution.
 - 3. If the receiving institution's faculty develops the challenge examination or competency-based assessment, and the content is equivalent to the regular on-site course's competency-based assessment, the institution has the option of awarding a letter grade, rather than a non-quality grade of "pass/fail," and therefore count toward calculation of the grade point average. The award of a letter grade must be in accordance with the policies, regulations and guidelines of the institution's accrediting agency.

IV. General Requirements for Students

- A. Students are required to conform to all institutional requirements for admission, testing and placement.
- B. Upon enrollment in the TCAT, college or university, extra-institutional credit will be transcribed in a manner as to facilitate timely and adequate advising such that a student does not duplicate skill/competency attainment realized in the previous institution, i.e. is not required to repeat a course.

Sources

President's Meeting, February 13, 2007; Presidents Meeting February 2, 2016.; proposed

Related Policies

- Awarding of Credits Earned Through Extra-Institutional Learning to Community Colleges and Universities

PRESIDENTS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017)

AGENDA ITEM: Revision to TBR Policy 2:03:01:01

ACTION: Action Item

PRESENTER: Vice Chancellor Tristan Denley

BACKGROUND INFORMATION:

Vice Chancellor Denley will present revisions to Policy 2:03:01:01 Undergraduate Academic Retention Standards is being revised to reflect changes in standardized testing and to make clear the conditions in which F and FA grades are awarded to students who withdraw from a course.

Undergraduate Academic Retention Standards : 2:03:01:01

Policy Area

Academic Policies

Applicable Divisions

Community Colleges, Universities

Purpose

The purpose of this policy is to establish the minimum criteria for undergraduate academic retention standards at the universities and community colleges under the governance of the Tennessee Board of Regents.

Policy

- I. Establishment of Criteria
 - A. This policy establishes minimum criteria for undergraduate academic retention standards at the universities and community colleges under the governance of the Tennessee Board of Regents.
 - B. Each institution will develop specific criteria, in compliance with this policy, to be implemented and enforced as the undergraduate academic retention standards of the institution.
 - C. Initial institutional standards and all subsequent revisions will be submitted to the Chancellor for review and approval.
 - D. The approved undergraduate academic retention standards of the institution are to be clearly expressed in the catalog, uniformly applied to all students, and promptly enforced at the close of each semester.
- II. Quality Point System
 - A. The following quality point system is to be used in determining averages:
 1. For each credit hour of A: 4 quality points.
 2. For each credit hour of B: 3 quality points.
 3. For each credit hour of C: 2 quality points.
 4. For each credit hour of D: 1 quality point.

5. For each credit hour of F: 0 quality points.
- B. The quality point average is determined by dividing the total number of quality points earned by the total number of credit hours which the student attempted except for credit hours in courses from which the student withdraws in good standing (see Drop and Withdrawal Standards) or for courses in which the student receives grades such as pass/fail and which are not considered when determining the QPA.
 - C. If an institution elects to award grades which are not considered in computing the QPA, it must describe these in the catalog or bulletin and explain the application of such grades.
 - D. In addition, it must provide a statement within the catalog which limits the number of hours of such grades per semester and the maximum number of such hours a student may receive in toto.
 - E. Finally, a single student transcript will include term and cumulative QPA calculations which ensure that all TBR institutions treat remedial/developmental hours alike in calculating QPA. The transcript will include the following:
 1. A QPA comprised only of hours taken in courses numbered 100 and above ("college only" QPA) and
 2. A QPA comprised of hours taken in courses numbered 100 and above and hours taken in Remedial/Developmental courses ("combined" QPA).
 - F. The following uses are based on each calculation:
 1. The "college only" QPA will be used in calculating the required QPA for graduation.
 2. The "college only" QPA will be used in determining graduation honors.
 3. The "college only" QPA will be used in determining term honors.
 4. The "combined" QPA will be used in determining suspension and probation.
 5. The "combined" QPA will be used in determining financial aid eligibility.
 6. The "combined" QPA will be used in determining athletic eligibility.
 - G. For the purpose of increasing mastery in a course when such is necessary for successful performance in a subsequent course or for the purpose of increasing the quality point average

(and only for these purposes) institutions may permit students to repeat courses in which their final grades are C or lower.

- H. Thus, in computing the quality point average, the question of how to count repeat courses must be specifically addressed in the catalog or bulletin of each institution, and courses may not be repeated more than twice (three attempts) unless the grades in the third and subsequent attempts are used in calculating the quality point average.
- I. Students may be permitted to repeat a course in which a grade of B or higher was earned only with the approval of the chief academic officer as an exception to this policy.

III. Retention Standards

A. Universities

- 1. The minimum quality point average required to achieve the baccalaureate degree is 2.0.
- 2. In addition, a student who fails during any term to attain a cumulative QPA at or above the level indicated below for the credit hours attempted will be placed on academic probation for the subsequent term.
- 3. Required Semester System Cumulative Hours Attempted QPA
 - a. 14 and under No minimum
 - b. 15-29 hours attempted 1.4
 - c. 30-50 hours attempted 1.7
 - d. 51-67 hours attempted 1.9
 - e. above 67 2.0

B. Community Colleges

- 1. The minimum quality point average required to achieve the associate degree is 2.0.
- 2. In addition, a student who fails during any term to attain a cumulative QPA at or above the level indicated below for the credit hours attempted will be placed on academic probation for the subsequent term.
- 3. Required Semester System Cumulative Hours Attempted QPA
 - a. 0-14 No minimum
 - b. 14.1 - 26.0 1.0

- c. 26.1 - 40.0 1.4
- d. 40.1 - 48.0 1.7
- e. 48.1 - 56.0 1.9
- f. 56.1 - and above 2.0

- 4. At the end of the next term of enrollment, a student on academic probation who has failed to attain either the above cumulative standard or a 2.0 QPA for that term will be suspended for a minimum of one term. The summer term may not be counted as the term of suspension, unless institutional policies provide for multiple term suspension.
- 5. Each institution may develop specific readmission policies to enable the suspended student to appeal for readmission.
- 6. The policies shall be based on factors of extenuating circumstances and hardship.

IV. Minimum Criteria for Institutional Academic Fresh Start Policies

- A. "Academic Fresh Start" is a plan of academic forgiveness which allows undergraduate students who have experienced academic difficulty to make a clean start upon returning to college after an extended absence.
- B. The Academic Fresh Start allows eligible students to resume study without being penalized for his/her past unsatisfactory scholarship and signals the initiation of a new QPA/GPA to be used for determining academic standing.
- C. Readmitted students who were formally enrolled in the institution as well as transfer students who meet institutional requirements for admission and who have been separated from all institutions of higher education for a minimum of four (4) years are eligible for the Fresh Start.
- D. Institutional policies governing the readmission of former students and admission of transfer students must be in compliance with TBR policy 2:03:00:00 Admissions.
- E. This policy requires that the "transfer applicant's grade point average on transferable courses must be at least equal to that which the institution requires for the readmission of its own students.
- F. Applicants who do not meet the institution's standards may be admitted on scholastic probation or other appropriate condition. (2:03:00:00 Section II.B.3.)

- G. Each institution may establish an Academic Fresh Start provision which must meet the following minimum criteria:
1. Student Requirements
 - a. Separation from all collegiate institutions for at least four (4) years.
 - b. Anytime after the readmission or admission as a degree-seeking student, file a formal application to the office as defined by the institution's catalog requesting the Academic Fresh Start and describing an academic plan.
 2. Terms of the Academic Fresh Start
 - a. Once the student has satisfied the above requirements, the institution may grant the Academic Fresh Start. The student may be granted a Fresh Start only once.
 - b. The student's permanent record will remain a record of all work; however, courses taken and previously failed will be excluded from the calculation of the QPA/GPA. Courses with a D grade will also be excluded from the calculation when a grade of C or better is required in the student's current major. QPA, GPA and credit hours will reflect courses for which passing grades were earned and retained.
 1. Retained grades will be calculated in the Fresh Start QPA/GPA.
 2. Courses with D or F grades must be repeated at the institution when they are required in the student's current major. All remaining courses for the current degree objectives must be completed at the institution. No transient credit will be accepted after invoking Academic Fresh Start.
 3. The application of retained credit toward degree requirements will be determined by the requirements currently in effect at the time the academic renewal status is conferred on the student. Specific program regulations must also be met.
 4. Previously satisfied ~~Assessment and Placement Program (COMPASS and approved standardized test)~~ requirements will not be forfeited.
 - c. Upon degree admission, Fresh Start applicants who did not satisfy ~~COMPASS-approved standardized test~~ requirements at the time of previous enrollment and whose academic plan includes completion of a college-level English or mathematics course must meet

current Academic Assessment and Placement Program (COMPASS) approved standardized test requirements regarding enrollment in college English and mathematics courses.

- d. The student's transcript will note that the Fresh Start was made and the date of the Fresh Start.
- e. The student will apply for the Fresh Start with the understanding that all TBR institutions will honor a Fresh Start provision granted at another TBR institution. The student should also signify understanding that non-TBR institutions may not accept the QPA as it is calculated with the Fresh Start.
- f. This policy is independent of financial aid regulations. Financial aid requirements at the time of application will apply. Therefore, a Fresh Start applicant should check with his/her financial aid counselor for guidance.

V. Drop and Withdrawal Standards

- A. After the official registration period is over, students may make adjustments in their schedule through the process of adding and/or dropping courses.
- B. A student may drop or add a course by obtaining the approval of the appropriate administrators.
- C. The last date for students to add or drop a course without a penalty is to be clearly indicated and expressed in the catalog or bulletin of each institution.
- ~~D. At the discretion of the institution, courses that are dropped within the add-drop period may be or may not be indicated on the student's transcript.~~
- E. After the last day to add or drop a class without a penalty, and not later than two-thirds into the semester part-of-term, a student may officially drop a course(s) or withdraw from the institution and receive a "W" or other appropriate symbol/grade.

E-F. In general, such symbol/grade counts as no hours attempted.

1. Universities

- a. After two-thirds of the semester part-of-term is complete, a student may drop a course(s) or withdraw from the institution without a mandatory grade of "F" only after having established the existence of unavoidable circumstances.

- b. In such cases, it is the responsibility of the appropriate university administrators or faculty to determine the grade the student is to receive, which could be an "F".
- c. Statements describing this process will be clearly shown in the catalog or bulletin of the university.

2. Community Colleges

- a. A student who drops a course or withdraws from the community college after two-thirds of the ~~semester-part-of-term~~ is complete will receive a "W" or other appropriate symbol in the course or courses passing.
- b. However, the student will receive a failing grade (usually denoted by an "F") in the course or courses failing unless it can be clearly demonstrated that an unusual condition or hardship exists.
- c. Each institution must develop institutional guidelines outlining specific types of conditions or hardships which will be considered as acceptable.

~~F-G. Students who desire to drop a course (s) or withdraw from the institution before the end of a semester must make a formal application in the appropriate administrative office of the institution which will be so defined in the catalog or bulletin of the institution established deadline must do so according to the published procedure defined by the institution.~~

~~H. If for any reason a student does not officially drop a course(s) or withdraw from the institution, the student will receive an "F" for each course(s) involved.~~

~~I. A student who does not officially drop or withdraw from a course, but receives a failing grade, will receive an "F" if their last day of attendance was not earlier than two-thirds into the semester-part-of-term.~~

~~J. A student who does not officially drop or withdraw from a course, but receives a failing grade, will receive an "FA" if their last day of attendance was earlier than two-thirds into the semesterpart-of-term.~~

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Sources

TBR Meetings, June 24, 1977; March 20, 1981; September 30, 1983; June 24, 1988; September 20, 1991; March 15, 2002; Board Meeting June 20, 2014

Undergraduate Academic Retention Standards: 2:03:01:01

Policy Area

Academic Policies

Applicable Divisions

Community Colleges, Universities

Purpose

The purpose of this policy is to establish the minimum criteria for undergraduate academic retention standards at the universities and community colleges under the governance of the Tennessee Board of Regents.

Policy

- I. Establishment of Criteria
 - A. This policy establishes minimum criteria for undergraduate academic retention standards at the universities and community colleges under the governance of the Tennessee Board of Regents.
 - B. Each institution will develop specific criteria, in compliance with this policy, to be implemented and enforced as the undergraduate academic retention standards of the institution.
 - C. Initial institutional standards and all subsequent revisions will be submitted to the Chancellor for review and approval.
 - D. The approved undergraduate academic retention standards of the institution are to be clearly expressed in the catalog, uniformly applied to all students, and promptly enforced at the close of each semester.
- II. Quality Point System
 - A. The following quality point system is to be used in determining averages:
 1. For each credit hour of A: 4 quality points.
 2. For each credit hour of B: 3 quality points.
 3. For each credit hour of C: 2 quality points.
 4. For each credit hour of D: 1 quality point.

5. For each credit hour of F: 0 quality points.
- B. The quality point average is determined by dividing the total number of quality points earned by the total number of credit hours which the student attempted except for credit hours in courses from which the student withdraws in good standing (see Drop and Withdrawal Standards) or for courses in which the student receives grades such as pass/fail and which are not considered when determining the QPA.
 - C. If an institution elects to award grades which are not considered in computing the QPA, it must describe these in the catalog or bulletin and explain the application of such grades.
 - D. In addition, it must provide a statement within the catalog which limits the number of hours of such grades per semester and the maximum number of such hours a student may receive in toto.
 - E. Finally, a single student transcript will include term and cumulative QPA calculations which ensure that all TBR institutions treat remedial/developmental hours alike in calculating QPA. The transcript will include the following:
 1. A QPA comprised only of hours taken in courses numbered 100 and above ("college only" QPA) and
 2. A QPA comprised of hours taken in courses numbered 100 and above and hours taken in Remedial/Developmental courses ("combined" QPA).
 - F. The following uses are based on each calculation:
 1. The "college only" QPA will be used in calculating the required QPA for graduation.
 2. The "college only" QPA will be used in determining graduation honors.
 3. The "college only" QPA will be used in determining term honors.
 4. The "combined" QPA will be used in determining suspension and probation.
 5. The "combined" QPA will be used in determining financial aid eligibility.
 6. The "combined" QPA will be used in determining athletic eligibility.
 - G. For the purpose of increasing mastery in a course when such is necessary for successful performance in a subsequent course or for the purpose of increasing the quality point average

(and only for these purposes) institutions may permit students to repeat courses in which their final grades are C or lower.

- H. Thus, in computing the quality point average, the question of how to count repeat courses must be specifically addressed in the catalog or bulletin of each institution, and courses may not be repeated more than twice (three attempts) unless the grades in the third and subsequent attempts are used in calculating the quality point average.
- I. Students may be permitted to repeat a course in which a grade of B or higher was earned only with the approval of the chief academic officer as an exception to this policy.

III. Retention Standards

A. Universities

- 1. The minimum quality point average required to achieve the baccalaureate degree is 2.0.
- 2. In addition, a student who fails during any term to attain a cumulative QPA at or above the level indicated below for the credit hours attempted will be placed on academic probation for the subsequent term.
- 3. Required Semester System Cumulative Hours Attempted QPA
 - a. 14 and under No minimum
 - b. 15-29 hours attempted 1.4
 - c. 30-50 hours attempted 1.7
 - d. 51-67 hours attempted 1.9
 - e. above 67 2.0

B. Community Colleges

- 1. The minimum quality point average required to achieve the associate degree is 2.0.
- 2. In addition, a student who fails during any term to attain a cumulative QPA at or above the level indicated below for the credit hours attempted will be placed on academic probation for the subsequent term.
- 3. Required Semester System Cumulative Hours Attempted QPA
 - a. 0-14 No minimum
 - b. 14.1 - 26.0 1.0

- c. 26.1 - 40.0 1.4
 - d. 40.1 - 48.0 1.7
 - e. 48.1 - 56.0 1.9
 - f. 56.1 - and above 2.0
4. At the end of the next term of enrollment, a student on academic probation who has failed to attain either the above cumulative standard or a 2.0 QPA for that term will be suspended for a minimum of one term. The summer term may not be counted as the term of suspension, unless institutional policies provide for multiple term suspension.
 5. Each institution may develop specific readmission policies to enable the suspended student to appeal for readmission.
 6. The policies shall be based on factors of extenuating circumstances and hardship.

IV. Minimum Criteria for Institutional Academic Fresh Start Policies

- A. "Academic Fresh Start" is a plan of academic forgiveness which allows undergraduate students who have experienced academic difficulty to make a clean start upon returning to college after an extended absence.
- B. The Academic Fresh Start allows eligible students to resume study without being penalized for his/her past unsatisfactory scholarship and signals the initiation of a new QPA/GPA to be used for determining academic standing.
- C. Readmitted students who were formally enrolled in the institution as well as transfer students who meet institutional requirements for admission and who have been separated from all institutions of higher education for a minimum of four (4) years are eligible for the Fresh Start.
- D. Institutional policies governing the readmission of former students and admission of transfer students must be in compliance with TBR policy 2:03:00:00 Admissions.
- E. This policy requires that the "transfer applicant's grade point average on transferable courses must be at least equal to that which the institution requires for the readmission of its own students.
- F. Applicants who do not meet the institution's standards may be admitted on scholastic probation or other appropriate condition. (2:03:00:00 Section II.B.3.)

G. Each institution may establish an Academic Fresh Start provision which must meet the following minimum criteria:

1. Student Requirements

- a. Separation from all collegiate institutions for at least four (4) years.
- b. Anytime after the readmission or admission as a degree-seeking student, file a formal application to the office as defined by the institution's catalog requesting the Academic Fresh Start and describing an academic plan.

2. Terms of the Academic Fresh Start

- a. Once the student has satisfied the above requirements, the institution may grant the Academic Fresh Start. The student may be granted a Fresh Start only once.
- b. The student's permanent record will remain a record of all work; however, courses taken and previously failed will be excluded from the calculation of the QPA/GPA. Courses with a D grade will also be excluded from the calculation when a grade of C or better is required in the student's current major. QPA, GPA and credit hours will reflect courses for which passing grades were earned and retained.
 1. Retained grades will be calculated in the Fresh Start QPA/GPA.
 2. Courses with D or F grades must be repeated at the institution when they are required in the student's current major. All remaining courses for the current degree objectives must be completed at the institution. No transient credit will be accepted after invoking Academic Fresh Start.
 3. The application of retained credit toward degree requirements will be determined by the requirements currently in effect at the time the academic renewal status is conferred on the student. Specific program regulations must also be met.
 4. Previously satisfied and approved standardized test requirements will not be forfeited.
- c. Upon degree admission, Fresh Start applicants who did not satisfy approved standardized test requirements at the time of previous enrollment and whose academic plan includes completion of a college-level English or mathematics course must meet

current approved standardized test requirements regarding enrollment in college English and mathematics courses.

- d. The student's transcript will note that the Fresh Start was made and the date of the Fresh Start.
- e. The student will apply for the Fresh Start with the understanding that all TBR institutions will honor a Fresh Start provision granted at another TBR institution. The student should also signify understanding that non-TBR institutions may not accept the QPA as it is calculated with the Fresh Start.
- f. This policy is independent of financial aid regulations. Financial aid requirements at the time of application will apply. Therefore, a Fresh Start applicant should check with his/her financial aid counselor for guidance.

V. Drop and Withdrawal Standards

- A. After the official registration period is over, students may make adjustments in their schedule through the process of adding and/or dropping courses.
- B. A student may drop or add a course by obtaining the approval of the appropriate administrators.
- C. The last date for students to add or drop a course without a penalty is to be clearly indicated and expressed in the catalog or bulletin of each institution.
- D. After the last day to add or drop a class without a penalty, and not later than two-thirds into the part-of-term, a student may officially drop a course(s) or withdraw from the institution and receive a "W" or other appropriate symbol/grade.
- E. In general, such symbol/grade counts as no hours attempted.

1. Universities

- a. After two-thirds of the part-of-term is complete, a student may drop a course(s) or withdraw from the institution without a mandatory grade of "F" only after having established the existence of unavoidable circumstances.
- b. In such cases, it is the responsibility of the appropriate university administrators or faculty to determine the grade the student is to receive, which could be an "F".

- c. Statements describing this process will be clearly shown in the catalog or bulletin of the university.
2. Community Colleges
- a. A student who drops a course or withdraws from the community college after two-thirds of the part-of-term is complete will receive a "W" or other appropriate symbol in the course or courses passing.
 - b. However, the student will receive a failing grade (usually denoted by an "F") in the course or courses failing unless it can be clearly demonstrated that an unusual condition or hardship exists.
 - c. Each institution must develop institutional guidelines outlining specific types of conditions or hardships which will be considered as acceptable.
- F. Students who desire to drop a course (s) or withdraw from the institution before the established deadline must do so according to the published procedure defined by the institution.
- G. A student who does not officially drop or withdraw from a course, but receives a failing grade, will receive an "F" if their last day of attendance was not earlier than two-thirds into the part-of-term.
- H. A student who does not officially drop or withdraw from a course, but receives a failing grade, will receive an "FA" if their last day of attendance was earlier than two-thirds into the part-of-term.

Sources

TBR Meetings, June 24, 1977; March 20, 1981; September 30, 1983; June 24, 1988; September 20, 1991; March 15, 2002; Board Meeting June 20, 2014

PRESIDENTS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017)

AGENDA ITEM: Academic Affairs Update

ACTION: None

PRESENTER: Vice Chancellor Tristan Denley

BACKGROUND INFORMATION:

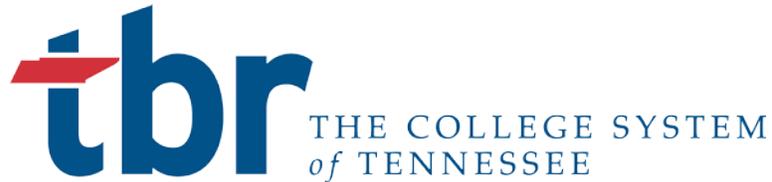
Vice Chancellor Tristan Denley will provide a presentation on recent Academic Affairs Initiatives.

Field Name
Application Type
Admission Term
Institution(s) applying to
What campus do you plan to primarily attend?
First Name
Middle Name
Last Name
Suffix
Former/Previous Last Name
Preferred First Name
SSN
Gender
Birth Date
Permanent Address (street, city, state, zip, county, and nation)
Mailing Address (street, city, state, zip, county, and nation)
Phone Number
Cell Number
Email
Email Verification
Emergency Contact (Relationship street line 1, 2, city, state/province, phone, zip code)
Country of Citizenship
Country of Birth
Native Language
Have you lived in TN since birth?
U.S. Citizenship Status
Have you ever served in the U.S. Armed Force or National Guard?
Are you a dependent of someone who has served in the Armed Forces?
All male US citizens and non-citizens who take up residency in the United States of America before their 26th birthday must register with Selective Service prior to registering for classes. This requirement does not apply to veterans and others exempt by federal law. Have you registered for the <i>If no, please explain why you are not registered with Selective Service.</i>
HS Code* (includes HS name, street, city, state, and zip)
Graduation date/standard diploma/Date GED/HiSET taken
College School Code
<i>Enter another College</i>
College Attend From Date
College Attend to Date
Program of Study
<i>Enter other foci, program, or transfer pathway</i>
Ethnic Category Hispanic or Latino Not Hispanic
Race
Does your mother have a college degree (associates degree or above)
Does your father have a college degree (associates degree or above)

Does your legal guardian have a college degree (associates degree or above)
Statement re: TN Eligibility Verification for Entitlement Act
Admissions Agreement
Payment Options
Hepatitis B Statement

If you are a student with a documented disability needing accommodations, please contact the Office of Disability Services.

<i>Optional Fields</i>
<i>Acknowledgment Fields</i>



MEMORANDUM

MEETING: Presidents and TCAT Directors Meeting

SUBJECT: Approval of TBR Policy 7:02:00:00
Behavioral Intervention Teams

DATE: February 21, 2017

PRESENTER: Mary G. Moody, General Counsel

ACTION REQUIRED: Approval of Policy

STAFF'S RECOMMENDATION: Approval

Most TBR institutions have Behavioral Intervention Teams that provide early intervention with students and employees whose behavior is disruptive or concerning. They also consult with faculty, staff and students who report behaviors of concern. The Safety and Security Task Force recommended a system-wide policy on this subject to assure that these teams operate consistently throughout the system and follow best practices.

The proposed policy has been reviewed and approved by the Student Affairs Sub-council, academic Affairs Sub-council, Faculty Sub-council, Human Resources Officers and Counselors. All have recommended approval of the proposed policy.

Behavioral Intervention Teams: 7:02:00:00

Policy Area

Safety and Security

Applicable Divisions

TCATs, Community Colleges, Universities

Purpose

To maintain a safe educational and working environment for students and employees by creating and maintaining campus behavioral intervention teams authorized and equipped to assess, intervene, and monitor behaviors of concern and potentially disruptive student and employee behavior.

Definitions

Policy

I. Creation of Behavioral Intervention Team.

It is the policy of the Tennessee Board of Regents that the president or director of each institution shall appoint a Behavioral Intervention Team (BIT). The purpose of the BIT is to provide caring, preventive early intervention with students and employees whose behavior is disruptive or concerning and additionally to consult with faculty, staff, and students reporting behaviors of concern. The BIT is a resource tool to assist in providing a safe academic environment for faculty, staff, and students. The BIT serves as the central point of contact for threat assessments involving students and employees. The BIT shall be charged with developing comprehensive fact-based assessments of students, and employees who may present a threat to the institution, its employees, students, and visitors and shall be empowered to take timely and appropriate action, consistent with TBR and institutional policy as well as applicable law. At the discretion of the president or director, the BIT may include representatives from the institution's police department or safety and security department, Student Affairs, Academic Affairs, Human Resources, medical, psychological and counseling professionals. The BIT may be advised by the institution's legal counsel. The BIT shall meet, at a minimum, once per semester and thereafter as needed. Each community college and TCAT shall create and publish a policy, consistent with this system policy, regarding the institution's procedures for implementing its BIT.

It is the intention of the Board to require, at a minimum, the creation of a BIT. In addition, institutions are encouraged to create broader threat assessment teams to assess and address potential risks and threats posed by others who are not students or employees. The BIT may also function as the threat assessment team, or an institution may set up a threat assessment team separate from the BIT. Institutions may choose the structure that works best for them, as long as they are at least performing the functions of a BIT as described above.

II. Identifying and Reporting Risks

All individuals are encouraged to be alert to behaviors of concern. Employees and students are encouraged to report concerning behaviors to the BIT. Further, employees and students shall place safety as their highest concern and must report all acts and threats of violence. All reports will be handled in a confidential manner, with information released only on a need-to-know basis within the campus community and in accordance with federal and state laws and regulations. This policy strictly prohibits retaliation against any person who, in good faith, reports concerning behavior or acts and threats of violence pursuant to this or any other applicable law or policy. Every reasonable effort will be made to protect the safety and anonymity of anyone who comes forward with concerns about a threat or act of violence.

Each campus shall create and publicize procedures for reporting incidents to the BIT. Campuses are encouraged to provide a mechanism by which a person may make a report to the BIT anonymously.

III. Confidentiality of Records.

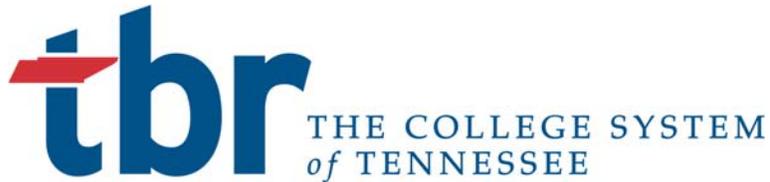
BIT members may provide each other with information about a student being monitored by the BIT as is necessary to protect the health, safety, and privacy of the student or other persons and to generate a recommended course of action in accordance with applicable legal and professional standards of confidentiality, including the release of information pursuant to the Family Educational Rights and Privacy Act of 1974 (FERPA), Tennessee Opena Records Act (§§ 10-7-503), and the Health Insurance Portability and Accountability Act of 1996 (HIPPA). Confidentiality of information and records considered by the BIT shall be maintained in accordance with all applicable federal and state laws and TBR and institutional policies.

IV. Training.

All members of an institutional BIT shall attend relevant training at least on an annual basis. Such training shall include information regarding the role of the BIT on campus, reporting procedures, confidentiality requirements, policies and laws regarding student discipline, due process, and the Americans with Disabilities Act, and the threat assessment model utilized by the institution.

V. University Policies.

Each university in the TBR system shall adopt a policy that addresses this subject that is consistent with the applicable state and federal laws.



PRESIDENTS/DIRECTORS MEETING TRANSMITTAL

MEETING: February 2017 Quarterly Presidents/Directors Meeting

SUBJECT: Revision of Guideline G-070 Records Retention and Disposal of Records

DATE: February 21, 2017

PRESENTER: Mary G. Moody

ACTION REQUIRED: Voice Vote

STAFF'S
RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The Tennessee Public Records Commission periodically reviews records retention, and after review with all agencies involved, will issue Statewide Records Disposition Authorizations (RDAs) for use by all state agencies.

This past year the Commission issued a revision to Statewide RDA SW03, and approved 7 new Statewide RDAs:

- SW24 – Hazardous Material Files
- SW30 – Internal Investigation Files
- SW31 – Communication Databases
- SW32 – Accreditation Records
- SW33 – Volunteer Forms and Unpaid Intern Records
- SW36 – Original Captured Media
- SW37 – Temporary Captured Media

TBR Guideline G-070, Section V. Statewide RDAs is revised to reflect these changes.

Records Retention and Disposal of Records: G-070

Guideline Area

General Guidelines

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

This Guideline sets forth the records retention schedule and procedures for disposal of records for the System Office and all institutions governed by the Tennessee Board of Regents.

Definitions

Tennessee Public Records Commission Rule  [1210-1-2. Definitions](#), controls

- Records - Records shall mean all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, sound recordings, or other material regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency. For the purpose of this guideline, records are only those items defined as such by the Commission rules.
- Permanent Records - Those records which have permanent administrative, fiscal, historical or legal value.
- Temporary Records - Those records or materials which can be disposed of in a short period of time as being without value in documenting the functions of an agency. Temporary records will be scheduled for disposal by requesting approval from the Public Records Commission utilizing a Records Disposition Authorization.
- Confidential Public Record - Any public record which has been designated confidential by statute and includes information or matters or records considered to be privileged and any aspect of which access by the general public has been generally denied.

- Records of Archival Value - Any public record which may promote or contribute toward the preservation and understanding of historical, cultural, or natural resources of the State of Tennessee.
- Essential Records - Any public records essential to the resumption or continuation of operations, to the recreation of the legal and financial status of government in the state or to the protection and fulfillment of obligations to citizens of the state.
- Agency - Agency shall mean any department, division, board, bureau, commission or other separate legislative branch and the judicial branch to the extent that it is constitutionally permissible.
- Records Management - Records management shall mean the application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposal of records in order to reduce costs and improve efficiency of record keeping. It shall include records retention schedule development, essential records protection, files management and information retrieval systems, microfilm information systems, correspondence and word processing management, records center, forms management, analysis and design, and reports and publications management.
- Disposition - The preservation of the original records in whole or in part, preservation by photographic or other reproduction processes, or outright destruction of the records.
- Records Disposition Authorization - Records Disposition Authorization (RDA) shall mean the official document utilized by an agency head to request authority for the disposition of records. The Public Records Commission shall determine and order the proper disposition of state records through the approval of Records Disposition Authorizations.
- Working Papers - Those records created to serve as input for final reporting documents, including electronic data processed records, and/or computer output microfilm, and those records which become obsolete immediately after agency use or publication.
- Records Creation - The recording of information on paper, printed forms, punched cards, tape, disk, or any information transmitting media. It shall include preparation of forms, reports, state publications, and correspondence.

Guideline

I. Disposal of Records

- A.** Disposal of records must be approved by the State Public Records Commission (PRC). No records, paper, electronic, or other media may be destroyed unless and until meeting the criteria of this guideline and PRC rules.
- B.** Unless specified otherwise, or otherwise required by law, records may be imaged, microfilmed, or electronically reproduced and the paper copy destroyed upon verification of an archival quality reproduction. The microfilm, image, or electronic record will then be retained for the balance of the indicated retention period.
- C.** No record shall be destroyed, however, so long as it pertains to any pending legal case, claim, or action; or to any federal or state audit until such actions have been concluded.

 - 1. State records have been approved for disposal by state-approved methods:
 - a. Shredding
 - b. Recycling
 - c. Purge (paper & electronic)
 - 2. Any record designated "confidential" shall be so treated by agencies in the maintenance, storage and disposition of such confidential records. These records shall be destroyed in such a manner that they cannot be read, interpreted or reconstructed.
- D.** Unless specifically approved by the System Office or Institution Records Officer, any records which reflect "Permanent" retention should be maintained by means other than paper after verification of an archival quality electronic reproduction. After verification, the paper copies will be destroyed.
- E.** Actions by the State Commission shall be communicated to all campus Records Officers through the System Office.

II. Records Officers

- A.** Records Officers have the authority and responsibility to retain and dispose of records in accordance with approved records disposition authorizations.

- B.** Prior to the destruction of any records, the Records Officer must determine if the action should be delayed due to audit or litigation requirements.
- C.** Specific records pertaining to current or pending litigation or investigation must be retained until all questions are resolved. These specific records can be retained in a suspense file, while all other records not under pending investigation shall be disposed of in accordance with established Statewide and TBR Records Disposition Authorizations (RDAs).
- D.** Records Officers should establish and apply retention schedules for records in their custody that may not be specifically addressed in this guideline.

III. **Certificate of Destruction**

- A.** Records Management Division has authorized the implementation and utilization of the Certificate of Destruction form (see Exhibit 1) in order to better track the volume of records destroyed and to insure that records have met the criteria necessary for destruction.
- B.** Certificate of Destruction forms must be used when destroying public or confidential records that are not destroyed during the annual Operation Roundfile campaign – an initiative through Executive Order 38 to purge out-of-date documents and/or records on an annual basis. (Exhibit 2)
 - 1. Certificates shall be held at the institution.

IV. **Records Retention Schedules**

- A.** The Tennessee Board of Regents adheres to Statewide and TBR Records Destruction Authorization (RDA) Classifications.
- B.** Notwithstanding the retention period stated herein, should such periods conflict with federal or state law or regulation, the period of longer retention shall apply.
- C.** Access the appropriate retention schedule by clicking on the RDA number in Sections V. and VI. below.

V. **Statewide RDA's:**

- A.** [SW01](#): Accounting Journal Vouchers & Deposit Slips - Documents relating to Accounts Receivables and Deposits with Supporting Documentation. EXAMPLES: AG – Agency Only Approval Journals, AL – Allocation Process, AM - Assets Management, AP - Accounts Payable, AR - Accounts Receivable, BA - Balances from STARS, BI - Billing, CL - Closing Process, CM - Cash Management, CN - Contracts, DA - Division of Accounts Approval, EX - External Application, FM - Fleet Management, GM - Grants, IN - Inventory, IU - Inter-Unit Transaction, JV - Online Journal Voucher, KK - Commitment Control Journals, LA - Accrued Liabilities, LM - Enterprise Learning Management, MU - Multi-Unit Transactions, PM - Plant Management, PR - Project Closing, PY - Payroll, RA Accrued Revenue, RV - PS exp to STARS, TR - Transactions from STARS, TV - Travel (Expenses), YA - Year End Adjustments This RDA is not applicable for the Division of Accounts, Dept. of Finance and Administration.
- B.** [SW02](#): Accounting Reports - Documents relating to monthly accounting reports. This series also includes Accounting Reports from Edison, Banner, or the STARS System.
- C.** [SW03](#): Human Resources Employee **Information Eligibility** Documents - Documents pertaining to ~~office personnel locator information, supervisory/employee information, and separated employee records.~~ **the proof of eligibility to work, included in this record series is human resource documentation kept in agency.** Examples: Cards or sheets showing name, address, telephone number, and similar data for each office employee; printouts. **Records covered under SW19 Active Employee Files shall not be destroyed under this RDA.**
- D.** [SW04](#): Employee Medical Records - Documents relating to confidential employee medical records. Examples: Documentation of physicals and health status, Alcoholics Anonymous treatment statement, drug related treatment, injured in the line of duty and workers' compensation claims.
- E.** [SW06](#): Boards & Commissions Documents - Documents or recordings related to meetings of Boards, Commissions, Councils, and Committees. Records included are minutes/accounts of proceeding actions taken, agenda, copies of reports, exhibits, and

announcements. Also documents relating to all responsibility of agency heads, such as correspondence or memos to internal personnel, officials of other state agencies (including the governor and General Assembly) federal officials, local officials and the general public. Included are: special studies, reports and working papers prepared by the executive staff, policy and procedure manuals, current & obsolete directives (except Executive Orders), and similar related materials.

- F.** [SW07](#): Travel Authorization Files - Documents relating to requests and authorizations for in-state and out-of-state travel and related correspondence, including cost estimates for travel.
- G.** [SW08](#): Commissioner's Subject Files - **For purposes of this RDA, "Commissioner" means "Chief Executive", which includes Chancellor, President, and Director. "Executive Staff" means all persons employed at the Vice Chancellor, Vice President, and Assistant Director level.** Documents relating to all areas of the Chancellor and his/her executive staff in the transaction of official business. Examples: Correspondence and memorandums with internal personnel, officials of other state agencies (including the Governor and General Assembly) federal officials, local officials and the general public. Included are: special studies, reports and working papers prepared by the executive staff, policy and procedure manuals, current & obsolete directives, and similar related materials.
- H.** [SW09](#): Attendance and Leave Records - Documents relating to attendance and leave, including correspondence such as notice of holidays and hours worked.
- I.** [SW10](#): Real Property Lease Files - Documents relating to the lease space in which various state agencies and departments are housed. Examples: Space Action Request Form (FA-0006), Request for Proposal (RFP), and related correspondence.
- J.** [SW11](#): Internal Audit Reports and Working Papers - Documents relating to internal audit reports and working papers generated by internal auditors to document investigations and/or audit reports conducted internally that are submitted to the commissioners, the

Comptroller of the Treasury, and other parties. This RDA is not applicable to the Comptroller of the Treasury and its divisional offices.

- K.** [SW12](#): Contracts & Requests for Proposals (RFP's) - Documents relating to contracts between state agencies and vendors. Records includes a copy of the final contract, Requests for Proposals (RFP) documents, Requests for Information (RFI) documents, bid evaluation documents, statements of work, deliverable documentation, change order documentation, correspondence, and other related documents.
- L.** [SW14](#): Discrimination Harassment Investigation Files - Documents relating to discrimination and workplace harassment investigations. Examples: investigation intake/referral, investigation memos, Equal Employment Opportunity Commission charges/documents, Tennessee Human Rights Commission charges/documents.
- M.** [SW15](#): Annual Report Working Papers - Working Paper documents relating to the annual reports prepared by all agencies.
- N.** [SW16](#): Temporary Records - "Temporary Records", is defined at T.C.A § 10-7-301 (13) as: "material which can be disposed of in a short period of time as being without value in documenting the function of an agency. Temporary records will be scheduled for disposal by requesting approval from the public records commission [PRC] utilizing a records disposition authorization [RDA]." These records are only considered records in that they are notes and/or communication media and may include correspondence below the Commissioner level, unless superseded by another RDA. Under no circumstance will documents of Fiscal, Legal, or Historic Value be considered Temporary Records.
- O.** [SW17](#): Working Papers - "Working Papers" is defined in T.C.A. § 10-7-301(14) as: "those records created to serve as input for final reporting documents, including electronic data processed records, and/or computer output microfilm, and those records which become obsolete immediately after agency use or publication." Working papers are used to produce a record in its final form. For the purpose of the RDA, working papers are those records that have no evidential or informational value once an action

has been completed and do not relate to significant steps taken in preparing the final record. The record resulting from the working papers are then governed by its RDA. Working papers does not include records that have evidential or informational value that is needed to support the final record. Under no circumstance may documents of Fiscal, Legal, or Historic Value be considered Working Papers. This RDA does not apply to Annual Report (SA15), Budget (SW18), or Internal Audit (SW11) working papers. This RDA covers all other working papers unless superseded by another specific RDA.

P. [SW18](#): Budget Papers - Documents relating to budget working papers and budget requests. The records are documents used to assist the agency in the preparation of budgets and to justify requests to the Department of Finance and Administration as well as copies of official budget requests submitted to the Department of Finance and Administration for recommendations to be presented for final approval. Records include correspondence, instructions, tabulations, reports, cost estimates, budget request forms, program objectives, strategies, budget revisions and other related documents.

Q. [SW19](#): Active Employee Files - These files consist of Departmental Employee HR information and contains the following, but not limited to, documents: Personnel File Audit Checklist, Request for Personnel Action Form, Employment Application, W-4 Form, Direct Deposit Authorization, Drug-Free Workplace Policy, Memo for the Operation of Motor Vehicles by State Employees, Acceptable Use Policy Network Access Rights and Obligations User Agreement Acknowledgement, Performance Document-Job Plan and Employee Insurance & Benefits File Audit Checklist. Records covered under SW03 Human Resources Employee Information Documents shall not be destroyed under this RDA.

R. [SW20](#): Fiscal Administrative Documents - Files may include documents of Fiscal Value not covered by another Statewide RDA or Agency Specific RDA. (Examples: receipt documents, invoices, purchase orders, inventory records, payment documentation, space assignment documentation, warranties, internal bookkeeping documentation, & balance sheets)

- S.** [SW21](#): Grants - This RDA may apply to any Grant Files not covered by a specific RDA. Files included in this record series may include any documents pertaining to grants, such as applications, Contracts, Invoices, Asset Documentation, Monitoring Documentation, Evaluations, Photographs, Reports, Close-out Documents and Correspondence.
- T.** [SW22](#): Internal Policies and Procedures - Official record copy of the policies, procedures or rules. One copy of the policy, procedure, or rule will be kept by the issuing entity for retention/reference. Records series will include interim policies, procedures, and rules as well.
- U.** [SW23](#): Credit Card and Purchasing Card (p-Card) Documents - Documents relating to the issuing and use of state issued credit cards and Purchasing cards (p- Cards). Records series includes: new card application, cardholder agreement form, approver signed agreement form, account maintenance forms, training tests, Edison security form, transaction logs, exception logs, fiscal officer's memos, account statements, and receipts.
- V.** **SW24. Hazardous Material Files – Documentation of hazardous materials purchased, shipped, stored, or utilized by state agencies. Documents may include: inventories, shipping papers, safety documentation, utilization logs/registers, Federal or state compliance documentation (EPA, OSHA, TDEC, etc.), disposal documentation, and correspondence. Training documentation shall be stored with and covered by RDA SW19, Personnel Files.**
- W.** [SW25](#): Administrative Documents – Internal Policies and Procedures - Documents that relate to the day-to-day administration of internal policies, procedures, and rules. Record series includes, but not limited to: employee agreement forms, security forms, databases, frequently asked questions, and related forms. (This does not include the official record copy of the policies, procedures or rules which is covered by SW22.)
- X.** [SW26](#): Incident Reports - Records of incidents/accidents occurring on State controlled property, involving state personnel or members of the general public or state owned

materials. A copy of the incident reports involving injuries to state employees are to be included in the employee's medical file and covered under SW04 Employee Medical Records.

Y. [SW27](#): Request for Proposal Documents – Not Selected - Final submitted bid documents that were not awarded the contract. These fall under three (3) categories: Unsuccessful – bids met criteria but were not the best bid; Non-responsive – bids that did not follow directions and thus disqualified; and Rejected – bids that were not submitted by the set deadline for submission.

Z. [SW28](#): Employment Application – Not Selected Candidates - Application documents, hiring information, job registers, and resumes of candidates that were not selected for the position. Records include applications for full-time, part-time, temporary, and unpaid, such as internships. These fall under three (3) categories: Unsuccessful – applicant met criteria but were not hired; Non-responsive – applicants that did not submit required material or respond back to attempted communication; and Rejected – applications that were not submitted by the set deadline for submission or failed to meet minimum requirements.

AA. [SW29](#): Affirmative Action Compliance Records - Affirmative Action Program records and any supporting documentation related to recruitment, selection, and advancement of employees that may be used to show compliance with federal Affirmative Action rules and regulations.

BB. **SW30: Internal Investigation Files – Records of investigation resulting from a complaint from the public and/or internally against an employee of the state (TBR and its institutions). Records include but are not limited to: Correspondence, photographs, interviews, criminal report, medical files, state employee's files, decisions, orders or disciplinary actions and any collateral documentation received for the investigation.**

CC. **SW31: Communication Databases – Databases used for the collection of information to facilitate in communication and correspondence with the public.**

Includes spreadsheets/lists in paper format if an agency utilizes instead of electronic. Examples may include mailing lists for magazine or newsletter subscriptions, communication tracking systems, requests for publications, and agency/news updates.

DD. SW32: Accreditation Records – Documents the accreditation process relating to an agency’s program or programs as required by federal or state statute, or other body. Includes background support materials, accrediting agency correspondence, guidelines, reports, procedures, and accreditation review reports and responses.

EE. SW33: Volunteer Forms and Unpaid Intern Records – Volunteer and intern screening documents and background check data. Records include but not limited to: Applications submitted by individuals volunteering and interning for the State, consent forms, background check information (verification of Social Security number, verification of Driver’s License, Criminal History Records, etc.), liability forms, training records, training completion, disciplinary action, performance evaluation, etc. These records include only applicants accepted.

FF. SW36: Original Captured Media – Finished products of video, audio and digital images captured and produced of official agency business created and used by the employees of the agency.

GG. SW37: Temporary Captured Media – Temporary Records is defined at T.C.A. § 10-7-301(13) as: material which can be disposed of in a short period of time as being without value in documenting the function of an agency. Temporary records will be scheduled for disposal by the requesting approval from the public records commission [PRC] utilizing a records disposition authorization [RDA]. Video, audio and still photography captured and produced by agency employees for the use of the agency and which do not meet quality standards (blurry, out of focus, etc.) are temporary and to be removed at the discretion of the creator and/or staff. Any media that is not disposed of will be covered under SW36.

HH. [11068](#): State Owned Real Property - Records may include, but are not limited to: Warranty Deeds to and/or the State, Maps, Drawings, Plot Layouts, Premises Land Leases, Appraisals, Surveys, Environmental Assessments, Photographs, Financial Industry Regulatory Authority Web Site and any other documents chronicling the history, sale, or purchase of State owned property.

VI. **TBR RDA's:**

A. Student Records

1. The Family Educational rights and Privacy Act of 1974, as amended (FERPA) specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except for defined “directory information” and requests from students to review their own records.
 - a. The records of disclosures and requests for disclosures are considered part of the students’ educational records; therefore, these records must be retained as long as the education records to which they refer are retained by the institution.
 - b. FERPA requires that no record for which there is a pending request to review be destroyed.
2. Student Miscellaneous Records: Records in this category are covered under SW16 Temporary Records. These records include, but are not limited to;
 - a. All records of applicants who do not enter an institution;
 - b. The following records of applicants who enter an institution;
 1. Grade Reports (Registrar’s copies)
 2. Registration Forms
 3. Social Security Certificates
 4. Teacher Certifications (Institution only)
 5. Transcript Requests (student)
 6. Audit Authorizations
 7. Pass/Fail Requests
 8. Changes of Course (add/drop)

9. Credit/No Credit Approvals
 10. Enrollment Verifications (logs or lists)
 11. Applications for Graduation
 12. Academic Advisor Files
 13. Class Schedules (student)
 14. Personal Data Information Forms
 15. Letters of Recommendation
 16. Student Disciplinary Files (for matters resulting in a finding of no violations(s))
3. [10152](#): Student Information Records: Retention 5 years
 - a. Records that are not protected as part of the Student Education record.
 1. These records include, but are not limited to individual office or department files, Entrance Examination Reports, Transcripts (high school, other colleges) foreign student forms, graduation authorizations, advance placement records, applications for admission or readmission, credit by exam forms, placement records, transfer credit evaluations, student ledger cards/registration system receipts, tuition and fee charges, AAPP scan sheets and essay booklets, examination papers and answer sheets, athletic department files, campus health clinic records.
 4. [11169](#): Student Education Record. Retention: Permanent.
 - a. These records contain the official education record of students attending TBR institutions.
 - b. These records include, but are not limited to:
 1. Academic Records (includes Narrative Evaluations, Competency Assessments);
 2. Change of Grade Records;
 3. Financial Aid Transcripts;
 4. Class Lists (original grade sheets or cards);
 5. Permanent Student Cards;

6. Statistical Data (enrollment, grades, racial/ethnic, degree);
 7. Student Disciplinary Files resulting in Expulsion or Suspension;
 8. Defining Education Records is contained in 20 USC 1232g:  <https://www.gpo.gov/fdsys/pkg/USCODE-2010-title20/pdf/USCODE-2010-title20-chap31-subchapIII-part4-sec1232g.pdf>
5. [11170](#): Student National Collegiate Athletic Association (NCAA/NJCAA), Patient, and Academic Second Opportunity Records. Retention: 10 years
- a. These records include, but are not limited to athletic files including NCAA and NJCAA eligibility and related files, student patient files, and Academic Second Opportunity applications.
- B.** [10149](#): Alumni Development Files/Donor Gifts and Contributions/Endowment and Living Trust Agreements – Current Retention: Permanent.
1. These records include, but are not limited to:
 - a. Alumni Development Files - Current and historical data including alumni information, solicitation, pledge and contributions data, and all related documents.
 - b. Donor Gifts and Contributions - Donor Recognition Committee, Donor Director of Private Giving, Fund Raising Report, Philanthropy Awards, and all related documents.
 - c. Endowment and Living Trust Agreements, and all related documents.
- C.** [11171](#): Trademark, Copyright, and Patent Records; Printed Materials and Publications – Permanent
1. These records include, but are not limited to:
 - a. Trademark, Copyright, and Patent Records – Forms, documents and materials relating to applications for and granting of trademarks, copyrights and patents.
 - b. Printed Materials and Publications – Items which have permanent administrative, physical, historical or legal value, such as: Class schedules

(institutional), Graduation Lists, Commencement Program (1 copy), institution catalogs, brochures, etc.

1. Retain 2 copies in institution library archive.

Exhibits

-  [Exhibit 1 - Certificate of Destruction](#) (pdf /62.82 KB)
-  [Exhibit 2 - Executive Order #38](#) (pdf /2.23 MB)

Sources

November 15, 1983 SBR Presidents Meeting; Revised July 1, 1984; Revised July 1, 1985; Revised September 1, 1986; Approved May 14, 1991, Presidents Meeting and implemented August 6, 1993 after approval by State Records Commission; May 5, 1998, Presidents Meeting; May 21, 2002 Presidents Meeting; May 16, 2006 Presidents Meeting; Renamed and revised at Presidents Meeting August 18, 2015. Records Commission RDA approval, June 2016.

Contact

PRESIDENTS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017) (*if policy/guideline applicable*)

AGENDA ITEM: Timing of Risk Assessment Tool Changes

ACTION: Information Item

PRESENTER: Dr. Karen Bowyer

BACKGROUND INFORMATION:

The System-Wide Internal Audit office has asked for all Business Officers to review a link to the State's Office of Finance and Administration's new guidance on the enterprise risk management (ERM) process. As of 2016, there have been revisions to incorporate principles of COSO *Internal Control — Integrated Framework* (2013) and the GAO's Green Book, *Standards for Internal Control in the Federal Government* into the risk assessment guidance and annual Financial Integrity Act (FIA) reporting. SWIA has asked for responses and recommendations to be returned to them by February 13th, 2017. Once the responses have been received, SWIA will determine whether or not to:

1. Change the current process to use the documents (Forms) provided by F&A.
2. Retain the current risk and control assessment tool (Crawford) but identify a way to incorporate and document the elements specified in the new guidance.
3. Retain the current risk and control assessment tool (Crawford) but also complete the Forms not addressed in the Crawford tool.

The concern is the timing of these changes. In order for management to properly prepare and review these risk assessment documents by the May 2017 deadline, the institutions need an immediate roll-out of a new or upgraded risk assessment tool and the related guidance associated with the changes.

PRESIDENTS QUARTERLY MEETING

February 21, 2017

DATE: Presidents Meeting (February 21, 2017)
Directors Meeting (February 21, 2017) (*if policy/guideline applicable*)

AGENDA ITEM: PII Concerns with TN eCampus

ACTION: Information Item

PRESENTER: Dr. Karen Bowyer

BACKGROUND INFORMATION:

It has been recently determined that Personally Identifiable Information has been improperly uploaded to the TN eCampus database by some institutions. Primarily this information is SSN's and birth dates that appear on transcripts and other credentialing documents. Most of these forms are PDF files. Any number of faculty who have access to TN eCampus may then download these forms in the course of verifying transcripts, credentialing information and resumes. There are currently 1385 users across all TN institutions with access to this database.

There are risks that:

- Inappropriate (unsanitized) PII data is potentially at rest on institution PC and server hard drives
- There will be further (unintentional) distribution of PII information

While each institution should now review and sanitize all inappropriate PII downloaded from TN eCampus, further action is needed from TN eCampus to ensure that this information is not available to be downloaded in the future. More action is also needed to ensure that all TBR institutions properly sanitize documents of PII information prior to uploading them to TN eCampus.

Dyersburg State Community College

TN eCampus PII Issue

2/2/17

On January 31, 2017, the Interim Vice President for Technology, the Director of Internal Audit and the Director of Distance Education met to discuss a recently discovered PII problem with the TN eCampus software, Maestro. Dr. Maddox and several DSCC Deans had notified other DSCC staff members of a problem they discovered whereby personal information, namely social security numbers, was being shown on many of the uploaded documents found in the TN eCampus administrative software, Maestro, which has been in use as part of the Regents On-Line Degree Program for 3 to 5 years. TN eCampus is trying to correct this issue with several updated procedures on their side; however, there remains an additional problem that several faculty members may have downloaded some of the files containing the PII in the course of verifying transcripts, credentialing information and resumes. The files with potential PII are thought to be found on both the Distance Education shared folder and on various faculty desktop units.

At DSCC, the Director of Institutional Advancement downloaded some of this information for SACS accreditation purposes, but there could also have been files with PII downloaded by Deans and other faculty involved in this process. Multiple PDF files retrieved from Maestro by Institutional Advancement have been attached to the accreditation report data in the Compliance Assist system. Upon notification of this problem, DSCC staff, including the Director of Institutional Advancement and the Interim Vice President for Technology, reviewed the uploaded information and did find PII information contained therein.

The Director of Institutional Advancement is in the process of removing the files with PII from the Compliance Assist program and replacing them with files that have the PII appropriately redacted. All information currently being sent to TN eCampus from DSCC is thought to be properly sanitized with all PII redacted. The files containing PII that were found in Maestro are thought to have been uploaded by other institutions.

Risks

- Inappropriate PII data potentially at rest on DSCC PC and server hard drives that has not been sanitized
- Further (unintentional) distribution of PII information that has not been sanitized

Recommendations

- Have the Director of Institutional Advancement review all information retrieved from TN eCampus, including PDF files, prior to any further use or distribution of the information
- Have the DSCC IT staff run various programs (such as CU-Spider and antivirus programs) on any data downloaded from TN eCampus prior to use
- Obtain a SFTP site or other secure, encrypted method for uploading and downloading information between DSCC and TN eCampus
- Only allow the retrieval of TN eCampus information during a small time frame each semester (Timing will be based on the institutional need for the data)
- Have training from IT for all faculty and staff who use TN eCampus to ensure they know to look for improper PII and what to do if this information is found