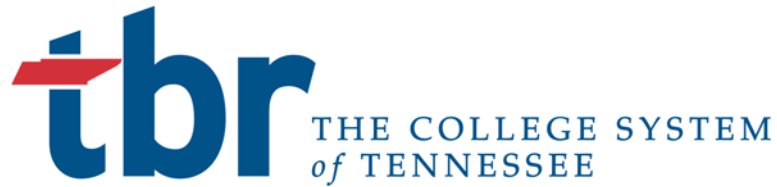


*REVISED* PRESIDENTS and DIRECTORS  
QUARTERLY MEETING AGENDA  
May 16, 2017- 9:00 a.m. CT  
TBR Rooms 341-343-344

1. TN Reconnect – Jessica Gibson
2. TN Transfer Pathways Web Site – Chancellor Tydings/ Michael Aikens
3. Shared Services Initiative – Matt Jones/ Huron  
and Preston Cameron/ Strata Information Group
4. State Facilities Management Contract Update – Terry Cowles, Director, Customer  
Focused Government
5. Recommended Revisions to Guideline B-030 – Assignment of Motor Vehicles Pursuant  
to the TBR Motor Vehicle Policy – Dale Sims
6. Compensation Strategy – Dale Sims
7. Office of Business and Finance Update (Maintenance Fees & Funding of System Office) -  
Dale Sims
8. AMAC (Alternative Media Access Center) Agreement – Randy Schulte
9. Strategy for Reconnect Students – Randy Schulte
10. Legislative Update – Ginger Hausser
11. Update on Statewide Marketing Plan – Virginia Moreland
12. 2017 SERS Grants Update – Wendy Thompson
13. Proposed Policy on Development and Approval of Policies and Guidelines – Mary Moody
14. Guideline G-070 - Adopting New Higher Education Statewide RDA's, and Deleting Those  
No Longer Needed– Mary Moody
15. Central Office Update - Chancellor Tydings
16. Other Business

Community College Presidents Breakout Session – Room 338 (boxed lunches provided)

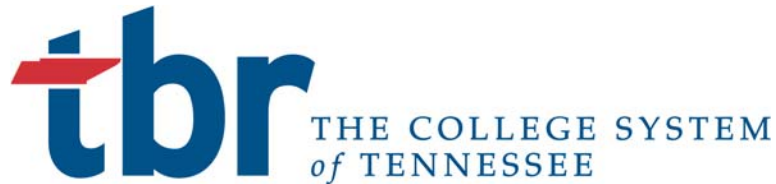
17. Phi Theta Kappa Tennessee Presidential Ambassador – Bill Seymour
18. Proposed TBR Guideline A-105: English Language Learner – Randy Schulte
19. Updates with Chancellor Tydings
20. Updates with James King



*REVISED* PRESIDENTS and DIRECTORS  
QUARTERLY MEETING AGENDA  
May 16, 2017- 9:00 a.m. CT  
TBR Rooms 341-343-344

Colleges of Applied Technology Directors Breakout Session – Remain in 341-344 (boxed lunches provided)

21. Policy 2:03:01:05 Academic Retention and Readmission at the Tennessee Colleges of Applied Technology – Chelle Travis
22. Preferences Regarding IT, Business, and Academic Councils – Steve Vieira, Randy Schulte, Dale Sims
23. Updates with James King
24. Updates with Chancellor Tydings



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** TN Reconnect

**PRESENTER:** Jessica Gibson, THEC

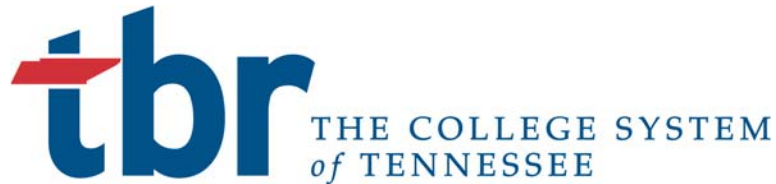
**ACTION REQUIRED:** None/Informational Item

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**Background Information:**

As the Reconnect Act nears passage in the General Assembly, community colleges, Tennessee Reconnect Communities (TRCs), TBR and THEC are beginning to think about what comes next. What is the road map for the next 6 to 12 months in preparing stakeholders for the new Reconnect scholarship? Who needs to be at the table? What are some ways to prepare community colleges and Tennessee communities to more effectively serve adult learners?

Jessica Gibson, Assistant Executive Director for Adult Learner Initiatives, will share ideas and plans within a partnership framework, and objectives for the next year.



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**Presidents and Directors Meeting – May 16, 2017**

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SUBJECT: TN Transfer Pathways Web Site

PRESENTER: Michael Aikens

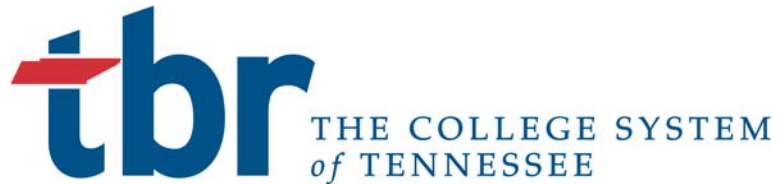
ACTION REQUIRED: None/ Informational Item

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Background:

“From Here to Career: Re-visioning the Tennessee Transfer Pathway Website”

Michael Aikens, Director of Student Innovation & Entrepreneurship at the iCube (TTU) and webmaster for the TTP website, will give a demonstration of the dramatically re-visioned TTP website. The new web presence will be comprehensive, nimble and accessible to multiple user groups including students, advisors, high school counselors, parents, teachers and adult learners. Importantly, the new website will be mobile device friendly with a companion app for both iOS and Android. This preview anticipates the targeted Go Live date, which is July 1, 2017.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Shared Services Initiative Update

**PRESENTER:** Huron and Strata Information Group (SIG)

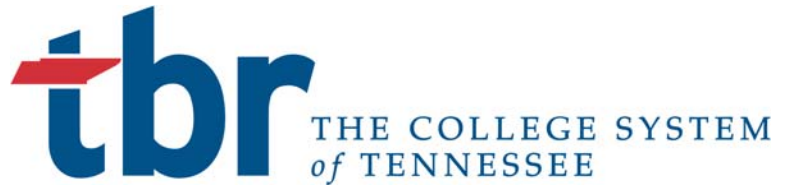
**ACTION REQUIRED:** None

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**Background:**

Matt Jones from Huron and Preston Cameron from SIG will provide a Shared Services initiative update on the following:

- Major Project Updates
- Shared Services consolidation brief history
- Business Plan review
- Project Timeline
- Talent Management Plan
- Change Management Plan
- Contingency planning for unplanned attrition
- Key next steps



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**Presidents and Directors Meeting – May 16, 2017**

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SUBJECT: State Facilities Management Contract Update

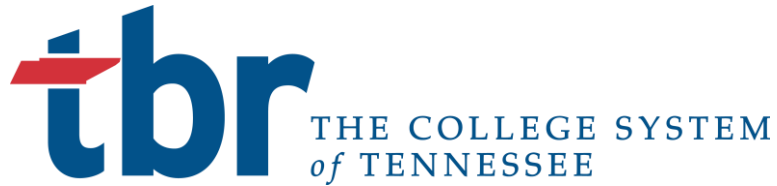
PRESENTER: Terry Cowles

ACTION REQUIRED: None/ Informational Item

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**Background:**

Terry Cowles is the Director of Customer Focused Government for the State of Tennessee. He will present an update on the state facilities management contract.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Recommended Revisions to Guideline B-030 – Assignment of Motor Vehicles Pursuant to the TBR Motor Vehicle Policy

**PRESENTER:** Dale Sims

**ACTION REQUIRED:** Approval

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**Background:**

The recommended revision to Guideline B-030 deletes wording specifying the vehicle should be of at least the same general class, type and cost as the motor vehicle assigned to the Chancellor.

*Attachments*

# Assignment of Motor Vehicles Pursuant to the TBR Motor Vehicle Policy : B-030

## Guideline Area

Business and Finance Guidelines

## Applicable Divisions

TCATs, Community Colleges, ~~Universities~~, System Office

## Purpose

Section II of TBR Policy 4:03:02:00 provides for the assignment of an institutional motor vehicle to certain persons for their official use. Positions included within this policy are the Presidents of institutions, TCAT Directors, the Chancellor, Vice Chancellors, and Legal Counsel. The purpose of this guideline is to provide structure to the assignment of vehicles under this policy.

## Guideline

1. General
  1. An Eligible Executive includes positions cited in the TBR Motor Vehicle Policy (4:03:02:00), Section II . At the time of employment, an Eligible Executive may elect to receive:
    1. Assignment of an institutional motor vehicle for their use; or
    2. A motor vehicle allowance.
  2. This election should be made at either:
    1. The time of employment, or
    2. As assigned motor vehicles are replaced.
      1. This replacement should occur as needed based on the useful life of the vehicle and accumulated mileage.
      2. In no circumstances should the replacement cycle be less than three (3) years.
  3. Once an employee elects to take the motor vehicle allowance, the employee cannot change to an assigned vehicle.
2. Assignment of an Institutional Motor Vehicle
  1. Eligible Executives selecting this option shall be provided an appropriate motor vehicle by the institution. For purposes of this plan, an appropriate motor vehicle is defined as a late model (no more than five years old) four-door passenger **mid-size or full size** sedan ~~of the same general class, type, and cost as the motor vehicle assigned to the Chancellor~~. The Chancellor shall approve the selection of assigned vehicles for eligible executives. Operating and maintenance cost of the assigned motor vehicle shall be the responsibility of the institution. In recognition that use of the assigned motor vehicle may include non-business use Eligible Executives are required to maintain appropriate types and amounts of insurance to cover any non-business use of the motor vehicle.
  2. To the degree that the motor vehicle assigned is used for non-business purposes, it is the responsibility of the institution to report on the employee's Form W-2 the value of such personal use in the employee's income as compensation subject to withholding for



federal income taxes and applicable FICA taxes. Additionally, these amounts shall be considered as compensation for employee benefit purposes.

### 3. Motor Vehicle Allowance

1. Eligible Executives selecting this option shall receive a monthly cash allowance from the institution. In recognition of this payment, the Eligible Executive shall be responsible for all expenses attendant to the:
  1. Purchase or lease (and replacement as needed) of a motor vehicle appropriately suited for the conduct of institutional business. For purposes of this plan, an appropriate motor vehicle is defined as a late model (no more than five years old) four-door passenger **mid-size or full size sedan** ~~vehicle of at least the same general class, type, and cost as the motor vehicle assigned to the Chancellor;~~ and
  2. Operation, insurance, maintenance, and repair cost of said motor vehicle.
2. The monthly automobile allowance amount shall be set in the Eligible Employee's employment agreement.
  1. The allowance consists of two components:
    1. A capital component based on the estimated monthly lease value of ~~the motor vehicle assigned to the Chancellor~~ **a full sized sedan**; and
    2. An operating component that applies a mileage rate that considers only the marginal operational cost of a vehicle and assumes 12,000 business miles are driven annually.
  2. It is the responsibility of the business and finance area of the System Office to initially calculate and periodically update the monthly automobile allowance amount.
  3. The monthly automobile allowance will be reviewed and adjusted periodically in conjunction with future compensation studies for presidents and other system executives.
3. The monthly automobile allowance, under Internal Revenue Service (IRS) Regulations, must be included in compensation on the employee's Form W-2 and is subject to federal withholding and applicable FICA taxes. Additionally, automobile allowance payments are considered compensation for employee benefit purposes.
4. Eligible Executives whose business related travel exceeds 12,000 miles annually are eligible to be reimbursed for business related mileage. If requesting such reimbursement, the Eligible Executive must provide the institution with a log that documents that the motor vehicle for which the allowance is paid has been used for 12,000 business related miles. The log submitted should comply with IRS guidance for documentation of business usage of a motor vehicle. Once this annual 12,000 mile threshold is achieved, the Eligible Executive may submit mileage reimbursement requests for any

business related miles that exceed 12,000 miles. The reimbursement rate shall equal the Board's then current approved mileage rate, less the then current IRS standard mileage rate attributed to depreciation. Mileage reimbursement paid under this item are not considered compensation for income tax purposes and are not subject to federal withholding and applicable FICA taxes.

4. Funding

1. Each institution is responsible for funding the provisions of this plan.

**Sources**

NEW Guideline approved at President's Meeting, May 19, 2015. Revisions approved at November 8, 2016 Presidents Meeting.

**Related Policies**

- [Motor Vehicles](#)

**Contact**

Mickey Sheen  
[615-366-4437](tel:615-366-4437)  
[mickey.sheen@tbr.edu](mailto:mickey.sheen@tbr.edu)

**PRESIDENTS AND  
DIRECTORS QUARTERLY MEETING**

**May 16, 2017**

AGENDA ITEM: Compensation Strategies - Committee on Personnel and Compensation

ACTION: Informational Item

PRESENTER: Dale Sims, Vice Chancellor for Business & Finance

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**BACKGROUND INFORMATION:**

Page A-35 of *The Budget* notes that funding is recommended to provide the state portion of a 3.0% salary pool for higher education employees. Additionally, Section 49, Item 4 of the appropriations bill (SB 483/HB 511), as introduced, includes the following provision related to funding for higher education salaries:

(a) From the appropriations made in Section 1, Title III-10, Items 3 and 4, it is the legislative intent to provide a pool of funds for higher education employee salary increases effective July 1, 2017, at a level determined by each governing board.

This provision grants to the Board the discretion to determine how this funding pool is distributed. The proposed System Compensation Strategy below incorporates feedback received from the institution administrators. It attempts to address the collective compensation issues identified by the institutions.

- 1. Compensation or Personnel Strategies.** A salary pool would be created of at least 3% of salaries of all regular, full and part-time benefit eligible employees, restricted and unrestricted, on the payroll as of June 30, 2017. At least 1.7% of the 3% salary pool shall be used toward a cost of living adjustment (COLA). The remaining 1.3% salary pool may be applied toward a COLA or in some combination of the provided strategies, staying within the requested salary pool, without additional tuition or fee increases. All increases from the 3% salary pool would be effective retroactively to July 1, 2017.

**A. Cost of Living Adjustment (COLA).** A COLA salary pool of at least 1.7% would be created of salaries of all regular, full and part-time employees, restricted and unrestricted, on the payroll as of June 30, 2017, up to or equal to the amount requested.

- i. COLA Level: This proposal allows for a percentage or flat dollar increase
- ii. Distribution: Each eligible employee would receive a percentage increase based on their June 30, 2017 salary. A minimum flat dollar payment could be established by the institution. The amount would be pro-rated for part-time employees.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to, the amount of recurring funds encumbered by the proposed increase, and the percentage of the salary pool used for the COLA. It is proposed that these adjustments be acted on by the Board during its September meeting.

**B. Compensation Plan -** Institutions would be authorized to provide salary adjustments consistent with their Board approved compensation plans.

**a. Compensation Plan-Not Fully Funded.**

- i. Compensation Plan Level: Institutions would be authorized to use an amount equal or up to the requested Institution's salary pool to fund their compensation plan.
- ii. Distribution: Funds would be distributed to employees in accordance with Board approved compensation plans.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to, the date of payment, the amount of recurring funds encumbered by the proposed increase, the percentage of the compensation plan funded by group, which groups if any are excluded from the increase, the type of increase (i.e. salary equity, living wage, etc.), and the percentage of the salary pool used for the compensation plan. It is proposed that these adjustments be acted on by the Board during its September meeting.

**b. Compensation Plan-Fully Funded.**

- i. Market Adjustment Level: Institutions who have fully funded their compensation plans would adjust the salary ranges to address changes in

market salaries, as prescribed in their compensation plan, up to or equal to the amount requested.

- ii. Distribution: Funds would be distributed to employees in accordance with Board approved compensation plans.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to, the date of payment, the amount of recurring funds encumbered by the proposed increase, the percentage of the compensation plan funded by group, which groups if any are excluded from the increase, the type of increase (i.e. salary equity, living wage, etc.), and the percentage of the salary pool used for the compensation plan increase. It is proposed that these adjustments be acted on by the Board during its September meeting.

**c. Compensation Plan – Equity Adjustments**

- i. Equity Level: Institutions would be authorized to provide reclassifications consistent with their compensation plan up to or equal to the amount requested.
- ii. Distribution: Funds would be distributed to employees in accordance with Board approved compensation plans.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to, the amount of recurring funds encumbered by the proposed increase, the percentage of the increase, the type of increase (i.e. salary equity, reclassification, etc.), and the percentage of the salary pool used for the compensation plan increase. It is proposed that these adjustments be acted on by the Board during its September meeting.

**C. Faculty Promotions.** A salary pool would be created to address funding for faculty promotions, consistent with the institution’s approved compensation plan.

- i. Faculty Promotion Level: This proposal envisions a percentage of the salary pool to fund faculty promotions.
- ii. Distribution: Each eligible faculty member would receive the amount due under the approved institution compensation plan for the promotion.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to, the amount of recurring funds encumbered by the proposed increase, the percentage of the salary pool used for the faculty promotion. It is proposed that these adjustments be acted on by the Board during its September meeting.

**D. One-Time Payment.** Institutions would be authorized to use non-recurring funds to provide one-time payments to all regular full-time and part-time employees on payroll as of June 30, 2017.

- i. Level: Institutions would be authorized to pay a one-time bonus not to exceed \$1000 to all regular, full and part-time employees, paid on restricted and unrestricted funds.
- ii. Distribution: Each full-time eligible employee would receive the same bonus amount. Part-time employees would be pro-rated.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to the date of payment, the amount of the one-time payment, and the requirements used to determine eligibility. It is proposed that these adjustments be acted on by the Board during its September meeting.

**E. Funding Additional Positions.** A salary pool would be created to address the creation of new positions.

- i. Level: Institutions would be authorized to use all or a portion of the requested salary pool to fund the creation of new positions.
- ii. Distribution: Positions would be funded from the requested salary pool, based on institutional needs.
- iii. Timing: Institutions will submit a proposal that includes, but is not limited to the title of position, anticipated salary and benefits for position, and anticipated hire date. It is proposed that these requests be acted on by the Board during its September meeting.

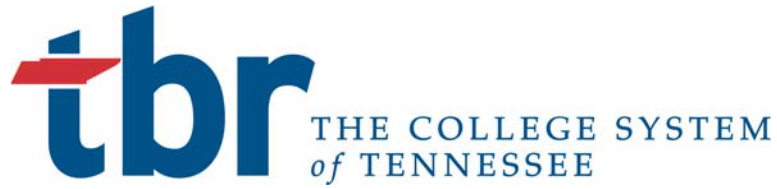
**2. Institution or Local Funded Increases.** Institutions would be authorized to provide salary adjustments consistent with those mentioned above using uncommitted local funds. These increases are not subject to the July 1, 2017 effective date. The institution will submit the effective date of payment with the proposal for review at the September Board Meeting.

- i. Level: Institutions would be authorized to use an amount equal to the Institution's ability to fund using uncommitted local funds.
- ii. Distribution: Funds would be distributed to employees in accordance with Board approved compensation plans.

- iii. Timing: Institutions will submit a proposal that includes, but is not limited to the date of payment, the amount of recurring funds encumbered by the proposed increase, the percentage of the compensation funded by group, which groups if any are excluded from the increase, and whether it is effective retroactively. It is proposed that these adjustments be acted on by the Board during its September meeting.

### **3. Process.**

- A. Each institution shall provide a summary of the planned implementation of any the items above to April Preston no later than **August 16, 2017**.
- B. Proposed plans will include: itemized breakdown of how the salary pool was spent, as well as any local funds; the percentage and dollar amount of the salary pool used for each type of increase; payment dates, including the amount and type of increase to be given; the amount of recurring funds encumbered by the proposed increase; the percentage of the compensation plan funded by group; if applicable, which groups if any are excluded from the increase; the type of increase (i.e. salary equity, living wage, etc.); additional positions funded; as well as justifications for any increases to administrators that exceed an individual employee 10% increase. This information will be provided for Board approval at the September Board meeting.
- C. Institutions will be authorized to implement the proposed plans as approved by the Board.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Office of Business and Finance Update

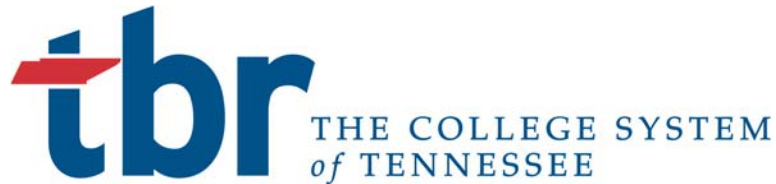
**PRESENTER:** Vice Chancellor Dale Sims

**ACTION REQUIRED:** None/ Informational Item

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Vice Chancellor Sims will provide an update on Maintenance Fees and Funding of System Office.





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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Proposed accessibility memorandum of agreement with AMAC  
(Alternative Media Access Center)

**PRESENTER:** Interim Vice Chancellor Randy Schulte

**ACTION REQUIRED:** Voice Vote

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**Background Information:**

The TBR Accessibility Committee has made great strides to address the recommendations of the 2015 Higher Education Accessibility Task Force to provide accessible information materials and technologies (IMTs), to all students who require such accessibility in compliance with PC 712 (2014). The agreement with AMAC (Alternative Media Access Center) provides each institution with very cost effective services in providing such services as braille, captioning, and other forms of accessible digital content.

*Attachment*

## AMAC Agreement Institutional Pricing Estimates

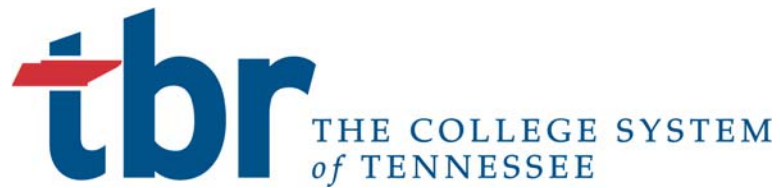
2017-2018

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Pricing based on FTE

.81 per student

	<u>Final FTE Fall 2016</u>	<u>Estimated Cost</u>
Austin Peay	8,108	6,567
East Tennessee	11,561	9,364
Middle Tennessee	18,116	14,674
Tennessee State	7,325	5,933
Tennessee Tech	9,118	7,386
University of Memphis	16,443	13,319
Chattanooga State	5,601	4,537
Cleveland State	2,271	1,840
Columbia State	3,658	2,963
Dyersburg State	1,681	1,362
Jackson State	2,902	2,351
Motlow State	4,081	3,306
Nashville State	5,479	4,438
Northeast State	4,200	3,402
Pellissippi State	6,499	5,264
Roane State	3,548	2,874
Southwest Tennessee	5,515	4,467
Volunteer State	5,852	4,740
Walters State	4,031	3,265



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**Presidents and Directors Meeting – May 16, 2017**

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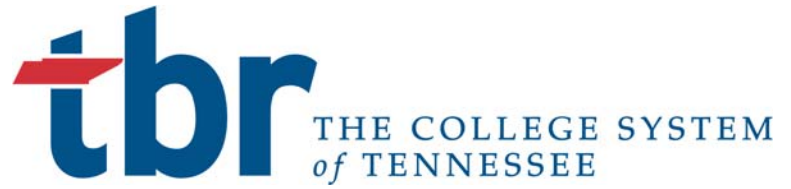
**SUBJECT:** Legislative Update

**PRESENTER:** Ginger Hausser

**ACTION REQUIRED:** None/ Informational Item

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Ms. Hausser will provide an update regarding the 2017 legislative session of the 110th General Assembly.



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**Presidents and Directors Meeting – May 16, 2017**

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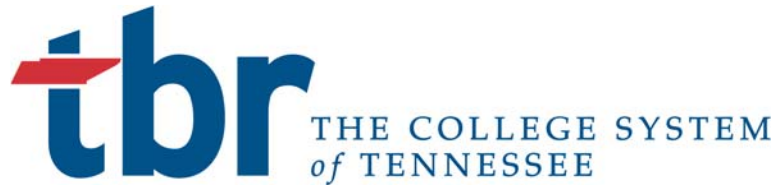
SUBJECT: Update on Statewide Marketing Plan

PRESENTER: Virginia Moreland

ACTION REQUIRED: None/ Informational Item

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Virginia Moreland, Associate Director, Communications and Marketing will present an update on the statewide marketing plan.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Student Engagement, Retention, and Success Grants

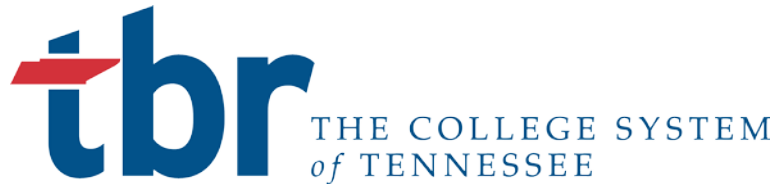
**PRESENTER:** Vice Chancellor Wendy Thompson

**ACTION REQUIRED:** None

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**Background:**

Vice Chancellor Thompson will review the results of the 2017-18 SERS grant cycle.



MEETING: Presidents Meeting

SUBJECT: Approval of TBR Policy 1:11:00:00  
Development and Approval of Policies and  
Procedures

DATE: May 16, 2017

PRESENTER: Mary G. Moody, General Counsel

ACTION REQUIRED: Approval of Policy

STAFF'S RECOMMENDATION: Approval

---

Following implementation of the FOCUS Act and reorganization of the TBR System Office, the existing policies and guidelines will be reviewed to determine what revisions are needed to reflect those changes. This policy establishes the process to be followed in making those revisions and in adopting new policies and procedures going forward.

Approval of the policy is recommended.

Attachments

## **Policy Area**

1 – Governance, Organization, and General Policies

Number – 1:11:00:00

Name: Development and Approval of Policies and Procedures

## **Purpose**

The purpose of this policy is to provide for uniformity in the drafting, review, revision, and approval of all system-wide policies and procedures.

## **Applies To**

System Office; Community Colleges; Colleges of Applied Technology, Universities

## **Definitions**

**Policy** – A written statement that mandates, specifies, or prohibits behavior to express basic values of the TBR system, enhance the TBR mission, ensure coordinated compliance with applicable laws and regulations, promote operational efficiency, and/or reduce institutional risk.

**Procedure** – The specific operational steps required to accomplish an action that necessitates specific instructions. Generally a procedure will pertain to implementation of a Policy. Procedures may also provide guidance for behavior on issues that are not dictated by Policy

**Responsible Party** – The person or group charged with oversight of policies and procedures related to their area of responsibility.

**Policy Review Committee** – Members of TBR System Office senior staff designated by the Chancellor to review proposed policies and procedures.

## **Policy**

I. Initiation and/or revision of a system policy or procedure is the responsibility of the established Sub-councils and the Office of General Counsel/Board Secretary. Responsibility for policy areas is generally as follows:

1. Governance, Organization, and General Policies and Procedures – Office of General Counsel, Office of Information Technology.
2. Academic Policies and Procedures– Office of Academic Affairs

3. Student Policies and Procedures – Office Student Services, Student Affairs Sub-council.
4. Business and Finance Policies and Procedures– Office of Business and Finance, Internal Audit.
5. Personnel Policies and Procedures– Office of Business and Finance (Human Resources Department).
6. Sexual Discrimination/Harassment/Misconduct – Office of General Counsel.
7. Safety and Security – Office of General Counsel
8. TCAT Procedures – Office of Colleges of Applied Technology.

The Chancellor or the Board of Regents may also designate a responsible party for the initiation or revision of a policy or procedure.

- A. All policies and procedures will be reviewed and revised or deleted as needed, but not less than every five (5) years.
- B. The responsible party must follow the procedures set forth in Policy & Procedure Drafting & Revision Procedures. (Exhibit 1)
  1. All proposed policies must be initiated using the Policy Template (Exhibit 2)
  2. All proposed procedures must be initiated using the Procedure Template (Exhibit 3)
  3. All revisions of existing policies or procedures must be initiated using a Word copy of that policy or procedure located here: [Z:\TBR\\_Central Office\Policy and Procedure Word Copies](Z:\TBR_Central Office\Policy and Procedure Word Copies)
- C. The General Counsel is responsible for compilation, organization and maintenance of all policies and procedures.

## II. Policy and Procedure Initiation and Review

- A. Proposed policies and procedures.



1. When a policy or procedure is proposed, the responsible party shall send an original draft to the Office of General Counsel, prior to any action by any sub-council.

2. The General Counsel or designee will assign numbering, and review the proposed policy or procedure for legal sufficiency and consistency with existing policies and procedures. The proposed policy or procedure will then be forwarded to the Policy Review Committee.

3. The Policy Review Committee will review the policy or procedure for necessity and consistency with the goals and mission of the TBR system and for proper classification as a policy or procedure. It will also designate which sub-councils will review the policy or procedure then return it to the responsible party for action by the designated sub-council(s). The Policy Review Committee has the discretion to send a policy or procedure directly to the President's Council and Board for consideration, when necessary.

4. The responsible party will present the policy or procedure to the designated sub-council(s) for review and action.

(1) A procedure approved in sub-council without further revision is then transmitted by the responsible party to the Presidents Council for approval.

(2) A procedure requiring further revision in sub-council should be reviewed by General Counsel or designee prior to being transmitted to a Presidents Council Meeting. The General Counsel may refer the revised policy or procedure to the Policy Review Committee.

(3) A procedure approved at the Presidents Council Meeting will be effective on the date designated in the procedure and will be posted to the TBR Policies and Procedures website no later than the effective date.

(4) A proposed procedure that is not approved at the Presidents Council Meeting will be returned to the responsible party for further review, revision, and possible presentation at a subsequent Presidents Council Meeting.

(5) A policy approved at the Presidents Council Meeting will be transmitted through the appropriate committee to the Board of Regents for approval.

(6) A policy approved by the Board of Regents will be effective on the date designated in the policy and will be posted to the TBR Policies and Procedures website no later than the effective date.

(7) A policy not approved by the Board will be returned to the responsible party for further review, revision, and possible presentation at subsequent President's Council and Board Meetings.

#### B. Revision or Rescission of Existing Policies and Procedures.

Revisions or rescission of existing policies and procedures will follow the same process as proposed policies and procedures.

#### C. Ministerial Changes to Policies and Procedures

Any policy or procedure that requires revision, due to a statutory or administrative change or a clerical error (changes in state or federal statutes or regulations, institution name/employee title changes, incorrect grammar or spelling), that will not change the substantive meaning of the policy or procedure may be presented to General Counsel for review and approval for a ministerial revision.

D. Exhibits to policies and procedures (forms, templates, sample contracts, etc.) do not require approval at Presidents Council or Board Meetings. New or revised exhibits should be reviewed and approved by the responsible party for the subject policy or procedure.

#### **Source**

T.C.A. §49-8-203;

#### **Exhibits**

Exhibit 1: Policy & Procedure Draft & Revision Procedures

Exhibit 2: Policy Template

Exhibit 3: Procedure Template

Exhibit 4: Sample New Policy – Procedure Transmittal

Exhibit 5: Sample Revised Policy - Procedure Transmittal

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**Presidents and Directors Meeting – May 16, 2017**

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

**PRESENTER:** Mary G. Moody

**ACTION REQUIRED:** None

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Background: The State Records Commission, at their last quarterly meeting, approved new Statewide and Higher Education Statewide RDAs (Records Destruction Authorizations) that will supplement, and in some cases, replace current Statewide and TBR RDAs currently in effect.

**Statewide RDAs deleted:**

SW06, Boards and Commission Documents

Replaced by: SW-U01, College/University Boards, Commissions, and Presidents Documents

SW08, Commissioner's Subject Files

Replaced by: SW-U01 College/University Boards, Commissions, and Presidents Documents

**Statewide RDAs added:**

SW34, Recordings from Law Enforcement Mobile Devices

SW35, Open Records Request

SW-U01, College/University Boards, Commissions, and Presidents Documents

SW-U02, Student Education Record (College/University Statewide)

SW-U03, Alumni Development Files

SW-U04, Student National Collegiate Athletic Association (NCAA), Patient, and Academic Second Opportunity Records (College/University Statewide)

SW-U05, Trademark, Copyright, Patent Records, Printed Materials and Publications (College/University Statewide)

**TBR RDAs deleted:**

11169, Student Education Record – Replaced by SW-U02

11170, Student National Collegiate Athletic Association, Patient, and Academic Second Opportunity Records – Replaced by SW-U04

10149, Alumni Development Files/Donor Gifts and

Contributions/Endowment and Living Trust Agreements – Replaced by SW-U03

11171, Trademark, Copyright, and Patent Records – Replaced by SW-U05

Attachment: Redline copy of Guideline G-070

# Records Retention and Disposal of Records: G-070

## Guideline Area

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General Guidelines

## Applicable Divisions

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TCATs, Community Colleges, Universities, System Office

## Purpose

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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

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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**

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### 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, **College/University 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 Eligibility Documents - Documents pertaining to 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.~~

- E. [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.
- F. ~~[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.
- F. [SW09](#): Attendance and Leave Records - Documents relating to attendance and leave, including correspondence such as notice of holidays and hours worked.
- G. [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.
- H. [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.
- I. [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.

- J. [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.
- K. [SW15](#): Annual Report Working Papers - Working Paper documents relating to the annual reports prepared by all agencies.
- L. [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.
- M. [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.

- N. [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.
- O. [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.
- P. [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)
- Q. [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.

- R. [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.
- S. [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.
- T. [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.
- U. [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.)
- V. [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.

- W. [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.
- X. [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.
- Y. [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.
- Z. [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.
- AA. [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.

- BB. [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.
- CC. [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.
- DD. **SW34: Recordings from Law Enforcement Mobile Devices – Incident Not Identified – Recordings, created by a law enforcement agency using mobile devices, that are not know to have captured a unique or unusual action from which litigation or criminal prosecution is expected to likely to result. Records included but not limited to all mobile recordings, regardless of where recording device is mounted, such as: Bodycam (device on officer’s chest, shoulder, head, etc.), Dashcam (or other device mounted on the inside or outside of a vehicle), Animal cam (on an animal’s body), Drone (unmanned aerial vehicle or any other remote controlled equipment). These records are only for recordings where No Incident is Identified, recordings where an Incident is Identified will be superseded by the agency’s investigative RDA or Statewide 30: Internal Investigation Files and shall not be destroyed under this Statewide.**
- EE. **SW35: Open Records Request – Record Series Consists of correspondence with the public regarding requests to view or retrieve information from official records. Records include but are not limited to emails, letters, and attachments. Note: the records requested are not covered by this RDA, but are to be governed by the appropriate original RDA for the requested records.**

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:~~ **VI. Higher Education Records**

~~VII.~~ **A. SW-U01: College/University Boards, Commissions, and President Documents – Records include but not limited to: documents or records related to meetings of Boards, Commissions, Councils, and Committees. Documents relating to all areas of the President and his/her executive staff in the transaction of the official business. Examples: Correspondence and memorandums with internal personnel, officials of other state agencies. Records included are minutes/accounts of proceeding actions taken, agenda, copies of reports, exhibits, announcements, reports, working papers, policies and procedures, etc.**

~~F.~~ **1. For purposes of this RDA, records include official business of the Chancellor. Executive Staff includes Executive Vice Chancellor, Vice Chancellors, Vice**

Presidents, and Assistant Directors, or anyone designated as an “Interim” for these positions.

- VIII. B. SW-U02: Student Education Record (College/University Statewide) – These files contain the official academic record of students attending State institutions. They include, but are not limited to Academic Records (includes Narrative Evaluations, Competency Assessments), Change of Grade Records; Financial Aid Transcripts (if applicable), Class Lists (original grade sheets or cards), Graduation Lists, transcripts, Permanent Student Cards, Statistical Data (enrollment, grades, racial/ethnic, degree), Commencement Program (1 copy), Student Disciplinary Files resulting in expulsion.
- IX. 1. Student FERPA rights and 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>
- IX. C. SW-U03: Alumni Development Files/Donor Gifts and Contributions/Endowment and Living Trust Agreements (College/University Statewide) – Current and Historical Data Including (1) Alumni Development Files: alumni information, solicitation, pledge and contributions data, and all related documents. (2) Donor Gifts and Contributions: Donor Recognition Committee, Donor Director of Private Giving, Fund Raising Report, Philanthropy Awards, and all related documents. (3) Endowment and Living Trust Agreements, and all related documents.
- X. D. SW-U04: Student National Collegiate Athletic Association (NCAA), Patient, and Academic Second Opportunity Records (College/University Statewide) – These records include, but is not limited to Athletic files including NCAA eligibility and related files, student patient files, and Academic second opportunity applications.
- F. 1. For purposes of this RDA, NCAA also includes records related to the National Junior College Athletic Association (NJCAA).
- XI. E. SW-U05: Trademark, Copyright, Patent Records, Printed Materials and Publications (College/University Statewide) – These records include, but are not limited to Trademark, Copyright and Patent records, including correspondence, forms,




**documents and materials relating to application for and granting of same. Printed Materials and Publications which have permanent administrative, physical, historical or legal value, such as; class schedules (institutional), institution catalogs, brochures, etc.**

F. Student Records



1. The Family Educational rights and Privacy Act of 1974, as amended (FERPA) (see Section VI.B.1.) 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.~~
- G. ~~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.~~
- H. ~~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

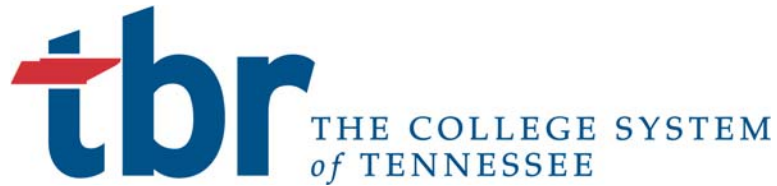
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-  [Exhibit 1 - Certificate of Destruction](#) (pdf /62.82 KB)
-  [Exhibit 2 - Executive Order #38](#) (pdf /2.23 MB)

## Sources

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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. Revision approved at Presidents Meeting February 21, 2017.



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**Presidents and Directors Meeting – May 16, 2017**

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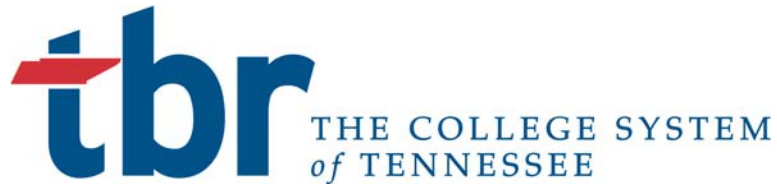
**SUBJECT:** Central Office Update

**PRESENTER:** Chancellor Flora W. Tydings

**ACTION REQUIRED:** Informational Item

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Chancellor Tydings will update the presidents and directors council on various topics as well as opening the floor for discussion on any additional business that needs to be brought before the council.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Phi Theta Kappa Tennessee Presidential Ambassador

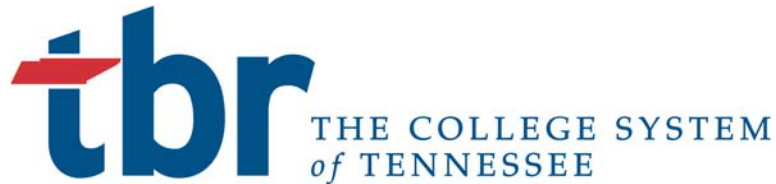
**PRESENTER:** Dr. Bill Seymour

**ACTION REQUIRED:** Chancellor's Appointment

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**Background:**

Every two years a Community College President is identified to serve as the Tennessee PTK Presidential Ambassador. Dr. Seymour has served in this capacity for the past two years. It is time to make a selection to facilitate planning for the next Tennessee All-Academic Team Luncheon in early 2018.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Proposed TBR Guideline A-105: English Language Learner

**PRESENTER:** Interim Vice Chancellor Randy Schulte

**ACTION REQUIRED:** Voice Vote

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**Background Information:**

Given the success of Tennessee’s co-requisite remediation model for reading, writing, and math, representatives from the TBR international education working group convened to identify course pathways for English Language Learner students who qualify for co-requisite remediation in writing. This Guideline provides a structure for TBR community colleges to provide English Language Learner students with the necessary support for successful completion of college-level credit-bearing coursework in writing.

*Attachments*

## English Language Learners: A-105

### Guideline Area

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Academic Guidelines

### Applicable Divisions

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Community Colleges

### Purpose

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This guideline is intended to provide institutions with a course pathway for ELL students who qualify for co-requisite remediation, as outlined in TBR Guideline A-100, to ensure those students have the support needed to be successful in credit-bearing course work. This guideline supports TBR Policy 2:03:00:00 (Admissions) and Guideline A-100 (Learning Support).

### Definitions

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- **Learning Support** - Academic support needed by a student to be successful in college level general education courses and/or to meet minimum reading, writing, and mathematic competencies as required by faculty in programs that do not require general education courses in reading, writing and/or mathematics. The purpose of learning support is to enhance academic success in college level courses and increase the likelihood of program completion that will prepare students for career success in their chosen field of study.
- **English Language Learner (ELL)** –A student who self-identifies on their admissions application that their primary language is not English or who is a foreign national, and who is in the process of actively acquiring English.
- **English as a Second Language (ESL)** –Curricular interventions that support a student whose first language is not English and who would benefit from language support programs to improve academic performance in English due to challenges with reading, comprehension, speaking, and/or writing in English. This includes



interventions for students for whom English will not literally be a **second** language as they already have competency in more than one language that is not English.

## **Guideline**

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### **I. Assessment**

A. International Non-Immigrant Applicants and in-state applicants must meet admissions criteria in accordance with TBR Policy 2:03:00:00 (Admissions).

B. Institutions identify placement scores for international (F-1 Visa) applicants through use of the TOEFL or other comparable standardized examinations in accordance with TBR Policy 2:03:00:00 (Admissions).

C. Institutions identify placement scores for in-state applicants in accordance with TBR Guideline A-100 (Learning Support), by examination of transcripts showing successful completion of ENGL 1010, or by other comparable standardized examinations.

D. Based on an analysis of student success characteristics, staff and faculty may make referrals for ELL students to enroll in ESL supported courses as provided in TBR Policy 2:03:00:00.

### **II. Placement for English as a Second Language (ESL) Supported Courses**

A. International applicants who have placement scores above the minimum level determined by the institution shall enroll in college-level English courses.

B. In-State applicants who have placement scores above the minimum level determined in the A-100 Guideline or who have successfully completed ENGL 1010, shall enroll in college-level English courses.

C. English Language Learners who have test scores below the minimum placement cut score, shall be enrolled in co-requisite ENGL 1010.

### **III. English as a Second Language Supported Courses**

A. Institutions should provide English Language Learners who test below minimum cut scores ESL enhanced co-requisite English courses.

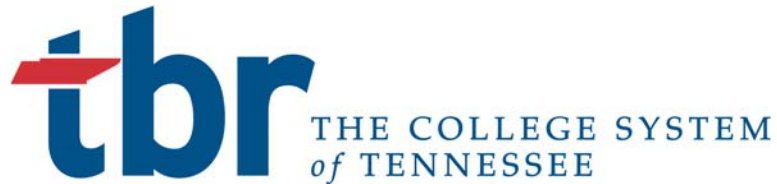
1. ESL enhanced courses may be provided in two co-requisite formats:

a. ENGL 1010/ENGL 1020 with a supplemental instruction focused on providing ESL. Supplemental instruction focuses on English for Academic Purpose (EAP), which includes training in academic reading, writing, presenting and note-taking.

b. ESL enhanced ENGL 1010/ENGL 1020. In addition to the curriculum of the English course, content on English for Academic Purpose (EAP), which includes training in academic reading, writing, presenting and note-taking, is also provided.

2. Students may have the option to sign a waiver to opt-out and enroll in college-level English courses.

B. At such time as the English Language Learner who was enrolled in ESL enhanced co-requisite English courses successfully completes ENGL 1010/ENGL 1020, they shall have met the requirement for college-level English.



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**Presidents and Directors Meeting – May 16, 2017**

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**SUBJECT:** Revisions to Policy 2:03:01:05- Academic Retention and Readmission at the Tennessee Colleges of Applied Technology

**PRESENTER:** Chelle Travis

**ACTION REQUIRED:** Requires Vote

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**Background:** Assistant Vice Chancellor Travis will present revisions to Policy 2:03:01:05 Academic Retention and Readmission at the Tennessee Colleges of Applied Technology. These revisions were developed during the November 2016 Directors Retreat and reviewed and approved at the February 2017 Directors Meeting.

*Attachments*

# Academic Retention and Readmission at the Tennessee Colleges of Applied Technology-: 2:03:01:05

## Topics

### Policy Area

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Academic Policies

### Applicable Divisions

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TCATs

### Purpose

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Students at the Tennessee Colleges of Applied Technology are expected to maintain satisfactory attendance and to progress in an appropriate manner toward their training objectives. ~~Toward these ends, the following retention procedures are specified.~~This policy provides minimum criteria for evaluating student achievement relating to identified occupational competencies and defines retention standards for the colleges.

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## Policy

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### I. Student Attendance

- A. The nature of the programs at the Tennessee Colleges of Applied Technology is such that it is necessary for every student to attend regularly. Excessive interruptions due to absences will have an adverse effect on student progress.
  - 1. A full-time student enrolled for a full term (72 days) and that has been absent for more than 5.5% (24 hours) of the scheduled hours enrolled will receive written communication alerting the student to the number of hours remaining prior to suspension. Available community and institutional resources will be shared to assist students with attendance issues. ~~be referred to Student~~

~~Services for counseling. Counseling hours.~~ ~~The number of Hhours of~~ absence triggering notification must be prorated for all part-time students and full-time students enrolled for less than a full term.

2. When a full-time student enrolls for a full term (72 days) and has absences exceeding 9.7% (42 hours) of the scheduled hours enrolled, that student will be suspended. A student suspended for attendance may appeal the suspension in writing to the Director-president within three days of receiving notification of the suspension. A student appealing suspension for attendance may remain in class until the suspension has been reviewed. ~~Suspension~~ The number of hours triggering suspension must be prorated for all part-time and full-time students enrolled for less than a full term.

3. A student is considered tardy if not in the classroom at the designated time for class to start. Multiple tardies will result in the following discipline:

Five (5) tardies — Student will be given a written documented warning by instructor

Six (6) tardies — Student will documented be placed on probation by the president or the president's designated designated authority

Seven (7) tardies — Student will be referred to Director-president and may be suspended.

4. An attendance record for each student is-shall be maintained in the- student information system. institution-office.

5. When a student misses three consecutive days without contacting the college, that student will be presumed to have withdrawn from the program college.

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## II. Exceptions for Suspension due to Student Attendance

A. In individual cases of extenuating circumstances, the ~~director~~ president may make exceptions to the requirement of suspension or presumed withdrawal due to absences. The circumstances warranting ~~S~~such exceptions should be fully documented.

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## III. Student Progress

~~A. This policy provides minimum criteria for evaluating student achievement relating to identified occupational competencies, in compliance with this policy, to define retention standards of the college institution.~~

B.A. Evaluations of student achievement toward a program's identified occupational competencies are recorded for each student at the end of 72 days of instruction that comprise a term. Those evaluations ~~include~~ shall be based on the following scale of progress:

1. A = ~~94~~ – 100
2. B = ~~87~~ – ~~93~~
3. C = ~~80~~ – ~~86~~
4. D = ~~73~~ – ~~79~~
5. F = 0 - ~~72~~

C.B. Grades for courses will be determined as described in course syllabi. Students will be graded in the following categories: The term grade report will reflect each student's progress in the following categories:

1. Skill Proficiency
2. Theory/Related Information

### 3. Worker Characteristics

C. A student must maintain a "DE" (73) or better average per course and a "C" or better average per term. ~~for the 72-day period of instruction.~~

D. Allied Health Programs require a "C" (80) or better average per course.

E. Failure to ~~do so~~ maintain the required grade average will result in suspension at the end of the term.

D-F. Additional retention standards for specific programs may be maintained established by the college pursuant to based on accreditation or licensing requirements applicable to a program.

### III.IV. Readmission from Suspension for Grades & or Attendance

- A. The ~~director~~ president may consider for readmission the applicant who has been suspended.
- B. Criteria that the ~~director~~ president will consider in assessing candidacy for readmission are as follows:
  1. Assessment of the candidate's willingness to address those deficiencies that contributed to the prior suspension, and
  2. Assessment of the likelihood that the readmitted student may succeed in pursuing his or her training objective.

### Exceptions

#### IV.

A. ~~In individual cases of extenuating circumstances the director may make exceptions to suspension due to absences. Such exceptions should be fully documented.~~

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~~B. Additional retention standards for specific programs may be maintained by the school pursuant to accreditation or licensing requirements.~~

### Sources

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TBR Meeting, September 30, 1983; Revised: TBR Meeting, June 30, 1989; Revised: TBR Meeting, September 29, 1995; TBR Meeting, September 22, 2000; Revised: TBR Meeting, September 30, 2005; Revised: TBR Meeting, September 29, 2006.



# Academic Retention and Readmission at the Tennessee Colleges of Applied Technology: 2:03:01:05

## Topics

### Policy Area

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Academic Policies

### Applicable Divisions

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TCATs

### Purpose

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3. A student is considered tardy if not in the classroom at the designated time for class to start. Multiple tardies will result in the following discipline:
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  - Six (6) tardies – Student will be placed on probation by the president or the president's designee
  
  - Seven (7) tardies – Student will be referred to president and may be suspended.
  
4. An attendance record for each student shall be maintained in the student information system. .
  
5. When a student misses three consecutive days without contacting the college, that student will be presumed to have withdrawn from the college.

## II. Exceptions for Suspension due to Student Attendance

- A. In individual cases of extenuating circumstances, the president may make exceptions to the requirement of suspension or presumed withdrawal due to absences. The circumstances warranting such exceptions should be fully documented.

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- A. Evaluations of student achievement toward a program's identified occupational competencies are recorded for each student at the end of 72 days of instruction that comprise a term. Those evaluations shall be based on the following scale of progress:
  - 1. A = 94– 100
  - 2. B = 87 – 93
  - 3. C = 80 – 86
  - 4. D = 73 – 79
  - 5. F = 0 - 72
- B. Grades for courses will be determined as described in course syllabi. Students will be graded in the following categories:
  - 1. Skill Proficiency
  - 2. Theory/Related Information
- C. A student must maintain a "D" (73) or better average per course and a "C" or better average per term. .
- D. Allied Health Programs require a "C" (80) or better average per course.
- E. Failure to maintain the required grade average will result in suspension at the end of the term.

- F. Additional retention standards for specific programs may be established by the college based on accreditation or licensing requirements applicable to a program.

#### IV. [Readmission from Suspension for Grades or Attendance](#)

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- B. Criteria that the president will consider in assessing candidacy for readmission are as follows:
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