



TENNESSEE BOARD OF REGENTS
Quarterly Board Meeting
Genesco Training Center
March 28, 2014

10:00 – 11:00 a.m. Student Panel Discussion (*Humphrey/Schulte*)

11:00 – 12:00 p.m. Lunch

12:00 – 4:00 p.m. Quarterly Board Meeting

- I. Minutes
 - A. December 5, 2013 Regular Session
 - B. January 24, 2014 Special Called Session
- II. Report of Interim Action
- III. Report of the Committees
 - A. Approval of the Minutes from the February 13, 2014, Special Called Meeting of the Finance and Business Operations Committee
 - B. Approval of the Minutes from the March 11, 2014 Meeting of the Audit Committee
 - C. Approval of the Minutes from the March 11, 2014 Meeting of the Ad Hoc Committee on Committees
- IV. Regents Award for Excellence in Philanthropy (*Duckett*)
- V. Report of the Chancellor
- VI. Reports of Presidents and Directors
- VII. Unfinished Business
- VIII. New Business
 - A. Consent Agenda
 - 1. Proposed Revisions to TBR Policy 2:01:01:00 – Approval of Academic Programs, Units, and Modifications (*Denley*)
 - 2. Proposed Revisions to TBR Policy 4:01:00:00 – Budget Control (*Sims*)
 - 3. Proposed Revisions to TBR Policy 4:01:00:10 – Community College Resource Allocation Plan (*Sims*)
 - 4. Proposed Revisions to TBR Policy 4:01:01:10 – Deposit and Investment of Funds (*Sims*)
 - 5. Repeal of System-wide and Institutional Rules (*Moody*)

B. Informational Reporting

1. Overview of Governor's Budget Recommendations (*Sims*)
2. Legislative Update (*Gregory*)

C. Action Items

1. Approval of Recommendation for the Director at TCAT – Morristown (*Morgan*)
2. Proposed TCAT Program Terminations, Modifications, and New Technical Program Implementations (*King*)
3. Approval of New University Degree Programs (*Denley*)
4. Revisions to the Following Campus Student Disciplinary Policies (*Denley/Schulte*)
 - East Tennessee State University
 - Middle Tennessee State University
 - University of Memphis
 - Cleveland State Community College
 - Columbia State Community College
 - Jackson State Community College
 - Nashville State Community College
 - Southwest Tennessee Community College
 - Volunteer State Community College
 - Tennessee Colleges of Applied Technology
5. Approval of the March 11, 2014 Minutes of the Special Called Meeting of the Finance and Business Operations Committee that includes a Recommendation on Mandatory and Incidental Fee Requests; and also the minutes from the March 6, 2014, Special Called Meeting of the Ad Hoc Committee on Capital Outlay (*Farris*)
6. Additional Recommendations on Mandatory & Incidental Fees (*Sims*)
7. Revisions to the Agreement between Volunteer State Community College and Nashville State Community College Regarding Primary Service Areas (*Nichols*)
8. Request to Name the Strawberry Plains Campus Building at Pellissippi State Community College (*Morgan*)
9. Resolution of Appreciation for Regent Steve Copeland (*Thomas*)
10. Resolution of Appreciation for Director Rick Brewer (*Varlan*)



**TENNESSEE BOARD OF REGENTS
Quarterly Board Meeting
March 28, 2014**

EXECUTIVE SUMMARY

STUDENT PANEL DISCUSSION

Selected Student Government Presidents from within our system will be invited to participate in a discussion panel with the Board regarding retention and completion on their campuses. Student Regent Ashley Humphrey and Assistant Vice Chancellor Randy Schulte will facilitate the discussion. Afterwards, Dr. Schulte will recognize and introduce all of the Student Government Presidents within our System.

QUARTERLY BOARD MEETING

I. MINUTES

The Board will consider approving minutes from the December 5, 2013, regular scheduled session and the special called meeting of the Board on January 24, 2014.

II. REPORT OF INTERIM ACTION

This report serves as a record of business transacted by the Office of the Chancellor since the previous meeting of the Board. A copy of the report is enclosed.

III. REPORT OF THE COMMITTEES

The Board will consider approving minutes of committee meetings held since the last quarterly Board meeting.

- A. Special called meeting of the Finance and Business Operations Committee held on February 13, 2014
- B. Audit Committee meeting held on March 11, 2014
- C. Ad Hoc Committee on Committees held on March 11, 2014

IV. REGENTS AWARD FOR EXCELLENCE IN PHILANTHROPY

The Board will hear a report on the recent award presentation made to Mr. Louis H. Gump on behalf of East Tennessee State University. Recipients of the Regents Award for Excellence in Philanthropy are selected due to their generosity of time and resources, influence on volunteers to become involved in fund raising, active promotion of the importance of higher education, leadership in philanthropy, exceptional civic responsibility and integrity.

V. REPORT OF THE CHANCELLOR

The Board will hear a report from Chancellor John Morgan relative to specific topics of interest to the Board and to the System.

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VI. REPORTS OF PRESIDENTS AND DIRECTORS

The Board will hear reports from representatives from the colleges of applied technology, the two-year schools and the four-year schools on items of interest since the last quarterly meeting.

VII. UNFINISHED BUSINESS

There is no unfinished business to come before the Board at this time.

VIII. NEW BUSINESS – CONSENT AGENDA

1. Proposed Revisions to TBR Policy 2:01:01:00 – Approval of Academic Programs, Units, and Modifications (*Vice Chancellor Denley*)

The Board will consider a revision in TBR Policy: 2:01:01:00 - *Approval of Academic Programs, Units, and Modifications*. The proposed changes are intended to clarify existing expectations for academic proposals and acknowledge the role of the TBR Office of Community Colleges which did not exist when the policy was last revised. Proposed academic actions from community colleges are now to be submitted to the Vice Chancellor for Community Colleges.

2. Proposed Revisions to TBR Policy 4:01:00:00 – Budget Control (*Vice Chancellor Sims*)

The Board will consider the following revisions to TBR Policy: 4:01:00:00 – Budget Control:

Section II.A.3.

- This change clarifies that once institutions transfer funds into plant fund projects, they are not prohibited from reallocating these funds or transferring them to other funds. This change is necessary to prevent potential auditor misunderstandings.

Section II.B.2.a

- Revision sets a threshold of 1% of total expenditures before budget revisions between functional areas require the Chancellor's approval.

Section III.A.1.c

- Remove phrase "from unrestricted current funds" since the transfers to unexpended plant funds can originate from other funds.

Section III.A.2.b

- Revision changes the required minimum extraordinary maintenance balance from \$150,000 for universities and \$100,000 for community colleges to the greater of 0.1% of plant funds or \$150,000 for universities or \$100,000 for community colleges. The prior thresholds did not consider the size of the institution and, in some cases, were too small to provide a meaningful hedge against extraordinary maintenance needs.

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Section III.B.2.

- Add clarifying language that all institutions with the responsibility for replacing auxiliary equipment must transfer at least 5% of auxiliary gross margin to the renewal and replacement fund. This is consistent with past instructions provided to institutions.
- Delete obsolete final sentence requiring guidelines from the Chancellor on additions to the renewal and replacement fund.

Section III. C.3.

- Delete requirement that all transfers from debt service accounts must be approved by the Chancellor.

3. Proposed Revisions to TBR Policy 4:01:00:10 – Community College Resource Allocation Plan

(Vice Chancellor Sims)

The Board will consider the following revisions to TBR Policy 4:01:00:10 – Community College Resource Allocation Plan:

- Delete the Collaboration definition at the beginning of the policy. This deletion is necessary due to the sunset provision included in the Allocation for Collaboration section. The sunset date was June 30, 2013.

Section I.C.1.a.1-5

- Delete this entire section Allocation for Collaboration due to sunset date of June 30, 2013.

4. Proposed Revisions to TBR Policy 4:01:01:10 – Deposit and Investment of Funds

(Vice Chancellor Sims)

The Board will consider the following revisions to TBR Policy 4:01:01:10 – Deposit and Investment of Funds:

Section I.B.

- Add language updating policy to allow electronic signatures of the president and chief business officer. Without this update, wire transfer approvals conflict with the policy.
- Delete obsolete phrase “or ten thousand dollars, whichever is greater” since 1% of all institutions’ state appropriation amounts now exceed \$10,000.

Section III.D.

- Clarify that depository contract agreement terms cannot exceed 5 years.

Section V.G.

- Change “telephone bids” to “competitive bids” since competitive bids can be obtained in ways other than telephone calls.

Section V.L.1.

- To ensure compliance with TCA, change the limit of allowable investments in banker’s acceptances from shall not exceed 20% of total investments on the date of acquisition to shall not exceed 5% of total investments on the date of acquisition.

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Section VI.C.

- Change “restricted chart of accounts” to “separate chart of accounts” since “restricted” has another meaning in governmental accounting terms.

5. Repeal of System-wide and Institutional Rules (*General Counsel Moody*)

The Board will consider approval of repeals to the existing TBR APA System-wide Student Rules regarding Student Residence Regulations and Agreements and Residence Hall Visitation Policy, as well as repeals to TBR APA Institutional Student Housing Rules at the six (6) TBR Universities.

This proposal coincides with revisions and combining of policies being made by the Housing Rule Committee to Policy 3-03-01-00, Student Residence Regulations and Agreements and Policy 3-03-03-01, Residence Hall Visitation Policy, which will be presented to the Board at a later date.

As with recent repeal and revisions of other TBR APA Rules and TBR Policy, the proposed changes reflect evolution in case law and Tennessee Attorney General Opinions over the last 30 years, enhance institutional control and flexibility, and place the policy along with others of general application.

System-wide Student Residence Regulations and Agreements (TBR APA Rule 0240-02-06) and Residence Hall Visitation (TBR APA Rule 0240-02-07) are now exempt from promulgation because any due process right that may affect a student is now addressed by the revised TBR APA Rule 0240-02-03, Student Conduct and Disciplinary Sanctions, or through a contract based action in external forums. (Tenn. Atty. General Opinion 99-010)

Institutional Student Housing Rules (TBR APA Rules 0240-04-01 (APSU); 0240-04-02 (ETSU); 0240-04-03 (UoM); 0240-04-04 (MTSU); 0240-04-05 (TSU); and 0240-04-06 (TTU) are exempt from promulgation because individual institutions do not have rule making authority. (Tenn. Atty. General Opinion 85-212)

VIII. NEW BUSINESS – INFORMATIONAL REPORTING

1. Overview of Governor’s Budget Recommendations (*Vice Chancellor Sims*)

On February 3, 2014 Governor Haslam presented his budget recommendations for fiscal year 2014-15 to the General Assembly. The enclosed summary identifies items related to TBR and its institutions.

2. Legislative Update (*Vice Chancellor Gregory*)

The second session of the 108th Tennessee General Assembly convened on January 14, 2014 in Nashville. The TBR Office of Administration has drafted legislation on behalf of the system and tracks legislation which, if passed, could impact our system and our member institutions. This report highlights several key pieces of legislation that are significant this session

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VIII. NEW BUSINESS – ACTION ITEMS

1. **Approval of the Recommendation for the Director at the Tennessee College of Applied Technology – Morristown** (*Vice Chancellor King*)

Due to the retirement of Lynn Elkins from the position of Director at the Tennessee College of Applied Technology – Morristown, effective December 31, 2013, a search was opened in December 2013. A search committee was selected to recommend the best possible candidate. The committee consisted of one Board of Regents' member and representatives from faculty, staff, students, the lead institution, and the center's general advisory committee. The position was advertised, applications were reviewed, and candidates were selected for interviews. Following the interviews, the Chancellor consulted with the Vice Chancellor for the Tennessee Colleges of Applied Technology and the Board of Regents member on the Advisory Committee for the purpose of making the recommendation of the best candidate to the Board.

Mr. Jerry Patton is being recommended as the next Director of the Tennessee College of Applied Technology - Morristown. His resume is attached.

2. **Proposed TCAT Program Terminations, Modifications and New Technical Program Implementations** (*Vice Chancellor King*)

Academic proposals requiring Board approval:

Five (5) program proposals are being presented for the Board's review and approval. These proposals will allow the Tennessee Colleges of Applied Technology to be more responsive to the needs of students, businesses, and industries. The proposals are:

- Implementation of a Drafting/CAD Program at TCAT Murfreesboro. (See Implementation Proposal #1)
- Implementation of a state-wide Certified Nursing Assistant Program. (See Implementation Proposal #2)
- Implementation of a Diesel Technology Program at TCAT Livingston. (See Implementation Proposal #3)
- Implementation of a Patient Care Program offered at TCAT Nashville. (See Implementation Proposal #4)
- Modification of the Industrial Electricity Technology to Electro-Mechanical Technology Program at TCAT Athens (Program Modification Proposal #1)

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Academic Proposals Requiring Only Notification to Vice Chancellor:

Seventeen (17) academic actions were submitted by TCAT institutions to the Vice Chancellor for approval based on section C of the TBR Policy: 2:01:02:00, requiring only notification to the Vice Chancellor. Appropriate documentation to support need was provided. The proposals are as follows:

TCAT	Summary of Proposal	New Costs/Funding Source	Approval/ Implementation Date
Pulaski & McMinnville Jackson	Inactivate the online Drafting/CAD program due to low enrollment, completion rates, and low placement.	None	January 2014
Livingston	Inactivate stand-alone Industrial Training Program and operate as special industry.	None	April 2014
Hartsville	Inactivate the Drafting/CAD Technology Program due to low enrollment. Teach out will be complete by December 2014.	None	January 2014
Hartsville	Changing the Industrial Maintenance name to Industrial Maintenance/Mechatronics to better reflect the needs of the service area.	None	May 2014
Hartsville	To better serve students, offer an evening Machine Tool Technology program. The campus currently offers a day program.	None	January 2014
Pulaski & McMinnville Jackson	Inactivate the online Computer Information Systems program due to low enrollment, completion rates, and low placement.	None	May 2014
Pulaski	To better serve the area and meet the increasing need for practical nurses, Pulaski will open an evening practical nursing program.	None	September 2014
Livingston	Offer Health Sciences dual enrollment classes at Cookeville High School and Baxter High School.	None- dual enrollment fees will pay for the instructor	January 2014
Hohenwald	Place Cosmetology program at Columbia High School on inactive state due to low enrollment.	None	December 2013
Jackson	Offer an afternoon Welding Technology Program	None	September 2014

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Jackson	Relocate the Machine Tool Technology Program from the main campus to the McWherter Center. Move allows for consolidation with the Tool and Die Program and increased dual enrollment participation.	None	
Jackson	Truck Driving will be offered at the Lexington campus as needed.	NONE	Summer 2014
Dickson, Oneida & Knoxville	Inactivate online Administrative Office Technology Program due to low completion and placement. Institution will teach out currently enrolled students.	None	May 2014
Athens	Inactivate Industrial Electricity Program due to low placement.	None	June 2014
McMinnville	Inactivate Medical Assistant Program due to low enrollments. Teach out will end by August 2014.	None	September 2014
Hohenwald	Consolidation of programs to Northfield site.	None	January 2014
Murfreesboro	Inactive on ground Drafting and CAD program due to low enrollments.	None	May 2014

3. Approval of New University Degree Programs (*Vice Chancellor Denley*)

The Board will consider approving new degree programs from Austin Peay State University and East Tennessee State University. Program descriptions are shown below with additional information is provided in the materials.

Austin Peay State University

Bachelor of Fine Arts (BFA) in Theatre/Dance with concentrations in *Musical Theatre, Design, Acting/Directing, and Dance*

Austin Peay State University proposes to offer the Bachelor of Fine Arts which will prepare students for professional practice and scholarship while stressing theoretical, pedagogical, and historic aspects of Theatre/Dance. The approval of this degree proposed by APSU will strengthen our economy while improving opportunities for more Tennesseans to earn post-secondary credentials. The degree provides a path to a professional degree in Theatre and Dance as well as a Liberal Arts degree allowing for expanded opportunities in Theatre and Dance.

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Bachelor of Arts (BA) in Theatre/Dance with concentrations in *Dance, Design, and Acting/Directing*

Austin Peay State University proposes to offer the Bachelor of Arts in Theatre/Dance to prepare students for the professional worlds of Dance and Theatre, in a Liberal Arts training environment that will incorporate both practice and scholarship while emphasizing theoretical, pedagogical, and historic aspects of these forms. The concentrations in the BA Theatre/Dance degree program are designed to be accompanied by a second major or one or two Minors. The approval of this degree will strengthen our economy while improving opportunities for more Tennesseans to earn post-secondary credentials in a strategic industry.

Master of Science (MS) in Engineering Technology

Austin Peay State University proposes to offer the Master of Science in Engineering Technology to provide the advanced knowledge and skills needed by people in technological careers serving in the military or working for companies located in industrial parks throughout the region to advance to leadership positions in industry. The program is designed for engineering and engineering technology baccalaureate degree graduates who realize the necessity of advancing their industry and related technologies. This program will contribute to economic and workforce development in the region and service to the military community at Fort Campbell.

East Tennessee State University

Master of Science (MS) in Digital Marketing

East Tennessee State University proposes to offer a Master of Science in Digital Marketing which will focus upon the field of marketing in the digital environment with the emphasis of being current and relevant. With the growing, ever-changing, fast-paced online atmosphere, marketing has significantly changed and will continue to do so. Therefore, with ETSU's technological resources via the Academic Technology Support staff and ETSU Online, the degree will encompass a cutting edge, innovative curriculum and learning environment. Knowledgeable marketing graduates are and will be in high demand. Establishment of the Master of Science in Digital Marketing in the online environment will positively impact the state of Tennessee. While online education will continue to grow, a degree and its curriculum must be competitive, innovative and rigorous.

4. Revisions to the Following Campus Student Disciplinary Policies (*Vice Chancellor Denley*)

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges for Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the System-wide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institution's counsel and by the Office of Academic Affairs.

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East Tennessee State University

East Tennessee State University requests modifications to Part 4: Disciplinary Sanctions to add definition as to what suspension of a student group means; and to Part 5: Traffic and Parking to delete reference to employees/faculty/staff from the registration of automobiles and parking permits section, and to clarify the wording for parking and speed limit descriptions as well as to certain parking fine descriptions; also to Part 6: Disciplinary Procedures to substitute the new position of Vice President of Student Affairs in several appropriate places as the office of authority, and to amend the appeals process to include language regarding the grounds and conditions for an appeal.

Middle Tennessee State University

Middle Tennessee State University requests modifications to Section 5: Traffic and Parking to include minor word changes for clarity and consistency, and on adding a section providing regulations for bicycle use, where bicycles may and may not be parked, and impounding processes for bicycles improperly parked; Section 6: Disciplinary Procedures to remove a paragraph regarding jurisdiction for academic misconduct matters, which are heard exclusively by an Academic Misconduct Committee; and throughout the policy, to include minor word changes for clarity and consistency, as well as the removal of the terms “rules and regulations” in lieu of “policies”.

University of Memphis

The University of Memphis requests modifications to Part 1: Institutional Policy State to clarify the definition of ‘student’, amend its jurisdiction statement to be consistent with student discipline practice and to include online behavior; Part 2: Disciplinary Offenses to clarify role of the University Committee on Student Conduct, insert links to related TBR and University policies, amend sexual misconduct definition, and clarify academic misconduct violations; Part 3: Academic and Classroom Misconduct to assign suspension decisions to the Associate Dean of Students for Student Conduct; Part 4: Disciplinary Sanctions to amend language for warning, censure and interim suspension; and Part 5: Disciplinary Procedures to outline the content of charge letters, the standard hearing process and the self-harm assessment protocol; to amend the retention of records by acknowledging FERPA requirements; and to inform student organizations that they will follow the same appeal process previously provided in this section; and to Part 6: Traffic and Parking to amend fines to include a \$2.00 per day late fee (\$30.00 maximum) for return of a parking pass for the main campus, which will assist as an enforcement mechanism to ensure return of parking pass.

Cleveland State Community College

Cleveland State Community College requests modifications to Section 5: Traffic and Parking to make appropriate changes to titles and names of offices resulting from the college’s decision to move from a Safety and Security Department to a state-approved Campus Police Department throughout this section, to include reference to state citations where appropriate, and to clarify that the type of citation issued for parking violations, either campus or state, is at the officer’s discretion.

Columbia State Community College

Columbia State Community College requests modifications to Section 3: Academic and Classroom Misconduct to clarify the instructor’s authority to impose sanctions relevant to the academic dishonesty in coursework, to clarify the academic dean’s role in informing of the student’s right to appeal, and to assure that the dean be notified of the outcome of appeals adjudicated by the Provost; and to Section 5: Traffic and Parking to add three parking violations for blocking a fire lane, roadway or taking up two

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spaces each at the set fine amount of \$10, to reflect the elimination of required student parking decals, and to direct the administration of employee parking decals to Human Resources

Jackson State Community College

Jackson State Community College requests modifications to Section 5: Traffic and Parking to include current information about access fees; to clarify the location for obtaining parking decals and temporary parking permits as well as the processes by which they can be obtained; and to require disabled students and employees to display both a state-issued disability placard and a JSCC decal to use designated disabled parking spots.

Nashville State Community College

Nashville State Community College requests modifications to Section 3: Academic and Classroom Misconduct to clarify the instructor's authority concerning disruptive behavior in the classroom to include removal of a disruptive student for one class period for classroom misconduct. The instructor's responsibility to inform students of charges, sanctions, and appeal processes associated with such misconduct is provided; and Section 5: Traffic and Parking to increase the fine for traffic and parking violations from \$10.00 to \$25.00 for each violation except for disabled parking violations, the fine for which is established by statute. This increase will help deter drivers from committing moving violations that threaten the safety of students, faculty, staff and visitors and is in keeping with the amount of such fines at other TBR institutions.

Southwest Tennessee Community College

Southwest Tennessee Community College requests modifications to Part 5: Disciplinary Procedures to clarify a student's appeal options to include his/her appealing a decision rendered by a judicial officer.

Volunteer State Community College

Volunteer State Community College requests modifications to Part V: Traffic and Parking to remove repetitive language, insert correct titles for offices, and revise the explanations regarding employee vehicle registration, parking decals, parking and traffic regulations; also to clarify the traffic violations appeals process by differentiating between students and faculty/staff/visitors processes; and Part VI: Disciplinary Procedures to include department chairs, program directors and/or coordinators in the Academic Misconduct appeals process; also to remove authority from a Division Dean to change a grade due to academic misconduct and rest that responsibility with the Academic Integrity Committee; and also to reduce the time to file an appeal of a grade to five (5) business days to facilitate a shorter turnaround time in the appeal process.

Tennessee Colleges of Applied Technology

The Tennessee Colleges of Applied Technology request modifications to insert the name Tennessee Colleges of Applied Technology in the place of Tennessee Technology Centers and to insert the abbreviation TCAT in place of TTC in all instances throughout the document. The Tennessee Technology Centers were renamed Tennessee Colleges of Applied Technology as of July 1, 2013. This change more accurately reflects the post-secondary training provided at the 27 campuses and many satellite locations across the state.

- 5. Approval of the March 11, 2014, Minutes of the Special Called Meeting of the Finance and Business Operations Committee that includes a Recommendation on Mandatory and Incidental Fee Requests; and also the Minutes from the March 6, 2014, Special Called Meeting of the Ad Hoc Committee on Capital Outlay and Capital Maintenance (*Regent Farris*)**

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The Board will review and consider for approval the minutes of the March 11, 2014 special called meeting of the Finance and Business Operations Committee which includes minutes from the March 6, 2014 Ad Hoc Committee on Capital Outlay and Capital Maintenance and mandatory and incidental fee requests which would become effective Fall 2014.

6. Additional Recommendation on Mandatory and Incidental Fees (*Vice Chancellor Sims*)

At the March 11, 2014 special called meeting of the Finance and Business Operations Committee staff recommended deferring action on several fee requests until additional information was obtained. Material will be mailed to you at a later date.

7. Revisions to the Agreement Between Volunteer State Community College and Nashville State Community College Regarding Primary Service Areas (*Vice Chancellor Nichols*)

On March 26, 1999, the Tennessee Board of Regents established Primary and Extended Service Areas for Volunteer State Community College and Nashville State Community College.

In July 2007, Volunteer State Community College (VSCC) and Nashville State Community College (NSCC) reached an agreement regarding conducting certain operations within their respective Primary Service Areas entitled “Revised Services Area Agreement for Volunteer State Community College and Nashville State Technical Community College” (the 2007 Agreement).

In recognition of changes in circumstances since the 2007 Agreement, the parties now wish to terminate that agreement and enter a new agreement concerning certain operations inside each other’s Primary Service Area.

The primary changes between the July 2007 Agreement and the proposed 2014 Agreement are:

- The elimination of program restrictions currently in place.
- Permit either college, within current TBR policies and procedures, to create, develop, or occupy a community college site, center, or campus within their respective Primary Service Areas without objection from the other.

Attached are copies of the 2007 Service Agreement and the Proposed 2014 Service Agreement.

8. Request to Name the Strawberry Plains Campus Building at Pellissippi State Community College (*Chancellor Morgan*)

The Board will be asked to approve a request to name the Strawberry Plains Campus Building at Pellissippi State Community College in honor of Randy and Jenny Boyd.

9. Resolution of Appreciation for Regent John S. “Steve” Copeland (*Regent Thomas*)

The Board will be asked to approve a resolution of appreciation for Dr. Copeland’s years of dedication and service to the Tennessee Board of Regents.

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10. Resolution of Appreciation for Director Rick Brewer (*Regent Varlan*)

The Board will be asked to approve a resolution of appreciation for Director Brewer's years of dedication and service to the Tennessee Board of Regents.

**MINUTES
TENNESSEE BOARD OF REGENTS
REGULAR SESSION**

December 5, 2013

The Tennessee Board of Regents met in regular session on December 5, 2013, at the TBR central office located in Nashville, Tennessee. Vice Chairman Emily Reynolds presided over the meeting and called the meeting to order. In her opening remarks, Vice Chairman Reynolds recognized two distinguished guests in the audience, the Honorable Douglas Henry and WSMV anchorwoman, Demetria Kalodimos.

Board Secretary Mary Moody, was asked to call the roll. The following members, constituting a quorum, were present:

Dr. Steve Copeland
Mr. Greg Duckett
Mr. John Farris
Mr. Darrell Freeman
Mr. Tom Griscom
Ms. Ashley Humphrey
Mr. Jonas Kisber
Ms. Fran Marcum
Ms. Emily Reynolds
Mr. Howard Roddy
Mr. J. Parker Smith
Mr. Bob Thomas
Mrs. Danni Varlan
Ms. Deanna Wallace

Members not available to attend the meeting were Governor Bill Haslam and Commissioners Kevin Huffman, Julius Johnson and Regent Rich Rhoda.

I. Minutes – Consent Agenda

Minutes of the September 20, 2013, regular session Board meeting were sent to all Board members for review prior to the quarterly Board meeting. Regent Freeman moved for the approval of the minutes. Regent Duckett provided a second to the motion. The motion passed.

II. REPORT OF INTERIM ACTION

Vice Chairman Reynolds called upon Chancellor Morgan who presented the Report of Interim Action, reflecting business transacted by the Office of the Chancellor since the

previous meeting of the Board. Chancellor Morgan requested approval of the report. Regent Thomas moved to accept the report. Regent Marcum provided a second to the motion. The motion passed. A copy of the Report is attached to the official copy of the Minutes as Appendix A.

III. REPORT OF THE COMMITTEES

The Board then considered approval of the November 19, 2013 minutes of the Audit Committee and the special called meeting of the Committee on Academic Policies and Programs. Copies of the minutes were provided to all members. Regent Griscom moved for adoption of the minutes. A second was provided by Regent Roddy. The motion carried. A copy of the Audit Committee minutes and background materials are attached to the official copy of the Minutes as Appendix B. A copy of the minutes from the special called meeting of the Committee on Academic Policies and Programs are attached to the official copy of the Minutes as Appendix C.

IV. REPORT OF THE REGENTS AWARD FOR EXCELLENCE IN PHILANTHROPY

Vice Chairman Reynolds called on Regent Duckett for the report on the Regents Award for Excellence in Philanthropy. Regent Duckett reported that the Regents Award for Excellence in Philanthropy had recently been given to Charles and Judy Burkett, who were nominated by Dr. Shirley Raines, President of the University of Memphis. Mr. and Mrs. Burkett epitomize the spirit of this award as donors, volunteers in fundraising and advocates for higher education within the Memphis area. Along with being chairman of the University of Memphis' Board of Visitors, Mr. Burkett simultaneously serves as president of the University of Memphis Foundation, the \$100+ million foundation which accepts and administers support for the university. The Burketts co-chaired the University's "Empowering the Dream" Centennial Campaign to raise \$250 million, the most ambitious campaign in the University's history. Their enthusiasm is underscored by their personal campaign commitment of a significant gift designated for support of first-generation college students, which Burkett himself had been. They are members of both the University's Brister Society, which recognizes generous donors whose cumulative giving exceeds \$100,000, and the Columns Society, through which the University acknowledges individuals who include the University of Memphis in their planned and estate giving. The University of Memphis and the Tennessee Board of Regents System are indeed grateful to the Burketts for their generous support of their time and resources representing the University in the community.

V. REPORT OF THE CHANCELLOR

During this portion of the meeting, the Honorable Douglas Henry, State Senator for the 21st Senatorial District of Tennessee, was recognized for his support of higher education throughout his years of service to the great state of Tennessee. In addition to Vice Chairman Reynolds' introduction of Senator Henry, Regents Farris, Copeland, Thomas and Griscom gave their appreciation for the work Senator Henry has done throughout his more than 40 years in the Tennessee legislature. Chancellor Morgan assisted with the award presentation and thanked Senator Henry for his wise counsel and leadership throughout his years of service. Senator Henry addressed the Board and expressed his appreciation for this honor and recognition.

Chancellor Morgan then called on Vice Chancellor Tristan Denley to give a report on the Completion Initiative. Vice Chancellor Denley gave a presentation explaining the Academic Affairs completion priority strategies. He explained how the strategy of Architected Choice was concerned with empowering students with choice of major and program. He gave the example of macro-majors as an initiative to be introduced in this area. The second strategy was Articulated Pathways. Initiatives in this area create clear curricular pathways for students to follow through their programs. He explained the impact that Course Revitalization and Co-requisite Remediation will have on student success. Lastly, he focused on initiatives concerning Inclusion, Community and Belonging.

VI. REPORTS OF PRESIDENTS AND DIRECTORS

The university presidents' report was presented by Dr. Brad Bartel, Provost of Middle Tennessee State University. His report consisted of a slide presentation "The Quest for Student Success," describing an initiative currently being conducted at MTSU, with goals to recruit students who value student success and have the potential to achieve in a student-centered culture; to enhance the academic experience of students to better ensure success; and to facilitate student success through innovation and the use of data-informed best practices. Dr. Bartel shared specific examples of university initiatives, college initiatives and the use of technology and data to achieve those goals.

The report of the community college presidents followed. President Jim Catanzaro introduced the two campuses chosen to highlight media technology programs at their schools. Dr. Janet Smith, President of Columbia State Community College introduced Mr. Read Ridley, Program Coordinator for the Film Crew Technology program at CoSCC. Mr. Ridley reported that although this program is one of the youngest of such programs, it has one of the highest placement rates in the country. Ms. Demetria Kalodimos, nightly news anchor for Nashville's WSMV Channel 4 News, praised this program for its contributions to the television and film industry both in Nashville and all across the country.

Next, Pellissippi State Community College featured its media technologies program. Ms. Teri Brahams, Executive Director of Workforce and Development at PSCC, presented a video showcasing the successful placement of graduates in media technologies program. Graduates of the program discussed the importance of having access to state of the art equipment and software to learn the skills essential to the work they dream of.

For the report of the TCAT Directors, Vice Chairman Reynolds called on Director Jeff Sisk, who introduced Director Warren Laux to describe the culinary/ hospitality partnership program between the TCAT-McMinnville and Coffee County Convention Center. This new culinary/hospitality program was designed to help meet an economic need within the community. Director Laux shared the curriculum components of the program as well as how this program has continued to further develop relationships with other institutions within the surrounding counties. He then introduced instructor Chef Kim Davis, who reported on the program's outstanding success in placement of graduates of the program.

At the conclusion of this report, Vice Chairman Reynolds thanked everyone for their informative and interesting reports.

VII. UNFINISHED BUSINESS

There was no unfinished business to bring before the Board at this time.

VIII. NEW BUSINESS – Consent Agenda

The following items were presented under the consent agenda:

1. Approval of the Request for Tenure Upon Appointment for ETSU Faculty
2. Proposed Program Terminations, Modifications, and New Technical Program Implementations for the Tennessee Colleges of Applied Technology
3. Proposed Revisions to Policy 5:01:01:20 - Telecommuting

Regent Freeman moved for approval of the consent agenda. Regent Griscom provided a second. A copy of the request for tenure upon appointment from ETSU is attached to the official copy of the Minutes as Appendix D. A copy of the program terminations, modifications and new technical program implementations for the TCATs is attached to the official copy of the Minutes as Appendix E. A copy of the revisions to Policy 5:01:01:20 - Telecommuting is attached to the official copy of the Minutes as Appendix F.

NEW BUSINESS – Informational Reporting

The following agenda items were presented for informational purposes only and required no action.

- Report on the consolidated management discussion and analysis for the System's FY 2012-13 financial statements.
- Report of employer and alumni survey for the Tennessee Colleges of Applied Technology presented by Vice Chancellor King. This is an annual survey of students and employers designed to assess the effectiveness and relevance of each occupational program. For the 2011-12 survey cohort, alumni rated program preparation for employment "Satisfactory" or above in 96% of the weighted responses. Employers rated student performance "Satisfactory" or above in 98% of the weighted responses. There were approximately 6,710 graduates during the 2011-12 academic year available for job placement. A total of 5,250 graduates were placed in employment for an overall placement rate of 84%, which is 2% increase over the previous year. A copy of the alumni and employer surveys are attached to the official copy of the Minutes as Appendix G.

NEW BUSINESS – Action Items

The first item covered under New Business – Action Items was to receive and act on a recommendation for the president of Cleveland State Community College. Vice Chairman Reynolds called on Regent Griscom, who chaired the presidential search committee. Regent Griscom reported that Regents Howard Roddy and Danni Varlan were also members of the search committee. The first meeting of the search committee was held on September 16 to review 53 applicants. At that meeting, the committee narrowed the pool to 12, with one person withdrawing from the search, leaving 11 applicants for further consideration. The committee met again on October 14 and selected four finalists. One finalist withdrew and the remaining three finalists were brought to the campus for interviews the week of November 4.

Vice Chairman Reynolds then called on Chancellor Morgan who recommended Dr. William Seymour to be the next president at Cleveland State Community College. Dr. Seymour currently serves as Vice President of Institutional Advancement at Jackson State Community College. Before joining Jackson State, Dr. Seymour was the President of Lambuth University in Jackson for two years, until Lambuth ceased operations in 2011. Regent Griscom moved to accept the recommendation with a second by Regent Kisber. The motion was approved. Dr. Seymour will begin on January 2, 2014, at a starting salary of \$156,726 with standard presidential allowances and State of Tennessee employee benefits. Dr. Seymour was recognized and he thanked the Board for approving his appointment to this position.

Next, Vice Chairman Reynolds called on Regent Duckett for the approval of the draft criteria for the president of the University of Memphis. Regent Duckett reported that the search committee for the president of the University of Memphis met on Wednesday,

December 4. At that meeting, the draft criteria was discussed both in a public session and also with the members of the search committee. Regent Duckett made the motion to grant editing authority to Chancellor Morgan, in consultation with Vice Chairman Reynolds and Regent Duckett, as chair of the search committee, in order to take into consideration any modifications suggested in the public session and search committee meeting. After any such revisions, the final draft of the criteria would be circulated to all of the Board members before the position was posted. Regent Freeman seconded the motion and the motion passed. A copy of the draft criteria and the revised criteria are attached to the official copy of the Minutes as Appendix H.

Vice Chairman Reynolds called on Vice Chancellor Sims to present for approval the Fiscal Year 2013-2014 October Revised Budget. The recommended October revisions are based on information that includes recognition of the impact of fall enrollment. Any significant differences between the budget previously approved by the Board and the proposed revisions were pointed out to the members. The Board was asked to approve a revised budget of \$2,909,523,600. Regent Freeman moved to approve the revised budget as presented. Regent Smith provided a second to the motion. A roll call vote was taken and the motion passed. A copy of the revised budget is attached to the official copy of the Minutes as Appendix I.

Next, Vice Chancellor Gregory presented the 2014 System-wide legislative initiatives. His presentation included information on support for operational funding; capital projects; budget improvement requests (supported and not-supported by THEC); TSAC improvement request regarding student financial aid; and, support of the goal of the Drive to 55 by 2025. Regent Thomas moved to adopt this report. Regent Farris seconded the motion. The motion passed. A full copy of the report is attached to the official copy of the Minutes as Appendix J.

Vice Chairman Reynolds called on Vice Chancellors Nichols and Denley to present the new degree programs submitted for approval. The report included one community college proposal from Dyersburg State Community College – Associate of Applied Science in Advanced Integrated Industrial Technology and one university proposal from the University of Memphis – Doctor of Philosophy in Health Systems and Policy. Regent Marcum moved to approve the program proposals as presented. Regent Kisber seconded the motion and the motion passed. A copy of the described program proposals is attached to the official copy of the Minutes as Appendix K.

Director of Communications, Monica Greppin-Watts then presented the proposed TBR Branding Policy for approval. The purpose of the new policy is to enhance, maintain and protect the brand identity for the Tennessee Board of Regents, the System Office, operational units and institutions. This policy governs the use of all words, logos or symbols used to identify or distinguish services affiliated with the TBR for any purpose. It provides that all appropriate applicable guidelines pertaining to the words, logos, symbols or other brand identifiers must be followed. The policy makes reference to and

points to the style and identity guidelines that define the design specs and usage of the logos, symbols, colors, etc. A motion was made by Regent Farris to approve the new policy with a second provided by Regent Duckett. The motion was approved. A copy of the new policy is attached to the official copy of the Minutes as Appendix L.

Regent Varlan was asked by Vice Chairman Reynolds to present the resolution of appreciation for Director Lynn Elkins. After the reading of the resolution, Regent Varlan moved adoption of the resolution with a second provided by Regent Smith. The motion was approved. Director Elkins addressed the Board and thanked everyone for the encouragement and support she received during the course of her career with the Tennessee Board of Regents. A copy of the resolution is attached to the official copy of the Minutes as Appendix M.

Vice Chairman Reynolds then called on Regent Griscom for the resolution of appreciation for President Carl Hite. Regent Griscom moved approval of the resolution with a second by Regent Freeman. The resolution was approved. A copy of the resolution of appreciation is attached to the official copy of the Minutes as Appendix N. President Hite thanked the Board and the members of the System for the wonderful privilege and opportunity to serve as President of Cleveland State Community College.


Next, Chancellor Morgan was called on to present a request to name the Math and Science Building at Cleveland State Community College in honor of President Carl Hite. Regent Griscom moved approval of this naming. A second was provided by Regent Duckett. The motion carried.

As the last item of business, the Board was asked to consider changing the March 2014 meeting date from March 27 to March 28. Regent Freeman moved to approve the new date with a second provided by Regent Griscom. The motion was approved.

IX. ADJOURNMENT OF THE MEETING

There being no further business to come before the board, the meeting was adjourned.

Respectfully submitted,



Mary G. Moody, Secretary

John G. Morgan, Chancellor

Emily J. Reynolds, Vice Chair

MINUTES

TENNESSEE BOARD OF REGENTS

SPECIAL CALLED SESSION

January 24, 2014

The Tennessee Board of Regents met in a special called telephonic session on January 24, at 10:00 a.m. (CST). The purpose of the special session was to approve the criteria for the president at Austin Peay State University. Vice Chairman Reynolds called the meeting to order and thanked everyone for being on the call. Mary Moody, Board Secretary, called the roll. The following members participated:

Regent Emily Reynolds, Vice Chair
Regent Steve Copeland
Regent Greg Duckett
Regent Darrell Freeman
Regent Tom Griscom
Commissioner Julius Johnson
Regent Jonas Kisber
Regent Fran Marcum
Regent Rich Rhoda
Regent Howard Roddy
Regent Parker Smith
Regent Bob Thomas
Regent Danni Varlan
Regent Deanna Wallace

A quorum was present. Members who were not able to be on the call were Governor Bill Haslam, Commissioner Kevin Huffman, Regents John Farris and Ashley Humphrey. Interested members of the public and persons from some of the institutions were also on the call.

Vice Chairman Reynolds called on Chancellor John Morgan to present the proposed criteria to be used in the search for the new president at Austin Peay State University. The search was occasioned by President Tim Hall's announcement of his plans to leave Austin Peay State University and become the president of Mercy College in New York.

The proposed criteria were distributed to the members. Chancellor Morgan stated that after the Board's approval, the position will be advertised in appropriate publications and that the executive search firm of Greenwood/Asher and Associates will assist with the search for the next president. Chancellor Morgan reported that the search committee will be chaired by Regent Bob Thomas. Others selected to serve on the search committee are: Regents John Farris, Darrell Freeman and Emily Reynolds. Regent Thomas moved to approve the criteria as presented, with a second provided by Regent Duckett. A roll call vote was taken and the motion passed. A copy of the criteria is attached to the official copy of the Minutes as attachment A.

Minutes
January 24, 2014
Page 2

In closing remarks, Chancellor Morgan provided information to the members about budget hearings scheduled to take place the following week.

There was no further business to come before the Board and the meeting was adjourned.

Respectfully submitted,

A handwritten signature in black ink that reads "Mary G. Moody". The signature is written in a cursive style with a large, prominent "M" and "G".

Mary G. Moody, Secretary

John G. Morgan, Chancellor

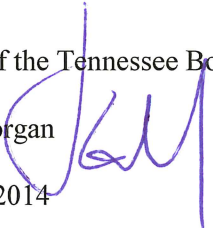
Emily J. Reynolds, Vice Chairman



TENNESSEE BOARD OF REGENTS

Office of the Chancellor

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TO: Members of the Tennessee Board of Regents
FROM: John G. Morgan 
DATE: March 18, 2014
SUBJECT: Interim Action Report – First Quarter

The following constitutes a record of business transacted by the Office of the Chancellor since the previous regular quarterly meeting of the Board of Regents under the authority of Article VIII of the Bylaws, which grants to the Chancellor interim authority to act on behalf of the Board. Pending any questions, the actions are recommended for Board consideration and confirmation.

I. Personnel Actions – Tennessee Board of Regents Staff

Appointments: Michael Tinsley – Project Assistant/Office of Community Colleges; effective January 2, 2014

Christine Mayer - Director of Training and Instructional Design/ROCC; effective January 16, 2014

John Townsend – Associate Vice Chancellor for Community Colleges/Office of Community Colleges; effective October 1, 2013

Reclassifications: None

Promotions: Jennifer Knott – Senior Instructional Designer/ROCC; effective January 1, 2014

Transfers: None

Retirement: None

Separations: None

Reclassifications & Degree Changes: Attachment A

Members of the Tennessee Board of Regents
Interim Action Report – First Quarter
Page Two

Appointments with salaries \$100,000 or more: Attachment B

Counter Offers: Attachment C

Special Adjustment/Critical Increases: Attachment D

Technical Corrections: None

II. Acceptance of Gifts and Grants

III. Construction Projects: State Building Commission Activities: Attachment E
Summary of Construction Contracts: Attachment F

IV. Approval of Contracts and Agreements: Attachment G

JGM/sm
Attachments

**Reclassification and Degree Change Report
Quarterly Board Meeting - Cycle 1**

Institution	Number of Degree Changes	Range of Increases	Total Cost of Degree Changes	Chancellor Signature Required	Number of Reclassifications	Range of Increases	Total Cost of Reclassifications	Chancellor Signature Required
APSU	5	1,562 - 2,400	10,020	0	3	1,508 - 7,990	12,710	0
ETSU	1	750	750	0	3	400 - 1,922	3,252	0
MTSU	1	2,000	2,000	0	3	656 - 1,728	3,861	0
TSU	0	0	0	0	0	0	0	0
TTU	6	1,000 - 2,500	11,500	0	6	459 - 7,524	21,419	0
UOM	0	0	0	0	4	2,088 - 5,330	16,869	0
CLSCC	0	0	0	0	0	0	0	0
CSTCC	0	0	0	0	0	0	0	0
COSCC	1	400	400	0	4	2,230 - 5,100	14,680	0
DSCC	0	0	0	0	0	0	0	0
JSCC	0	0	0	0	0	0	0	0
MSCC	0	0	0	0	0	0	0	0
NASCC	0	0	0	0	0	0	0	0
NESCC	0	0	0	0	0	0	0	0
PSCC	5	1,000	5,000	0	0	0	0	0
RSCC	2	902 - 1,660	2,562	0	4	1,535 - 5,273	12,898	0
STCC	0	0	0	0	0	0	0	0
VSCC	3	1,166	3,498	0	0	0	0	0
WSCC	3	1,658 - 2,536	6,025	0	4	2,000 - 7,207	17,657	0
TBR	0	0	0	0	0	0	0	0
TTC	6	1,000 - 2,500	8,000	0	1	2,000	2,000	0
ECOM	0	0	0	0	1	1,076	1,076	0
EFAM	0	0	0	0	0	0	0	0
EPHRM	0	0	0	0	0	0	0	0

**TBR System-wide Appointments
\$100,000 and Above - Cycle 1**

Institution	Name	Position	Effective Date	Salary
ETSU	Dr. Anant Godbole	Director of the ETSU Center of Excellence in Math and Science Education	8/1/2014	\$122,561
JSCC	Mr. Bobby Smith	Vice President for Student Affairs	1/1/2014	\$102,100
MTSU	Dr. Marian Wilson	Assistant to the President - Institutional Equity and Compliance	5/1/2014	\$125,000
TCAT - Morristown	Mr. Jerry Patton	Interim Director of Tennessee Colleges of Applied Technology - Morristown	1/02/14 - 4/20/2014	\$107,044
TCAT - Knoxville	Mr. Dwight Murphy	Director of Tennessee College of Applied Technology - Knoxville	2/1/2014	\$120,059
TTU	Dr. Theodore Perry	Research Faculty Member in Health Informatics	12/2/2013	\$150,000

**TBR Systemwide
Counter Offers - Cycle 1**

Institution	Name	Position	Effective Date	Increase Amount	Salary
MTSU	Mr. Edward Faulkner	Offensive Coordinator - Football	1/1/2014	\$25,000	\$160,000
MTSU	Mr. Jason Spray	Head Football Strength and Conditioning Coach	1/1/2014	\$22,024	\$105,000
MTSU	Dr. Ryan Otter	Associate Professor in the Department of Biology	2/1/2014	\$10,905	\$71,000

**TBR Systemwide
Special Adjustment/Critical Increases - Cycle 1**

Institution	Name	Position	Effective Date	Increase Amount	Salary
ETSU	Mr. Travis A. Sandlant	Associate Head Coach - Women's Tennis	2/1/2014	\$3,554	\$31,000
ETSU	Mr. Mark S. Bragg	Associate Vice President for Information Technology and Chief Information Officer	2/1/2014	\$20,330	\$144,000
UOM	Ms. Susan Prater	Marketing Manager	3/1/2014	\$4,280	\$52,500

Tennessee Board of Regents
Summary of State Building Commission Executive Subcommittee

<i>November 25, 2013 SBC Executive Subcommittee Meeting</i>		
<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>
ETSU	Demolition	Approved demolition of building at 908 W. Maple Street.
SBC 166/005-09-2013		ETSU to coordinate demolition process.
TTU	Demolition	Approved demolition of building at 242 W. 8 th Street.
SBC 166/011-16-2013		TTU to coordinate demolition process.
UoM	Lease Amendment 13	Approved Amendment #13 to lease agreement for 19,800 sf for 18 months (January 1, 2014 thru June 30, 2015) with Carrier Corporation in the amount of \$231,257.28 annually.
Transaction 10-09-900		UoM & Office of Facilities Development (OFD) to coordinate lease amendment execution.
ChSCC	Lease Amendment	Approved amendment #1 for 33,866 sf for 3 1/2 years (January 1, 2012-June 30, 2017) in the amount of \$33,866.00 annually between ChSCC and Hamilton County Board of Education for a STEM High School.
Transaction 11-12-003		ChSCC, OFD and General Services (GS) to coordinate lease amendment.
PSCC	Lease Agreement	Approved lease for 10 years for 25,765 sf (January 1, 2014 – December 31, 2013) in the annual amount of \$253,012.30 annually between PSCC and Knox County Board of Education for a Magnet School.
Transaction 13-10-954		PSCC, OFD, and GS to coordinate lease agreement.
TCAT Statewide	Accessibility Adaptions	Approved Michael Brady Inc. as designer for project.
SBC 166/000-02-2011	East Tennessee	OFD to prepare Owner/Designer Agreement and proceed with project.
TCAT Statewide	Accessibility Adaptions	OFD to prepare Owner/Designer Agreement and proceed with project.
SBC 166/000-02-2011	West Tennessee	OFD to prepare Owner/Designer Agreement and proceed with project.
TTU	Outdoor Tennis Courts	Approved Hart Freeland Roberts as designer for project.
SBC 166/011-13-2013		OFD to prepare Owner/Designer Agreement and proceed with project.
UoM	Manning Hall Research Upgrades	Approved Allen & Hoshall as designer for project.
166/007-11-2013		OFD to prepare Owner/Designer Agreement and proceed with project.
WSCC	Softball Grandstand Upgrades	Approved J L Jacobs & Associates as designer for project.
SBC 166/023-02-2013		OFD to prepare Owner/Designer Agreement and proceed with project.
<i>December 16, 2013 SBC Executive Subcommittee Meeting</i>		
<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>
TTU	Tech Village Renovations	Approved a revision in source(s) of funding.
SBC 166/011-15-2013		Continue with project.
PSCC	Blount County Campus Fitness Trail	Approved a revision in project budget and source of funding to award a construction contract to K&F Construction, Inc.
SBC 166/032-07-2002		OFD to prepare Owner/Construction Agreement and proceed with project.

<u>Institution</u>	<u>Transaction</u>	<u>SBC ESC Action</u>	<u>Action to be Taken</u>
NeSCC SBC 166/038-01-2012 NeSCC Transaction 11-05-902	Johnson City Downtown Center Renovation Lease Amendment	Approved a revision in project budget and source of funding. Approved lease amendment #1 for 40,574 sf between Northeast State Community College and Johnson City Development Board for 10 years (January 1, 2014-December 31, 2023) in the amount of \$272,880.00 annually.	Continue with project. NeSCC, OFD and GS to coordinate lease agreement.
TCAT Transaction 13-10-953	Lease Agreement	Approved a non-cost 20 year lease for a 40,574 sf building with Wilson County Board of Education in Lebanon for programs administered by the Hartsville, Murfreesboro and Nashville TCATs.	OFD & GS to coordinate lease execution.
TCAT @ Murfreesboro SBC 166/074-01-2013	Nissan Education & Training Facility	Approved award of Denark Construction as Construction Manager/General Contractor (CM/GC).	OFD to prepare Owner/Construction Agreement and proceed with project.
MTSU Transaction 13-11-012	Easement	Approved disposal by easement 0.36+/- acres to the Murfreesboro Electric Department (MED) for a new electric conduit that will serve the campus and adjacent community.	GS to prepare easement document.
PSCC Transaction 09-02-027	Contract Extension	Approved 1 year contract extension with Oliver Smith Realty & Auction Co. to market/sell old PSCC Blount County Center in Alcoa, TN.	Continue with efforts to dispose property.
<i>January 21, 2014 SBC Executive Subcommittee Meeting</i>			
MTSU SBC 166/009-04-2007	Transaction College of Education & Behavioral Science Building	Approved a revision in project budget and source of funding to award the CM/GC contract to PBG Builders, Inc.	Action to be Taken OFD to prepare Owner/Construction Agreement and proceed with project.
MTSU Transaction 13-12-007	2505 Middle Tennessee Boulevard	Approved acquisition of property.	OFD and GS to coordinate closure of property.
MTSU Transaction 13-12-008	1105 Ewing Boulevard	Approved acquisition of property.	OFD and GS to coordinate closure of property.
MTSU Transaction 13-12-009	1109 Ewing Boulevard	Approved acquisition of property.	OFD and GS to coordinate closure of property.
UoM Transaction 13-12-010	227 Deloach Street	Approved acquisition of property.	OFD and GS to coordinate closure of property.
<i>February 24, 2014 SBC Executive Subcommittee Meeting</i>			
APSU Transaction 14-01-015	Transaction Acquisition	SBC ESC Action Approved acquisition of property located at 806 Parham Avenue in Clarksville.	Action to be Taken OFD and GS to coordinate closure of property.
APSU SBC 166/003-01-2014	Demolition	Approved demolition of building at 806 Parham Avenue.	APSU to coordinate demolition process.
TTU Transaction 14-01-008	Acquisition	Approval acquisition of property located at 811 North Whitney Avenue in Cookeville.	OFD and GS to coordinate closure of property.
TTU SBC 166/011-01-2014	Demolition	Approved demolition of building at 811 North Whitney Avenue.	TTU to coordinate demolition process.

<u>Institution</u>	<u>Transaction</u>	<u>Transaction</u>	<u>Action to be Taken</u>
RSCC Transaction 14-01-007	Disposal	Approval disposal of RSCC's president's residence.	OFD to issue RFP to obtain real estate realtor to market and sell property after property is appraised.
ETSU Transaction 12-01-006	Reciprocal Access Easement	Approved easement to allow State and Wellmont ingress and egress and parking restrictions on each other's property. ETSU purchasing Wellmont property for relocation of their Kingsport Family Practice Center; Wellmont owns adjacent property.	GS to finalize signatory process on easement and proceed with closure of the property.
TSU SBC 166/001-02-2013	Utility Tunnel Stabilization	Approved Beaver Engineering Inc as designer for the project.	OFD to prepare Owner / Designer Agreement and proceed with project.

Tennessee Board of Regents
 Summary of State Building Commission Actions
 11/14/2013 to 03/05/2014

<u>Date</u>	<u>SBC Number</u>	<u>Institution</u>	<u>Project</u>	<u>Value</u>	<u>SBC Action</u>
11/14/2013	166/003-05-2013	APSU	Fine Arts Improvements	20,260,000	Approve to use Alternative Delivery Method CM/GC
	166/007-11-2013	UoM	Manning Hall Research Upgrades	360,000	Approve project
	166/007-13-2012	UoM	Research Facilities Improvements	1,145,000	Rec'd rpt CO #6 @ 11.46%
	166/011-01-2013	TTU	Warf/Ellington Residence Hall Upgrade	4,380,000	Revise budget & funding to award
	166/019-01-2011	Jackson SCC	Nursing and Allied Health New Construction	10,588,235	Award contract for CM/GC
	166/019-01-2013	Jackson SCC	Health Sciences Building	16,580,000	Approve to use Alternative Delivery Method CM/GC
	166/025-01-2012	Volunteer SCC	Humanities Building	29,280,000	Approve to use Alternative Delivery Method CM/GC
	166/032-05-2013	Pellissippi SCC	Strawberry Plains Renovations	1,600,000	Approve project
11/20/2013					
	166/021-04-2013	Motlow SCC	Forrester Building Interior Renovations	225,000	OSA approval for Threshold project
11/21/2013					
	166/021-04-2013	Motlow SCC	Forrester Building Interior Renovations	225,000	OSA approval for Threshold project
11/25/2013					
	166/000-02-2011	Statewide	TTC Accessibility (ADA) Adaptation	910,000	Select West TN designer, Renaissance Group
	166/000-02-2011	Statewide	TTC Accessibility (ADA) Adaptation	910,000	Select East TN designer, Michael Brady, Inc.
	166/005-09-2013	ETSU	Demolition - 908 W. Maple Street	25,000	Approve project
	166/007-11-2013	UoM	Manning Hall Research Upgrades	360,000	Select designer: Allen & Hoshall, Inc.
	166/009-04-2004	MTSU	Underground Electrical Update	7,400,000	Change designer name
	166/011-13-2013	TTU	Outdoor Tennis Courts Updates	250,000	Select designer: Hart Freeland Roberts, Inc.
	166/011-16-2013	TTU	West 8th Street Demolition	10,000	Approve project
	166/023-02-2013	Walters SCC	Softball Grandstand Upgrades	200,000	Select designer: J. L. Jacobs & Associates
12/12/2013					
	166/000-01-2011	Statewide	TCAT Roof Replacements	5,331,587	Rec'd rpt CO #5 @ 14.14%
	166/003-05-2012	APSU	Governors Stadium Renovation	19,000,000	Rev budget & funding
	166/007-02-2013	UoM	Women's Softball Training Facility	1,150,000	Approve EDP as recommended by OSA
	166/007-13-2011	UoM	New Student Housing	54,000,000	Rev budget & funding
	166/009-04-2004	MTSU	Underground Electrical Update	7,400,000	Rec'd report CO #10 @ 58.61%
	166/021-04-2013	Motlow SCC	Forrester Building Interior Renovations	225,000	Received Report for Threshold project
	166/023-01-2011	Walters SCC	Greene County Expansion	27,250,000	Rev budget & funding
	166/032-06-2012	Pellissippi SCC	Strawberry Plains HVAC Replacement	2,200,000	Approve to allocate funds and proceed
	166/032-07-2012	Pellissippi SCC	Blount County Campus Fitness Trail	430,000	Referred to ESC w/authority
	166/038-01-2012	Northeast SCC	Johnson City Downtown Center Renovation	1,500,000	Referred to ESC w/authority
	166/074-01-2013	TCAT - Murfreesboro	Nissan Education and Training Facility	37,300,000	Refer to ESC w/authority
12/16/2013					
	166/011-15-2013	TTU	Tech Village Renovations	11,130,000	Revise source of funding
	166/032-07-2012	Pellissippi SCC	Blount County Campus Fitness Trail	498,000	Revise funding to award contract
	166/038-01-2012	Northeast SCC	Johnson City Downtown Center Renovation	3,500,000	revise budget & funding
	166/074-01-2013	TCAT - Murfreesboro	Nissan Education and Training Facility	37,300,000	Approve award CM/GC

<u>Date</u>	<u>SBC Number</u>	<u>Institution</u>	<u>Project</u>	<u>Value</u>	<u>SBC Action</u>
01/09/2014	166/005-02-2013	ETSU	New Football Stadium	18,000,000	Rev budget & funding
	166/007-13-2012	UoM	Research Facilities Improvements	1,145,000	Rec'vd rpt CO #8 @ 12.47%
	166/009-03-2013	MTSU	Master Plan	350,000	Select consultant
	166/009-04-2007	MTSU	College of Education and Behavioral Science Bldg.	30,880,000	bid referred to ESC
	166/011-01-2009	TTU	Several Buildings Roof Replacements	2,400,000	Rec'vd rpt CO #3 @ 22.40%
	166/011-04-2012	TTU	Parking and Transportation Improvements	2,250,000	Rev budget & funding
	166/011-04-2013	TTU	Steam Plant Conversion	2,820,000	Revise scope, budget & source of funding
01/16/2014	166/033-02-2011	Southwest Tn CC	Union Campus Parking Structure	2,990,000	Rev budget & funding
	166/007-01-2014	UoM	CFA Museum HVAC Modifications	123,000	OSA Approval for SBC
01/21/2014	166/009-01-2014	MTSU	Demolition - 2310 Louise St.	32,000	Approve project
	166/009-04-2007	MTSU	College of Education and Behavioral Science Bldg.	30,915,000	Rev budget & funding to award
02/10/2014	166/009-06-2007	MTSU	Middle Tennessee Conference Center	1,280,000	Liquidation on Closure
	166/032-05-2013	Pellissippi SCC	Strawberry Plains Renovations	1,600,000	Select designer: Johnson Architecture, Inc.
02/13/2014	166/021-01-2014	Motlow SCC	Forrester Building Interior Updates	188,000	Project approval by OSA
	166/007-01-2014	UoM	CFA Museum HVAC Modifications	123,000	Report Threshold project
	166/007-02-2014	UoM	Wilder Tower Renovations	300,000	Appr acceptance of gift-in-place
	166/011-04-2011	TTU	Live and Learn Village Renovations	1,250,000	Rec'vd rpt C. O. #3 @ 13.16%
	166/012-01-2011	Chattanooga SCC	Property Acquisition and Renovation	16,550,000	Rev budget & funding
02/18/2014	166/025-01-2012	Volunteer SCC	Humanities Building	29,280,000	Approve award CM/GC
	166/021-02-2014	Motlow SCC	Athletic Fields Renovation	380,000	OSA approval for Threshold project
02/24/2014	166/001-02-2013	TSU	Utility Tunnel Stabilization	1,500,000	Select designer: Beaver Engineering, Inc.
	166/003-01-2014	APSU	Demolition of 806 Parham Drive	20,000	Approve Demolition
	166/011-01-2014	TTU	811 North Whitney Avenue Demolition	10,000	Approve Demolition
	166/023-03-2010	Walters SCC	Accessibility (ADA) Adaptations	109,717	Approved designer name change
	166/032-01-1996	Pellissippi SCC	Admin & Alexander Bldgs Renovations	5,275,000	Approve designer name change
	166/032-01-2011	Pellissippi SCC	East Campus Acquisition and Renovation	12,000,000	Approve designer name change
	166/032-08-2010	Pellissippi SCC	Security System Modernization	400,000	Approve designer name change

CONSTRUCTION CONTRACTS AWARDED

11/14/2013 to 03/05/2014

21 contracts totaling \$31,899,476.94

<u>Designer</u>	<u>Contractor</u>	<u>Contract Sum</u>	<u>Awarded</u>	<u>Project Number</u>	<u>Project Name / Institution</u>
Maffett Loftis Engineering, LLC	J. A. Sergio & Sons, Inc.	3,645,487.00	12/04/2013	166/011-01-2013	Warf/Ellington Residence Hall Upgrades TTU
Blankenship & Partners LLC	Yesco, LLC	983,948.86	12/11/2013	166/011-05-2012	Hooper Eblen Center Scoreboard Replacement TTU
Shaw & Shanks Architects, PC	S. B. White Company, Inc.	394,800.00	12/11/2013	166/038-01-2012B	Johnson City Downtown Center HVAC System Replacement Northeast SCC
Smith Seckman Reid, Inc. (Nashville)	Brasfield & Gorrie, LLC	9,749,263.37	01/06/2014	166/009-02-2012CM	Murphy Center HVAC Updates/Improvements MTSU
Engineering Services Group, Inc.	Demand Mechanical, LLC	106,599.00	01/09/2014	166/000-01-2010E6	HVAC upgrades TCAT - Athens
The Benefield Richters Company, Inc.	BurWil Construction Company, Inc.	1,089,000.00	01/10/2014	166/005-03-2011	CoM Buildings Exterior Updates ETSU
Community Tectonics Architects, Inc.	The Daniel Company Danco Inc.	216,000.00	01/10/2014	166/032-01-1996C	Admin & Alexander Bldgs Renovation Package 3 Pellissippi SCC
Ross/Fowler PC	K & F Construction, Inc.	406,500.00	01/13/2014	166/032-07-2012	Blount County Campus Fitness Trail Pellissippi SCC
Ross/Fowler PC	The Daniel Company Danco Inc.	196,000.00	01/14/2014	166/032-05-2012	Campus Settlement Repairs Pellissippi SCC
Gould Turner Group, P.C.	Kerry G. Campbell, Inc.	2,214,118.00	01/24/2014	166/009-09-2011	Cope Building Renovations MTSU
Johnson Johnson Crabtree Architects P.C.	Messer Construction Company	5,603,020.71	01/29/2014	166/034-01-2012CM	New Academic and Support Building Nashville SCC
BarberMcMurry architects LLC	The Tradesmen Group, Inc.	129,700.00	02/03/2014	166/032-01-2010A	SRC SRC Reroof & Several Buildings Exterior Repairs Pellissippi SCC
Allen & Hoshall, Inc.	Jaycon Development Corporation	507,500.00	02/05/2014	166/007-13-2012B	Manning Hall Research Facilities Improvements UoM
McGehee Nicholson Burke Architects, P.C.	R. L. Campbell Contracting Company, Inc.	1,690,136.00	02/05/2014	166/007-03-2008A	Campus-wide Access and Security Updates UoM
The Lewis Group Architects, Inc., P.C.	Eskola, LLC	3,380,000.00	02/06/2014	166/005-05-2012	Memorial Center Roof Replacement ETSU

<u>Designer</u>	<u>Contractor</u>	<u>Contract Sum</u>	<u>Awarded</u>	<u>Project Number</u>	<u>Project Name / Institution</u>
Wright Associates Technical Services (WATS), LLC	Demand Mechanical, LLC	74,882.00	02/06/2014	166/000-01-2010M7	Chiller Replacement TCAT - Pulaski
I.C. Thomasson Associates, Inc.	PPMI Construction Company	159,654.00	02/06/2014	166/009-09-2010E	Science Steam Line Replacement MTSU
Earl Swensson Associates/Centric Architecture, Inc	PBG Builders	374,550.00	02/13/2014	166/009-04-2007A	Ned McWherter LRC Room 101 Distance Conferencing Renovation MTSU
Engineering Services Group, Inc.	Cherry Creek Electric, Inc.	34,400.00	02/13/2014	166/000-01-2010E5	Electrical Updates TCAT - Livingston
OGCB Incorporated	Bluff City Fire Protection, Inc.	110,125.00	02/25/2014	166/000-01-2010W9	Aviation Chiller Replacements TCAT - Memphis
OGCB Incorporated	R. L. Campbell Contracting Company, Inc.	833,793.00	02/25/2014	166/007-04-2012A	Manning Hall & Psychology Building HVAC Updates UoM

Summary by Type of Contract									
Contracts Approved from November 16, 2013 to February 28, 2014									
<u>Dept./Institution</u>	<u>Amendment to Existing Contract</u>	<u>Clinical Affiliation</u>	<u>Dual Services</u>	<u>Professional Services</u>	<u>Service Agreement</u>	<u>Other</u>	<u>Contract Total</u>		
<u>TBR Offices</u>									
Academics	-	-	1	1	-	3	5		
RODP	1	98	-	-	-	4	103		
TBR Combined	5	-	2	3	5	4	19		
Subtotal	6	98	3	4	5	11	127		
<u>Institutions</u>									
APSU	-	-	-	-	-	-	-		
ETSU	-	-	-	-	-	3	3		
MTSU	-	-	-	-	-	5	5		
TSU	-	-	-	-	1	-	1		
TTU	-	-	-	-	-	1	1		
UOM	-	-	1	1	2	4	8		
ChSCC	-	-	-	-	-	3	3		
CISCC	-	-	-	-	-	-	-		
CoSCC	-	-	-	-	-	-	-		
DSCC	-	-	-	-	1	-	1		
JSCC	-	-	-	-	-	-	-		
MSCC	-	-	-	-	-	-	-		
NaSCC	-	-	1	-	-	1	2		
NeSCC	-	-	-	-	-	-	-		
PSCC	1	-	-	-	-	-	1		
RSCC	1	-	-	-	1	-	2		
STCC	-	-	-	-	1	-	1		
VSCC	-	-	-	-	-	-	-		
WSCC	-	-	-	-	-	-	-		
TTC Combined	-	-	2	2	-	12	16		
Subtotal	2	-	4	3	6	29	44		
Grand Total	8	98	7	7	11	40	171		

Summary by Type of Contract

Contracts Approved from November 16, 2012 to February 29, 2013

<u>Dept./Institution</u>	<u>Amendment to Existing Contract</u>	<u>Clinical Affiliation</u>	<u>Dual Services</u>	<u>Professional Services</u>	<u>Service Agreement</u>	<u>Other</u>	<u>Contract Total</u>
<u>TBR Offices</u>							
Academics	-	-	-	4	-	-	4
RODP	-	103	4	1	1	3	112
TBR Combined	3	-	4	1	5	7	20
Subtotal	3	103	8	6	6	10	136
<u>Institutions</u>							
APSU	-	-	-	-	-	1	1
ETSU	-	-	-	-	2	-	2
MTSU	1	-	-	-	2	1	4
TSU	-	-	-	-	-	2	2
TTU	-	-	-	1	2	2	5
UOM	-	-	-	-	4	1	5
ChSCC	-	-	-	-	-	1	1
CISCC	-	-	-	-	-	-	-
CoSCC	-	-	-	-	-	-	-
DSCC	-	-	-	-	-	-	-
JSCC	-	-	-	-	-	-	-
MSCC	-	-	-	-	-	-	-
NaSCC	-	-	2	-	-	1	3
NeSCC	-	-	-	-	-	-	-
PSCC	-	-	-	-	-	-	-
RSCC	-	-	-	-	-	-	-
STCC	-	-	-	-	-	-	-
VSCC	-	-	-	-	-	-	-
WSCC	-	-	-	-	-	2	2
TTC Combined	-	1	-	-	2	15	18
Subtotal	1	1	2	1	12	26	43
Grand Total	4	104	10	7	18	36	179

Tennessee Board of Regents

Contracts Approved November 16, 2013 through February 28, 2014

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
103729	Cooperative Agreement	University of Tennessee Martin	Academics	Cooperative Educational Offerings	0.00	No	9/4/2013	12/31/2013	No
103730	Cooperative Agreement	University of Tennessee Chattanooga	Academics	Cooperative Educational Offerings	0.00	No	10/16/2013	12/31/2013	No
103724	Professional Service	Dr. Deborah Hawkins Lester	Academics	External Reviewer	2,000.00	No	1/16/2014	12/31/2014	No
103725	Dual Service	MTSU - Gregory Sedrick	Academics	Marketing	17,442.80	No	1/2/2014	12/31/2013	No
103787	License Agreement	ACT Inc.	Academics	Other	25,000.00	Yes	1/1/2014	1/31/2014	No
103402	Grant Agreement	Tennessee Department of Labor	TCAT Athens	Grant	244,376.00	No	10/1/2013	6/30/2014	No
103754	Hotel/Lodging Agreement	Fall Creek Falls State Park Inn	Internal Audit	Catering	2,882.11	No	10/9/2013	10/11/2013	No
103811	Hotel/Lodging Agreement	Montgomery Bell Inn & Conference Center	Internal Audit	Lodging and Meeting Space	11,286.00	No	10/1/2014	10/3/2014	No
103829	Service Agreement	Milek Media, LLC	Communications	Other - Services	1,500,000.00	No	2/1/2014	1/31/2015	Yes
103106	Service Agreement	Delevante Creative Design	Communications	Other - Services	300,000.00	No	2/22/2014	2/21/2015	Yes
103641	Grant Agreement	Tennessee Student Assistance Corporation	TCAT Crossville	Grant	46,400.00	No	8/15/2013	6/30/2014	No
103613	License Agreement	Pearson Education, Inc.	CSTCC	Computer Software License	440,000.00	No	8/1/2013	6/30/2014	No
102415	Lease Agreement	Hamilton County Department of Education	CSTCC	Lease of Space	33,866.00	No	1/1/2014	6/30/2017	No
103772	Use of Facilities	Bryan College	CSTCC	Lease of Space	0.00	No	1/1/2014	12/31/2014	No
103832	Service Agreement	Murray Guard, Inc. - security service	DSCC	Other - Services	125,000.00	Yes	3/1/2014	10/31/2018	Yes
103731	Dual Services Extra Compensation	Tennessee Board of Regents-Richard Woodward	TCAT Elizabethton	Teaching	1,226.80	No	9/3/2013	12/12/2013	No
103726	Purchase Agreement	Nashville Sporting Goods - sports apparel and equipment	ETSU	Other - Goods	400,000.00	Yes	11/15/2013	11/14/2018	Yes
103779	Banking Services	First Tennessee Bank NA	ETSU	Banking Services	32,538.26	No	1/1/2014	12/31/2018	Yes
103780	Banking Services	Elavon, Inc.	ETSU	Banking Services	92,400.00	No	1/1/2014	12/31/2018	Yes
102922	Amendment to Existing Agreement	Truescreen, Inc. - student background checks	General Council	Other - Services	0.00	Yes	1/1/2014	12/31/2014	Yes
103765	Service Agreement	Fringe Benefits Management Company	HR	Flexible Benefits	117,000.00	No	1/1/2014	12/31/2014	Yes
103381	Grant Agreement	Department of Labor and Workforce Development	TCAT Jackson	Grant	280,320.00	No	10/1/2013	6/30/2014	No
103614	Grant Agreement	Tennessee Student Assistance Corporation	TCAT Knoxville	Grant	75,400.00	No	8/15/2013	6/30/2014	No
103767	Advertising Agreement	Lamar Advertising	TCAT Knoxville	Advertising - Bulletin Board	4,800.00	No	1/1/2014	3/30/2014	No
103732	Software License	Elsevier	TCAT McMinnville	Other - Services	0.00	No	1/1/2014	12/31/2014	No

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
103733	Cooperative Agreement	Columbia State Community College	MTSU	Cooperative Educational Offerings	0.00	No	12/11/2013	11/30/2030	No
103734	Cooperative Agreement	Albany Technical College	MTSU	Cooperative Educational Offerings	0.00	No	1/1/2014	12/31/2044	No
103764	Cooperative Agreement	Columbia State Community College	MTSU	Cooperative Educational Offerings	0.00	No	1/1/2014	12/31/2044	No
103808	Cooperative Agreement	Columbia State Community College	MTSU	Cooperative Educational Offerings	0.00	No	2/1/2014	1/31/2044	No
103818	Cooperative Agreement	Nashville State Community College	MTSU	Cooperative Educational Offerings	0.00	No	2/1/2014	1/31/2044	No
103820	Clinical Affiliation	Dr. Malti Damani,MP,MD	Nursing/AH	Clinical Experience	0.00	No	2/5/2014	2/4/2019	No
103824	Clinical Affiliation	Dr Kenneth W Wood, MD LLC	Nursing/AH	Clinical Experience	0.00	No	2/6/2014	5/31/2014	No
103813	Clinical Affiliation	HCA Physician Services	Nursing/AH	Clinical Experience	0.00	No	1/30/2014	6/30/2014	No
103815	Clinical Affiliation	AMC Urgent Care	Nursing/AH	Clinical Experience	0.00	No	1/31/2014	1/30/2019	No
103816	Clinical Affiliation	Dr. John N. Laramore, MD	Nursing/AH	Clinical Experience	0.00	No	1/31/2014	1/30/2019	No
103757	Clinical Affiliation	Huntington Internal Medical Group	Nursing/AH	Clinical Experience	0.00	No	12/16/2013	12/15/2018	No
103759	Clinical Affiliation	Southern Tennessee Medical Center	Nursing/AH	Clinical Experience	0.00	No	12/17/2013	12/16/2018	No
103760	Clinical Affiliation	Dr. Kirk Brody,MD / PC	Nursing/AH	Clinical Experience	0.00	No	12/17/2013	12/17/2018	No
103762	Clinical Affiliation	Montgomery Pediatric Associates, P. A.	Nursing/AH	Clinical Experience	0.00	No	12/18/2013	12/17/2018	No
103769	Clinical Affiliation	All Care Medical Clinics	Nursing/AH	Clinical Experience	0.00	No	12/19/2013	12/18/2018	No
103770	Clinical Affiliation	Women's Health Associates	Nursing/AH	Clinical Experience	0.00	No	12/20/2013	12/19/2018	No
103771	Clinical Affiliation	OCH Regional Medical Center	Nursing/AH	Clinical Experience	0.00	No	12/23/2013	12/22/2018	No
103773	Clinical Affiliation	Las Vegas Gynecologic Oncology	Nursing/AH	Clinical Experience	0.00	No	1/2/2014	1/1/2019	No
103774	Clinical Affiliation	Berea Medical Laser Primary Care	Nursing/AH	Clinical Experience	0.00	No	1/2/2014	1/1/2019	No
103776	Clinical Affiliation	Verzosa and Ungab Internal Medicine	Nursing/AH	Clinical Experience	0.00	No	1/6/2014	1/5/2019	No
103777	Clinical Affiliation	CookeCountyHMA TennovaNewportMC	Nursing/AH	Clinical Experience	0.00	No	1/6/2014	1/5/2016	No
103782	Clinical Affiliation	Clarksville Pulmonary and Critical Care	Nursing/AH	Clinical Experience	0.00	No	1/7/2014	1/6/2019	No
103783	Clinical Affiliation	Sunter Family Health Center	Nursing/AH	Clinical Experience	0.00	No	1/8/2014	1/7/2019	No
103799	Clinical Affiliation	Heritage Medical Assoc,PCdbaHeritage Women's Cent	Nursing/AH	Clinical Experience	0.00	No	1/23/2014	1/22/2019	No
103800	Clinical Affiliation	North Florida OB/GYN	Nursing/AH	Clinical Experience	0.00	No	1/24/2014	1/23/2019	No
103805	Clinical Affiliation	The Health Care Authority- Huntsville Hosp (HIT)	Nursing/AH	Clinical Experience	0.00	No	11/1/2013	11/30/2018	No
103806	Clinical Affiliation	Upper Cumberland Family Physicians	Nursing/AH	Clinical Experience	0.00	No	1/27/2014	1/26/2019	No
103807	Clinical Affiliation	All About You Urgent Clinic	Nursing/AH	Clinical Experience	0.00	No	1/27/2014	1/26/2019	No
103789	Clinical Affiliation	Mercy Community Healthcare	Nursing/AH	Clinical Experience	0.00	No	1/13/2014	1/12/2019	No
103790	Clinical Affiliation	Kids First Pediatrics	Nursing/AH	Clinical Experience	0.00	No	1/13/2014	1/12/2019	No
103793	Clinical Affiliation	Ortho Virginia	Nursing/AH	Clinical Experience	0.00	No	1/15/2014	1/14/2019	No
103794	Clinical Affiliation	Genesis Family Healthcare,LLC	Nursing/AH	Clinical Experience	0.00	No	1/16/2014	1/15/2019	No
103795	Clinical Affiliation	Dr. Albert S Callie, MD, PC	Nursing/AH	Clinical Experience	0.00	No	1/16/2014	1/15/2019	No
103796	Clinical Affiliation	Kiwi Pediatrics	Nursing/AH	Clinical Experience	0.00	No	1/17/2014	1/16/2019	No
103797	Clinical Affiliation	Parkway Cardiology Associates	Nursing/AH	Clinical Experience	0.00	No	1/17/2014	1/16/2019	No

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
103736	Clinical Affiliation	Faith Family Medical Clinic	Nursing/AH	Clinical Experience	0.00	No	11/26/2013	11/25/2018	No
103737	Clinical Affiliation	NHC/OP, LP (Statewide -HIT)	Nursing/AH	Clinical Experience	0.00	No	6/1/2012	5/31/2017	No
103697	Clinical Affiliation	Integrations and Internal Medicine	Nursing/AH	Clinical Experience	0.00	No	11/5/2013	11/4/2018	No
103698	Clinical Affiliation	OB/GYN Associates of Nashville	Nursing/AH	Clinical Experience	0.00	No	11/5/2013	11/4/2018	No
103699	Clinical Affiliation	Dr. Rodney C. Susong	Nursing/AH	Clinical Experience	0.00	No	11/7/2013	11/6/2018	No
103700	Clinical Affiliation	Jamestown Int Med dba Wharburg Primary Care	Nursing/AH	Clinical Experience	0.00	No	11/7/2013	11/6/2018	No
103701	Clinical Affiliation	Crockett Medical Clinic	Nursing/AH	Clinical Experience	0.00	No	11/8/2013	11/7/2018	No
103711	Clinical Affiliation	Fast Pace Urgent Care (Sparta)	Nursing/AH	Clinical Experience	0.00	No	11/12/2013	11/1/2018	No
103717	Clinical Affiliation	Southwest Women	Nursing/AH	Clinical Experience	0.00	No	11/20/2013	11/19/2018	No
103718	Clinical Affiliation	Dr. Bernard Manatu, PC	Nursing/AH	Clinical Experience	0.00	No	11/20/2013	11/19/2018	No
103719	Clinical Affiliation	Dekalb Medical Center	Nursing/AH	Clinical Experience	0.00	No	11/13/2013	11/12/2018	No
103720	Clinical Affiliation	Family Care of Chilhowie, PC	Nursing/AH	Clinical Experience	0.00	No	11/13/2013	11/12/2018	No
103721	Clinical Affiliation	Dr. G. Danny Kimberlin, M.D.	Nursing/AH	Clinical Experience	0.00	No	11/13/2013	11/12/2018	No
103727	Clinical Affiliation	Geary Community Hospital	Nursing/AH	Clinical Experience	0.00	No	11/22/2013	11/21/2018	No
103739	Clinical Affiliation	Cookeville Regional Medical Center	Nursing/AH	Clinical Experience	0.00	No	11/27/2013	11/26/2018	No
103740	Clinical Affiliation	Paintsville Pediatrics	Nursing/AH	Clinical Experience	0.00	No	12/2/2013	12/1/2018	No
103742	Clinical Affiliation	Physicians Regional Medical Center(TN)	Nursing/AH	Clinical Experience	0.00	No	12/4/2013	12/3/2018	No
103743	Clinical Affiliation	Chattanooga's Program in Women's Oncology	Nursing/AH	Clinical Experience	0.00	No	12/4/2013	12/3/2018	No
103385	Clinical Affiliation	Tunnel Hill Family Health Center	Nursing/AH	Clinical Experience	0.00	No	7/9/2013	7/31/2018	No
103748	Clinical Affiliation	Morgan Pediatric Group	Nursing/AH	Clinical Experience	0.00	No	12/9/2013	12/8/2018	No
103749	Clinical Affiliation	Miller Health Group	Nursing/AH	Clinical Experience	0.00	No	12/11/2013	12/10/2018	No
103752	Clinical Affiliation	Hometown Family Medical Clinic (Jamestown, TN)	Nursing/AH	Clinical Experience	0.00	No	12/11/2013	12/10/2018	No
103753	Clinical Affiliation	Wartrace Family Practice	Nursing/AH	Clinical Experience	0.00	No	12/11/2013	12/10/2018	No
103628	Clinical Affiliation	Centennial Medical Center	Nursing/AH	Clinical Experience	0.00	No	10/1/2013	10/1/2018	No
103630	Clinical Affiliation	Mercy Clinic East	Nursing/AH	Clinical Experience	0.00	No	12/13/2013	12/12/2018	No
103634	Clinical Affiliation	Summit View of Lake City	Nursing/AH	Clinical Experience	0.00	No	9/27/2013	9/26/2018	No
103640	Clinical Affiliation	OB/GYN Center of Excellence	Nursing/AH	Clinical Experience	0.00	No	10/1/2013	9/30/2018	No
103133	Clinical Affiliation	Orange Grove Center Primary Healthcare Services	Nursing/AH	Clinical Experience	0.00	No	11/20/2013	11/19/2018	No
103184	Clinical Affiliation	Rutherford Regional Health Sys Phys Practices (NC)	Nursing/AH	Clinical Experience	0.00	No	11/20/2013	11/19/2018	No
103293	Clinical Affiliation	HIT&MSN Memorial Health CareSystem(Chattanooga)	Nursing/AH	Clinical Experience	0.00	No	8/1/2013	7/31/2018	No
103361	Clinical Affiliation	Rural Health Consortium(multiple sites)	Nursing/AH	Clinical Experience	0.00	No	NA	1/1/2018	No
103373	Clinical Affiliation	Pikeville Medical Center(VariousKentuckyLocations)	Nursing/AH	Clinical Experience	0.00	No	7/1/2013	6/30/2018	No
103378	Clinical Affiliation	Blount Memorial Physicians dba East Tenn Medical G	Nursing/AH	Clinical Experience	0.00	No	7/3/2013	7/31/2018	No
103649	Clinical Affiliation	Charleston Area Medical Center	Nursing/AH	Clinical Experience	0.00	No	10/8/2013	10/7/2018	No

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
103656	Clinical Affiliation	S R Medical Services	Nursing/AH	Clinical Experience	0.00	No	11/26/2013	11/25/2018	No
103661	Clinical Affiliation	Powell Pediatrics	Nursing/AH	Clinical Experience	0.00	No	10/11/2013	10/10/2018	No
103691	Clinical Affiliation	Dr. Abraham Phillips	Nursing/AH	Clinical Experience	0.00	No	10/31/2013	10/30/2018	No
103673	Clinical Affiliation	Shawnee County Health Agency	Nursing/AH	Clinical Experience	0.00	No	10/22/2013	10/21/2018	No
103674	Clinical Affiliation	Perrigin Medical	Nursing/AH	Clinical Experience	0.00	No	10/22/2013	10/21/2018	No
103676	Clinical Affiliation	Merit Medical Group	Nursing/AH	Clinical Experience	0.00	No	10/23/2013	10/22/2018	No
103678	Clinical Affiliation	Baptist Memorial Medical Group, Inc(Memphis)	Nursing/AH	Clinical Experience	0.00	No	11/1/2013	10/31/2018	No
103683	Clinical Affiliation	Premier Orthopaedics and Sports Medicine	Nursing/AH	Clinical Experience	0.00	No	10/25/2013	10/24/2018	No
103685	Clinical Affiliation	Harrogate Family Practice & Cumberland Gap	Nursing/AH	Clinical Experience	0.00	No	1/2/2014	1/1/2015	No
103686	Clinical Affiliation	St. Mary's Legacy Clinic	Nursing/AH	Clinical Experience	0.00	No	10/29/2013	10/28/2018	No
103687	Clinical Affiliation	Dr. Charles E. Leonard ,M.D.	Nursing/AH	Clinical Experience	0.00	No	10/29/2013	10/28/2018	No
103688	Clinical Affiliation	Canson Medical Group	Nursing/AH	Clinical Experience	0.00	No	10/29/2013	10/28/2018	No
103689	Clinical Affiliation	BJC Health Care Physician Grps	Nursing/AH	Clinical Experience	0.00	No	10/30/2013	10/29/2019	No
102787	Clinical Affiliation	Northrest Physician Services(Multiple Sites)	Nursing/AH	Clinical Experience	0.00	No	10/4/2012	10/3/2017	No
102816	Clinical Affiliation	Cleveland TN Hosp. Corp LLC dba Skyridge Med Centre	Nursing/AH	Clinical Experience	0.00	No	10/17/2012	10/31/2017	No
102899	Clinical Affiliation	Fast Pace Medical - Multiple Sites	Nursing/AH	Clinical Experience	0.00	No	11/14/2012	11/13/2017	No
102464	Clinical Affiliation	Pediatrics at Brookstone Centre	Nursing/AH	Clinical Experience	0.00	No	10/22/2013	10/21/2018	No
102568	Clinical Affiliation	Highland Pediatric (Hixson)	Nursing/AH	Clinical Experience	0.00	No	11/6/2013	11/5/2018	No
103407	Clinical Affiliation	Medical Care, PLLC(Johnson City)	Nursing/AH	Clinical Experience	0.00	No	7/17/2013	7/16/2018	No
103541	Clinical Affiliation	Community Medical Care	Nursing/AH	Clinical Experience	0.00	No	9/10/2013	9/9/2018	No
103542	Clinical Affiliation	Lipscomb University	Nursing/AH	Clinical Experience	0.00	No	9/10/2013	9/9/2018	No
103543	Clinical Affiliation	Top Care Clinic	Nursing/AH	Clinical Experience	0.00	No	9/10/2013	9/9/2018	No
103575	Clinical Affiliation	Decatur Pediatric Group, P.A.	Nursing/AH	Clinical Experience	0.00	No	9/13/2013	9/12/2014	No
103576	Clinical Affiliation	Georgia Long Term Care and Consulting	Nursing/AH	Clinical Experience	0.00	No	9/13/2013	9/12/2018	No
103579	Clinical Affiliation	Texas Medical and Geriatric Center	Nursing/AH	Clinical Experience	0.00	No	9/16/2013	9/15/2018	No
103582	Clinical Affiliation	Family Practice -Dr. Latella	Nursing/AH	Clinical Experience	0.00	No	9/17/2013	9/16/2018	No
103586	Clinical Affiliation	Beverly Park Place/ Hillcrest Healthcare	Nursing/AH	Clinical Experience	0.00	No	1/16/2014	1/15/2019	No
103587	Clinical Affiliation	The Woman's Clinic	Nursing/AH	Clinical Experience	0.00	No	9/18/2013	9/17/2018	No
103589	Clinical Affiliation	Stones River Hospital (HIT)	Nursing/AH	Clinical Experience	0.00	No	9/1/2013	8/30/2018	No
103590	Clinical Affiliation	DeKalb Community Hospital (HIT)	Nursing/AH	Clinical Experience	0.00	No	9/1/2013	8/30/2018	No
103599	Clinical Affiliation	St. Francis Health Center Medical Partners	Nursing/AH	Clinical Experience	0.00	No	9/23/2013	9/22/2018	No
103600	Clinical Affiliation	Dr. Michael S. Powell	Nursing/AH	Clinical Experience	0.00	No	9/23/2013	9/22/2018	No
103605	Clinical Affiliation	Kidzcare Pediatrics Ilc	Nursing/AH	Clinical Experience	0.00	No	9/23/2013	9/22/2018	No
103608	Clinical Affiliation	Cumberland Medical Center	Nursing/AH	Clinical Experience	0.00	No	9/23/2013	9/22/2018	No
103690	Advertising Agreement	Lamar Advertising	TCAT Nashville	Advertising - Bulletin Board	9,850.00	No	11/1/2013	10/31/2014	No

Contract ID	Contract Type	Contractor	Dept./Institution	Commodity	Yearly Amount	System-wide	Start Date	End Date	Competitive
101842	Banking Services	First Tennessee Bank	NSSC	Banking Services	145,000.00	No	1/12/2014	1/11/2015	Yes
103831	Dual Services Extra Compensation	Tennessee Board of Regents-Pat Couch	NSSC	Personnel	3,150.00	No	1/6/2014	5/12/2014	No
103843	Dual Service	Pellissippi State Community College	OESI	Training	1,300.00	No	2/17/2014	6/30/2014	No
103836	Dual Service	Walters State Community College	OESI	Training	1,300.00	No	2/17/2014	6/30/2014	No
103817	Professional Service	TTU - Business Media Center	OESI	Marketing	25,000.00	No	3/12/2012	6/30/2012	No
103746	Professional Service	East Tennessee State University Emerging Technology	OESI	Other - Services	25,000.00	No	12/15/2013	6/30/2015	No
103766	Professional Service	US Education Delivery Institute	OESI	Other - Services	63,000.00	No	1/1/2014	12/31/2014	No
102934	Amendment to Existing Agreement	Department of General Services	PSSC	Lease of Space	700,000	No	5/1/2013	4/30/2018	No
103383	Grant Agreement	Department of Labor and Workforce Development	TCAT Ripley	Grant	201,356.00	No	10/1/2013	6/30/2014	No
103722	Subscription Agreement	Fitzgerald Health Education Association	RODP	Other	93,000.00	No	5/27/2014	5/26/2015	No
103007	Software License	AHIMA	RODP	Computer Software License	2,200.00	No	1/1/2014	12/31/2014	No
102279	Amendment to Existing Agreement	Desire2Learn, Inc.	RODP	Computer Software	2,300,000.00	Yes	1/1/2014	12/31/2014	No
102733	Subscription Agreement	Elsevier Inc d/b/a Elsevier /MC Strategies	RODP	Other	3,375.00	No	10/26/2012	10/25/2015	No
102925	Software License	BocaVox, LLC	RODP	Computer Software License	300,000.00	No	1/1/2014	12/31/2014	Yes
100868	Amendment to Existing Agreement	GCA Services Group - contract extension until new agreement finalized	RSCC	Custodial Services	388,327.00	Yes	11/1/2008	3/31/2014	Yes
103802	Service Agreement	GCA Services Group	RSCC	Custodial Services	396,755.00	Yes	3/1/2014	2/28/2019	Yes
103702	Dual Service	TBR-Gary Storts	TCAT Savannah	Teaching	1,352.97	No	9/3/2013	12/31/2013	No
103758	Service Agreement	Konica Minolta - copier rental	STCC	Other - Services	99,840.04	Yes	1/1/2014	6/30/2014	Yes
103798	Banking Services	First Tennessee Bank	TBR	Banking Services	14,000.00	No	2/1/2014	1/31/2019	Yes
103744	Subscription Agreement	Elsevier, B.V.	TBR	Other - Services	2,473,271.00	Yes	1/1/2014	12/31/2014	No
100926	Service Agreement	Fringe Benefits Management Company	TBR	Flexible Benefits	117,083.40	Yes	1/1/2013	12/31/2013	Yes
101477	Amendment to Existing Agreement	Staples Contract & Commercial, Inc.	TBR	Office Supplies	12,500,000.00	Yes	3/1/2014	2/28/2015	Yes
101498	Amendment to Existing Agreement	Pomeroy IT Solutions	TBR	Computer Hardware and Peripherals	4,000,000.00	Yes	3/1/2014	2/28/2015	Yes
102326	Amendment to Existing Agreement	Flegal Insurance, Inc. - insurance for truck driving instruction program	TBR	Insurance	81,192.00	No	1/5/2014	1/4/2015	Yes
101991	Amendment to Existing Agreement	Wiley Subscription Services, Inc.	TBR	Other - Services	46,285.03	Yes	1/1/2014	12/31/2015	No
103693	Service Agreement	Educational Testing Service	TBR	Other - Services	0.00	Yes	1/1/2014	12/31/2018	No
103755	Service Agreement	GCA Services Group	TSU	Custodial Services	616,626.00	Yes	1/2/2014	6/30/2018	Yes

**REPORT OF THE
COMMITTEE ON FINANCE AND BUSINESS OPERATIONS
SPECIAL CALLED MEETING**

February 13, 2014

The Committee on Finance and Business Operations met in a special called session by teleconference on February 13, 2014, at 2 p.m. Central Time.

A quorum was present and the meeting was called to order by Chairman Farris.

Regent Farris stated the purpose of the meeting was to begin discussion of institutional requests for changes in mandatory and incidental fees and development of a maintenance fee and tuition recommendation for the 2014-2015 academic year. No action was being requested from the Committee since the meeting was for information purposes only.

The planned dates for consideration of requests for mandatory and incidental fees were presented as follows:

- **January 13, 2014** - Fee proposals from schools due to System Office
- **February 13, 2014** – (Telephonic Meeting) - represents initial discussion of mandatory and incidental fees, process, timetable, and review of institutional requests for fee changes. Meeting goal is to familiarize members with timetable, provide an overview of both existing fees and fee change requests, and identify questions or concerns with proposals.
- **March 11, 2014** – Committee Meeting (in conjunction with Committee Chairs meeting) that focuses on staff recommendations. After deliberation, Committee acts to either adopt staff recommendations, modify then adopt, or defer action and ask that an additional committee meeting be convened prior to the March 28th Board meeting.
- **March 28, 2014** – Board meeting. Full Board considers recommendations of the Committee on Finance and Business Operations.

Committee members were provided with an overview of the Governor's proposed budget recommendations. Included in the overview was the following information for each institution:

- 2013-14 appropriation
- Recommended 2014-15 appropriation
- An analysis of recurring changes

Mandatory and Incidental Fee Requests – Vice Chancellor Sims presented an overview of fee requests and selected fees were reviewed. The meeting provided an opportunity for Committee members to ask questions about specific fee requests and to express any concerns or reservations about proposed increases. Vice Chancellor Sims stated there will be continued conversations with institutions prior to the March 11 Committee meeting.

Discussion materials for the meeting are included as an attachment to the official copy of this report.

There being no further business to come before the Committee, the meeting adjourned.

Respectfully submitted,

COMMITTEE ON FINANCE
AND BUSINESS OPERATIONS

John Farris, Chair

REPORT OF THE COMMITTEE ON AUDIT

March 11, 2014

The Committee on Audit met in regular session on March 11, 2014. The meeting was held at the TBR system office in Nashville, Tennessee. A quorum was present.

The following Audit Committee members were present:

Regent Tom Griscom, Chairman
Regent Fran Marcum
Regent Parker Smith
Regent John Stites
Regent John Farris
Regent Greg Duckett (by phone)

Other board members in attendance were:

Regent Emily Reynolds
Regent Ashley Humphrey
Regent Danni Varlan
Regent Deanna Wallace
Regent Robert Thomas
Regent Jonas Kisber (by phone)

TBR staff present were:

Chancellor John Morgan
Vice Chancellor Dale Sims
General Counsel Mary Moody
Tammy Birchett
Linda Ciprich
Jim Sorrell
Sonja Mason

Tom Danford
Bob Wallace
Monica Greppin-Watts
Matthew Gann

The first section, the Consent Agenda, included one item, Review of Annual Risk Assessments for the Tennessee Colleges of Applied Technology. The Committee voted to approve the Consent Agenda.

The second section, Informational Reporting, included four items. Item II.a., Review of Comptroller's Office Audit Reports, included five financial and compliance audit reports, the Performance Audit on the Tennessee Board of Regents dated January 2014, and seven NCAA reports issued by the Comptroller of the Treasury during the last quarter. The financial and compliance reports for East Tennessee State University (ETSU) for the fiscal year end June 30, 2013, Middle Tennessee State University (MTSU) for the fiscal year end June 30, 2013 and Southwest Tennessee Community College (STCC) for the fiscal years ended June 30, 2010 and June 30, 2011 had no findings. The financial and compliance reports for Austin Peay State University (APSU) for the fiscal year ended June 30, 2013 had three findings and

Tennessee Technological University (TTU) for the year ended June 30, 2012 had two findings.

The Performance Audit report on the Tennessee Board of Regents, based on the state's Governmental Entity Review Law, included nine findings. A Report of Corrective Actions regarding these findings was provided to the Audit Committee and each finding and the current status of corrective actions were discussed. The Committee requested that the Report of Corrective Actions be provided each quarter until the findings are resolved. The Chancellor noted that the TBR System was recommended for a four year extension but that legislation was pending.

The Comptroller's Office also issued agreed-upon procedures reports regarding NCAA Intercollegiate Athletic Programs for the system's six universities for the Fiscal Year Ended June 30, 2013. An agreed-upon procedures report regarding NCAA Intercollegiate Athletic Programs for Austin Peay State University for the Fiscal Year Ended June 30, 2012 was also issued.

A summary of the Comptroller's audits is included as Attachment A to these minutes. This item was for informational purposes and required no action.

Item II.b., Review of Internal Audit Reports, included internal audit reports issued by the system internal auditors during the last quarter. The Director of System-wide Internal Audit discussed three audit reports with the Committee: Tennessee Technological University, *Personnel*; Northeast State Community College, *Academic Advising*; and Volunteer State Community College, *International Education Fee*.

A list of the audits issued during the quarter is included as Attachment B to these minutes. This item was for informational purposes and required no action.

Item II.c., Review of CCTA Funding Formula Audits of Progression Data, included internal audit reports on each of the six universities and the 13 community colleges for the academic reporting period from Summer 2011 through Spring 2012. The Director of System-wide Internal Audit summarized the matters noted in these reports. The audits found that institutional internal controls were

generally adequate and that data submitted was substantially accurate. However, the audits did identify several matters that should be further evaluated by TBR Office of Research and Assessment in consultation with the Tennessee Higher Education Commission. These issues do not appear to cause significant differences in the formula data but TBR should consider whether procedures should be revised to further minimize the risk of data errors or whether the risk from these matters is at an acceptable level. A summary of the matters noted is included as Attachment C. This item was for informational purposes and required no action.

Item II.d., Update on Information Systems Audits, provided a progress report to the Audit Committee regarding the Information Systems audits in progress and those scheduled for the remainder of the fiscal year. Fieldwork has been completed for four audits and reports are being developed. Director Birchett commented on some of the Information Technology recommendations included in a draft report recently provided to TBR system administration; the items mentioned included development of a Board policy on an information security

program which would encompass an employee training program and consideration of an Information Security Officer. In addition, the Director recommended the Board review the current governance structure for Information Technology to consider having the Chief Information Officer report to a Board committee, similar to other key system office functions. This item was for informational purposes and required no action.

Item III, Review of Revisions to Fiscal Year 2014 Internal Audit Plans, presented the committee with revised audit plans as of January 31, 2014. The Director commented that most of the revisions for the current period were made because of new higher priority issues. The Committee voted to approve the revised audit plans. The revised audit plans are included as attachment D to these minutes.

There being no further public business to come before the Committee, the public portion of the meeting was adjourned.

The last agenda item was a non-public executive session to discuss ongoing investigations.

There being no further business to come before the Committee, the executive session was adjourned.

Respectfully submitted,
Committee on Audit

Tom Griscom
Committee Chair

Attachment A

**Tennessee Board of Regents
Audit Committee
March 11, 2014**
*Review of Comptroller's Office Audit Reports
Financial and Compliance Audits—No Findings Reported*

Institution	For the Years Ended	Fairness of Financial Statement Presentation	Report on Internal Control	Report on Compliance	Findings
East Tennessee State University	June 30, 2013	Unmodified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	0
Middle Tennessee State University	June 30, 2013	Unmodified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	0
Southwest Tennessee Community College	June 30, 2011 and June 30, 2010	Unqualified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	0

**Tennessee Board of Regents
Audit Committee
March 11, 2014**

*Review of Comptroller's Office Audit Reports
Financial and Compliance Audits—Findings Reported*

Page 1 of 2

Institution	For the Year Ended	Fairness of Financial Statement Presentation	Report on Internal Control	Report on Compliance	Findings
Austin Peay State University	June 30, 2013	Unmodified Opinion	Three findings were identified as material weaknesses	No instances of noncompliance required to be reported	3

Finding 1 – As noted in the prior audit, the institution needs to improve its system of internal control for the preparation of the financial statements.

Control deficiencies resulted in these significant reporting errors in the university's financial statements. The audited statements and notes as well as information included in MD&A were corrected.

- The unaudited statement of net position incorrectly reported unrestricted net position of \$4,159,484 as restricted net position – expendable for debt service.
- The Executive Director of University Advancement misclassified one of 14 endowments tested (7.1%) as a true endowment rather than a quasi-endowment. As a result, restricted nonexpendable net position was overstated and restricted expendable net position was understated by \$456,603 on the statement of net position at June 30, 2013.

Management's Comment – Management concurred and stated corrective actions include training in the areas noted, internal meetings on new accounting pronouncements and review and adjustment to the year-end financial statement preparation schedule to allow more time for review.

Finding 2 – The university did not properly report gifts pledged to its foundation.

- The Office of University Advancement did not include a pledge with a future start date in its listing of outstanding pledges, resulting in a pledge of \$330,000 annually for life beginning in 2016 not being reported. As a result, pledges receivable and gifts and contributions revenue were understated by \$2,486,273, the discounted present value of the gift.
- A gift of \$10,000,000, placed in an irrevocable trust in the foundation's name to be paid upon the donor's death, was not reported in the financial statements and included as a bequest rather than an irrevocable trust. As a result, pledges receivable and additions to permanent endowments were understated by \$5,050,680, the discounted present value of the gift.
- One of six pledges receivable tested (16.7%) had been paid by the donor prior to June 30, 2013. Because the pledge was paid with a land donation instead of cash, the Office of University Advancement did not reduce the receivable, causing the pledges receivable and gifts and contributions to be overstated by \$167,195.

Management's Comment – Management concurred and stated review by the Office of University Advancement and the Assistant Vice President of Finance will be performed to ensure all pledges are accurately presented.

Tennessee Board of Regents
Audit Committee
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Review of Comptroller's Office Audit Reports
Financial and Compliance Audits—Findings Reported
Page 2 of 2

Finding 3 – The university did not provide adequate information technology controls over the Banner computer system.

Management allowed four conditions that were in violation of university policy and/or industry-accepted best practices. The lack of proper information technology controls across the university's computing environment increases the risk of unauthorized system activity, including fraud or error. Specific vulnerabilities were not identified to protect the university from exploitation of the university's systems.

Management's Comment – Management concurred with the finding and is in the process of identifying and implementing a corrective action plan to address the items detected by State Audit.

Internal Audit Follow-Up: An internal audit follow-up report on these findings will be presented to the Audit Committee at a subsequent meeting.

Tennessee Board of Regents
Audit Committee
March 11, 2014
Review of Comptroller's Office Audit Reports
Financial and Compliance Audits—Findings Reported

Institution	For the Year Ended	Fairness of Financial Statement Presentation	Report on Internal Control	Report on Compliance	Findings
Tennessee Technological University	June 30, 2012	Unqualified Opinion	No material weaknesses identified	No instances of noncompliance required to be reported	2
<p>Finding 1 – The university did not routinely compare commission receipts with the food services contract to ensure compliance, resulting in the university not recording revenues of approximately \$825,000 over the course of four years.</p> <p>The vendor contract providing food services gives the university the right to collect a commission on the funds collected. For the fiscal year ended June 30, 2012, the fourth year of the contract, auditors found the calculations were not made in accordance with the terms of the contract. As a result, the vendor did not remit \$825,900 that the university earned during the first four years of the contract. Revenues for fiscal year ended June 30, 2012 were understated by \$235,203. Revenues for the previous three fiscal years were understated by \$590,697. An audit adjustment was made to increase beginning net assets and to recognize a receivable for \$825,900 and the understated revenue for the year ended June 30, 2012.</p> <p>Management's Comment – Management concurred and indicated procedures have been put into place to provide contract monitors with the most recent contracts available. Also, commissions in addition to the guarantee will be calculated using a software program, RevenueVision. Arrangements were made with the vendor to collect the additional commissions.</p> <p>Finding 2 – The university did not provide adequate access controls over the Banner computer system, which increased the risk of fraud or error.</p> <p>Management allowed two conditions in violation of university policy and/or industry-accepted best practices. The lack of proper information technology controls across the university's computing environment increases the risk of unauthorized system activity, including fraud or error. Specific vulnerabilities were not identified to protect the university from exploitation of the university's systems.</p> <p>Management's Comment – Management concurred and is implementing a corrective action plan. The risks noted in the finding have been documented in the university's risk assessment, including controls that mitigate the risks and identifies the staff responsible for those controls.</p>					
<p><i>Internal Audit Follow-Up: An internal audit follow-up report on these findings will be presented to the Audit Committee at a subsequent meeting.</i></p>					

Tennessee Board of Regents
Audit Committee
March 11, 2014
Review of Comptroller's Office Audit Reports
Performance Audit—Findings Reported
Page 1 of 2

Performance Audit – January 2014

Introduction – The Comptroller's Office conducted a performance audit of the Tennessee Board of Regents under Section 4-29-111 of *Tennessee Code Annotated*, the Governmental Entity Review Law, to aid the Joint Government Operations Committee of the General Assembly in determining whether the Tennessee Board of Regents should be continued, restructured, or terminated. The board is scheduled to terminate June 30, 2014; in a hearing on February 10, 2014, the Committee recommended continuing the TBR system for four years.

Findings

1 – The Office of System-wide Internal Audit has not conducted audits of funding formula data submitted by Tennessee Board of Regents institutions.

2 – Tennessee Board of Regents universities need to develop monitoring systems to ensure that transfer students obtain all allowable college credit for all transferable courses.

3 – Not all Tennessee Transfer Pathways have been put in place, as required by the Complete College Tennessee Act of 2010.

4 –TBR institutions need to improve how they publicize the Tennessee Transfer Pathways (TTP) on their websites.

5 – Not all required dual-admission agreements between universities and community colleges are in place.

6 – Tennessee Board of Regents universities and community colleges have not included General Counsel recommended provisions in foundation agreements.

7 – The foundations affiliated with the Tennessee Board of Regents universities and community colleges failed to disclose in-kind services provided by those institutions.

8 – Tennessee Board of Regents institutions have emergency preparedness plans, but additional steps should be taken to ensure campus community safety.

9 – Because the background checks for housing staff applicants conducted by the Tennessee Board of Regents universities are not based on fingerprint submissions and fingerprint procedures are not consistent with statute, the General Assembly may wish to consider amending the statute to clarify the type of background check and fingerprint procedures the universities should require.

Tennessee Board of Regents
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Review of Comptroller's Office Audit Reports
Performance Audit—Findings Reported
Page 2 of 2

Summary of Management's Comments: Management concurred with all of the findings except numbers 4 and 9; for these issues, management concurred in part. For Finding 4, management did not agree that the campus homepage is the appropriate location for the Tennessee Transfer Pathways link to appear and believes the better placement would be in locations where perspective or current students might search for information related to transferring courses. For Finding 9, management did not agree that TBR's interpretation of the statute, *Tennessee Code Annotated*, Section 49-7-149, is incorrect regarding the use of vendor-provided background checks instead of TBI or FBI background checks from fingerprints.

For each of the findings, management has implemented corrective actions to address the matters noted by the auditors and is monitoring the corrective actions routinely to ensure the matters are resolved.

Internal Audit Follow-Up: An internal audit follow-up report on these findings will be presented to the Audit Committee at a subsequent meeting.

Tennessee Board of Regents
Audit Committee
March 12, 2013
Review of Comptroller's Office Audit Reports
NCAA Agreed-Upon Procedures Review

**Review of Certain Agreed-upon Procedures Related to the Statement of
Revenues and Expenses of the Intercollegiate Athletic Programs**

The Comptroller of the Treasury, Division of State Audit, performs certain agreed-upon procedures each year to determine compliance with the National Collegiate Athletic Association's financial reporting requirements (NCAA Bylaw 3.2.4.16). The review includes certain procedures to determine the accuracy of information presented in each institution's Statement of Revenues and Expenses of the Intercollegiate Athletics Programs and the related Notes to that statement.

The auditors noted that amounts on the statements (1) agreed or reconciled to supporting records; (1) did not agree and were corrected; or (3) did not agree, but were not material and not corrected. Misstatements noted below were adjusted by the auditors. No other significant, unexplained or unusual matters were included in the reports.

For the year ended June 30, 2012:

Austin Peay State University

- Foundation funds totaling \$208,800 were misclassified by personnel but corrected for the final schedule.

For the year ended June 30, 2013:

Austin Peay State University

- Royalties, advertisements and sponsorship revenues included errors of unspecified amounts where revenues were recorded twice, misclassified as to type and one item that was not athletics related.
- Some endowment contributions were improperly reported as endowment income.
- Any significant differences in operating expenses were corrected.

East Tennessee State University – None

Middle Tennessee State University – None

Tennessee State University – None

Tennessee Tech University – None

University of Memphis

- Immaterial differences in indirect facilities and administrative support expenses and revenue were revised.

**Tennessee Board of Regents
Committee on Audit
March 11, 2014
Internal Audit Reports
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Internal Audits reviewed with the Committee

TTU	Personnel
NeSCC	Academic Advising
VSCC	International Education Fee

Internal Audit Reports for Informational Purposes

ETSU	Mobile Device Security
ETSU	IT Governance
ETSU	WETS-FM Radio
ETSU	Procurement Card Program
MTSU	Football Attendance Fall 2013
ChSCC	Equipment
ChSCC	Food Services
CISCC	NACHA Operating Rules
NeSCC	Data Security
PSCC	Faculty Credentials
TCAT Covington	Focused Operational Review
TCAT Crossville	Focused Operational Review
TCAT Hohenwald	Focused Operational Review
TCAT Oneida	Focused Operational Review
TCAT Shelbyville	Focused Operational Review

**Tennessee Board of Regents
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March 11, 2014
Internal Audit Reports
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Internal Audit Follow-Up Reports for Informational Purposes

TTU	Follow-Up to State Audit FYE June 30, 2012
UOM	Follow-Up to Sponsored Agreements Research
UOM	Follow-Up to Athletics Gifts-In-Kind
MSCC	Follow-Up to State Audit FYE June 30, 2011 and 2012
CoSCC	Follow-Up to State Audit FYE June 30, 2011 and 2012
VSCC	Follow-Up to State Audit FYE June 30, 2011 and 2012

Internal Audit Investigations for Informational Purposes

MTSU	Allegation of Unauthorized Removal of Topsoil
TSU	Falsification of Travel Expenses by Graduate Student
TSU	Allegation of IT Mismanagement
TSU	Allegation of Nursing Student Misconduct
UOM	Time Reporting Issues in Physical Plant
UOM	Time Reporting in Physical Plant
UOM	Misuse of Procurement Policies in Physical Plant
UOM	Possible Alteration of Documents for Meal Expenses
ChSCC	Enrollment Services Center Employee Incident

**Tennessee Board of Regents
Summary of CCTA Progression Audit Results
Reporting Period: 2011 – 2012**

Overview

The Complete College Tennessee Act of 2010 (the Act) charged the Tennessee Higher Education Commission (THEC) with developing a statewide master plan for the state's public higher education institutions and for directing those institutions to be accountable for increasing the educational attainment levels of Tennesseans. In implementing the plan, the Act requires that THEC use an outcomes-based model for making funding recommendations. The outcome measures identified for use in the funding formula are different for universities and community colleges and are further distinguished by weighting the measures by institutional mission. The outcomes may be grouped into student progression, student completion (degrees and certificates awarded), efficiency measures and other important institutional factors.

Universities	Community Colleges
Students accumulating 24, 48 and 72 credit hours (Progression)	Students accumulating 12, 24 and 36 credit hours (Progression)
Research and Service Expenditures	Dual Enrollment Students
Bachelor and Associate Degrees	Associate Degrees and Certificates
Master and Ed Specialist Degrees	Workforce Training
Doctoral and Law Degrees	Job Placements
Degrees per 100 FTE	Awards per 100 FTE
Transfers Out with at least 12 Credit Hours	Transfers Out with 12 Credit Hours
Six-Year Graduation Rate	Remedial and Developmental Success

Each university and community college prepares end of term data files from Banner and provides them to the TBR Office of Research and Assessment where they files are compiled into academic year data files for THEC. At THEC, the data is combined for a three year average of student information for use in determining funding recommendations.

Because of the numerous data elements used in the formula, it was determined that audits would be performed in three phases.

<u>Data Elements</u>	<u>Scheduled Completion</u>
Progression and Dual-Enrollment Completions	February 2014 July 2014
Other (Transfers, Remedial & Developmental Success)	December 2014

The audits of progression and dual-enrollment (community colleges only) covered data from the 2011 – 2012 academic year. The objectives were to provide reasonable assurance that student enrollment data reported to THEC was accurate based on instructions provided by TBR and that student hours calculated for progression outcomes and unduplicated headcounts were accurate and supported by student records.

Summary of Results of Audits

The audits found that institutional internal controls were generally adequate and that data submitted was substantially accurate. However, the audits did identify several matters that should be further evaluated by TBR Office of Research and Assessment in consultation with the Tennessee Higher Education Commission. Based on the results of tests, these issues do not appear to cause significant differences in the formula data but TBR should consider whether procedures should be revised to further minimize the risk of data errors or whether the risk from these matters is at an acceptable level.

- There is an inherent risk of timing differences in certain limited instances that may cause inaccurate calculations of hours from one academic year to the next. Depending on the timing of the institution's posting of hours transferred in or a student's completion of course grades of Incomplete or repeated courses, THEC may not count a student progression or may count a progression twice.
- TBR uses a calculation for progression counts that was in place before the funding formula, but it is slightly different from the THEC Data Dictionary definition regarding the calculation since it includes graduate course hours for undergraduate students. The Data Dictionary issued by THEC does not indicate these hours should be included. THEC staff said the possibility of graduate hours for undergraduate students had not been considered in the formula definitions. The TBR, Office of Research and Assessment performed a test to search for undergraduate students who had graduate hours in the current year's formula data; they determined that only five of these students in the three years of data had crossed progression thresholds.
- TBR uses a calculation of age to identify those in the Adult Sub-population that differs from THEC's calculation, which causes a difference when comparing the data.
- One audit report noted there were issues with the sample data provided by TBR, Office of Research and Assessment and referred the matter to System-wide Internal Audit. The institution's Summer end of term report included data for the subsequent Fall term because the Summer term report was dated six months later than the end date of the Summer term. TBR Office of Research and Assessment is looking into this matter, but System-wide Internal Audit is also examining the data handling procedures used by the Office of Research and Assessment and will issue a report when it is completed. (University of Memphis)
- One audit report noted that because the school posted grades for two students after the end-of-term reporting deadlines, the hours did not count towards progression; the students were dual-enrolled high school students and the high-school's year-end occurred later than the college's, which may have contributed to the late posting. The report also noted a student missed a progression benchmark because of the design of the college's course numbering for certain courses. (Northeast State Community College)
- One audit report noted that for students reported to THEC with missing social security numbers, THEC creates a value to populate the social security field when counting the student. However, if the college submits a record with the valid social security number in a subsequent term, THEC counts the student a second time creating a duplicate headcount. (Volunteer State Community College)
- One audit report noted that hours for a branch campus for the Fall and Summer terms of the reporting period were not included in the data files provided to TBR, resulting in inaccurate hours reported. (Austin Peay State University)

Attachment D
Approved Internal Audit Plans
for the Fiscal Year Ended June 30, 2014
January 2014 Revisions

Austin Peay State University
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised 01/31/2014

Current	Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
								Percentage	Hours			Percentage	Hours		
	Required by TBR	R	SS	Funding Formula-Progression (2012 Data) ¹	200	325	325	63%	125	214	214	-34%	-111	March 2014	I
	Required by TBR	R	SS	Funding Formula-Completion (2013 Data) ¹	200	200	525	0%	-	5	219	-98%	-195	June 2014	I
	Required by Athletic Affiliate	R	AT	OVC Special Assi/Stud Athlete Opp Funds	125	125	650	0%	-	105	324	-16%	-20	August 2013	C
	Required by State Audit	R	FM	Cash Counts & Inventories ²	75	75	725	0%	-	10	334	-87%	-65	June 2014	I
	Required by State Audit	F	FM	State Audit Follow-Up ¹	100	100	825	0%	-	5	339	-95%	-95	February 2014	I
	Required by TBR	M	SS	Risk Assessment	150	150	975	0%	-	-	339	-100%	-150	May 2014	S
	Required by IA	P	IS	Quality Assessment Review	50	50	1025	0%	-	65	404	30%	15	August 2013	C
	Investigation	I	IA	Investigation 14-01	50	50	1075	0%	-	40	444	-20%	-10	July 2013	C
	Investigation	I	IS	Unscheduled Investigations	200	200	1275	0%	-	-	444	-100%	-200	TBD	S
	Special Request	S	AX	Higher Education Act Compliance	300	300	1575	0%	-	-	444	-100%	-300	June 2014	S
	Special Request	S	FM	UBIT and Sales Tax reporting	200	200	1775	0%	-	-	444	-100%	-200	June 2014	S
	Ongoing	P	FM	Procurement Card-Review ³	150	150	1925	0%	-	90	534	-40%	-60	Ongoing	I
	Ongoing	P	FM	Travel Claim Review-Ongoing ³	300	300	2225	0%	-	130	664	-57%	-170	Ongoing	I
	Carryforward	S	AT	Review of Athletic GIK ⁴	50	50	2275	0%	-	110	774	120%	60	August 2013	C
	Carryforward	S	FM	Review of Equity Calculation ⁴	50	50	2325	0%	-	75	849	50%	25	August 2013	C
	Consulting	C	IS	General Consultation ⁵	250	250	2575	0%	-	85	934	-66%	-165	June 2014	I
	1	A	PP	Emergency Preparedness	150	150	2725	0%	-	0	934	-100%	-150	June 2014	S

Estimate-Hours Available For Audits = 2485 (2 audit staff)

T--Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

¹ Audits in planning stages

² Hours represent previous fiscal year work

³ Audits in Progress

⁴ Additional hours required to complete

⁵ Budgeted hours represent multiple engagements

**East Tennessee State University
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014**

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Law	R	FM	President's Expenses (MTSU)	175	175	175	0%	-	131	131	-25%	-44	October 2013	C
Required by TBR	R	SS	Funding Formula-Progression (2012 Data)	200	200	375	0%	-	65	196	-68%	-136	February 2014	I
Required by TBR	R	SS	Funding Formula-Completion (2013 Data)	200	200	575	0%	-	0	196	-100%	-200	June 2014	S
Required by State Audit	R	FM	Cash Counts	40	40	615	0%	-	0	196	-100%	-40	June 2014	S
Required by CPB	R	FM	WETS-FM	250	250	865	0%	-	149	345	-40%	-101	December 2013	C
Required by Bank	R	IT	NACHA Web Transactions Data Security	125	125	990	0%	-	0	345	-100%	-125	May 2014	S
Required by State Audit	F	FM	State Audit Follow-Up (FN 3)	20	0	990	100%	(20)	0	345	100%	0	April 2014	R
	F	AD	Follow-Up Advancement Services/BASA	100	100	1090	0%	-	0	345	-100%	-100	June 2014	S
	F	IA	Follow-Up University School Student Accounts	100	100	1190	0%	-	0	345	-100%	-100	June 2014	S
	F	AX	Follow-Up Center for Physical Activity	100	100	1290	0%	-	27	371	-74%	-74	August 2013	C
	F	IA	Follow-Up Internal Medicine	75	75	1365	0%	-	57	428	-24%	-18	June 2014	I
	M	FM	Risk Assessment	40	40	1405	0%	-	0	428	-100%	-40	May 2014	S
	P	IS	Quality Assessment Review	100	100	1505	0%	-	44	472	-56%	-56	August 2013	C
Brought forward	I	IA	Investigation 12-04	20	20	1525	0%	-	1	473	-95%	-19	June 2014	I
Brought forward	I	IA	Investigation 12-06	100	100	1625	0%	-	119	592	19%	19	March 2014	I
Brought forward	I	IA	Investigation 13-01	40	40	1665	0%	-	29	621	-28%	-11	August 2013	C
Brought forward	I	IA	Investigation 13-02	100	100	1765	0%	-	14	634	-87%	-87	August 2013	C
Brought forward	I	IA	Investigation 13-03	120	120	1885	0%	-	141	775	18%	21	November 2013	C
Added - Investigation	I	FM	Investigation 14-01	300	300	2185	0%	-	457	1232	52%	157	February 2014	I
Added - Investigation	I	IA	Investigation 14-02	0	275	2460	-100%	275	109	1340	-61%	-167	March 2014	I
Brought forward	S	AT	Athletics Gift-In-Kind	200	200	2660	0%	-	203	1543	2%	3	August 2013	C
Brought forward	S	AT	NCAA Compliance	250	250	2910	0%	-	7	1550	-97%	-243	March 2014	I
Brought forward	S	FM	Procard	250	250	3160	0%	-	271	1821	8%	21	December 2013	C
Brought forward	S	FM	University School Student Activity Acct	10	10	3170	0%	-	8	1829	-25%	-3	July 2013	C
Added - Special Request	S	AT	Athletics - Deposit Controls	0	50	3220	-100%	50	4	1832	-93%	-47	March 2014	I
	P	IA	Assistance with TBR Auditors	0	0	3220	0%	-	16	1848	100%	16	Ongoing	I
	P	IT	PCI Compliance	125	125	3345	0%	-	68	1916	-46%	-57	Ongoing	I
	P	IT	Security Awareness	200	200	3545	0%	-	111	2027	-45%	-89	Ongoing	I
	C	IS	General Consultation	150	150	3695	0%	-	78	2105	-48%	-72	Ongoing	I
1T	A	IS	Natural History Museum	250	250	3945	0%	-	41	2146	-84%	-210	June 2014	I
1T	A	FM	Travel	250	250	4195	0%	-	72	2218	-71%	-178	After June 2014	I
1T (IT)	A	IT	Handheld Devices	225	225	4420	0%	-	92	2310	-59%	-133	March 2014	I
1T (IT)	A	IT	IT Governance	300	300	4720	0%	-	138	2447	-54%	-163	November 2013	C
2 (IT)	A	IT	Disaster Recovery Plan	225	225	4945	0%	-	46	2493	-80%	-180	May 2014	I
2T	A	SS	Financial Aid Administration (FN 2)	400	0	4945	100%	(400)	0	2493	100%	0		R
2T	A	FM	Payroll (FN 1)	0	0	4945	100%	-	0	2493	100%	0		R

Estimate-Hours Available For Audits = 4835 (4 audit staff)
T-Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

FN 1 - This risk based audit was removed from the audit plan due to the addition of an unexpected investigation (14-01.)
 FN 2 - This risk based audit was removed from the audit plan due to the addition of an unexpected investigation (14-02) and special request.
 FN 3 - This required audit was removed from the audit plan since no finding were contained in the State Audit Report.

Middle Tennessee State University
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Audit	R	FM	Cash Counts (5)	70	70	70	0%	-	111	111	59%	41	June 2014	I
Required by State Audit	R	FM	Year-End Inventories	350	290	360	-17%	(60)	187	298	-36%	-103	October 3, 2013	C
Brought Forward/Required by TBR	R	SS	Funding Formula-Progression 2012 Data	200	200	560	0%	-	104	402	-48%	-96	December 2013	I
Required by TBR	R	SS	Funding Formula-Completion 2013 Data	200	200	760	0%	-	-	402	-100%	-200	June 2014	S
Brought forward	P	IS	Quality Assessment Review	80	80	840	0%	-	71	473	-11%	-9	October 9, 2013	C
Required by TBR	M	IS	Risk Assessment	50	50	890	0%	-	-	473	-100%	-50	May 2014	S
	F	FM	State Audit Follow-Up or Assistance	50	50	940	0%	-	2	475	-96%	-48	June 2014	S
Required by NCAA	R	AT	Football Attendance Fall 2013	250	250	1190	0%	-	207	682	-17%	-43	February 2014	I
Management Request	P	FM	Special Reviews (Cash Shortage Reviews)	50	50	1240	0%	-	-	682	-100%	-50	June 2014	S
Consulting	C	FM	Assisting with President's Expense Audit	50	50	1290	0%	-	40	722	-20%	-10	June 2014	I
Consulting	C	IS	Research, Fraud Presentation, Etc.	100	100	1390	0%	-	103	825	3%	3	June 2014	I
New Consulting Project	C	IS	Blue Print Copy Shop	0	40	1430		40	11	836	-73%	-29	June 2014	I
Special Request	S	IS	Unscheduled Reviews & Investigations	300	0	1430	-100%	(300)	-	836		0	TBD	S
Brought forward	I	SS	Investigation L12-04 (1)	50	150	1580	200%	100	127	963	-15%	-23	September 2013	I
Brought forward	S	AT	Athletic Gift-in-Kind (2)	200	550	2130	175%	350	600	1563	9%	50	August 2013	I
Brought forward	I	IA	Investigation L13-01	50	50	2180	0%	-	-	1563	-100%	-50	September 2013	I
Brought forward	I	IA	Investigation L13-02 (3)	100	300	2480	200%	200	370	1933	23%	70	October 2013	I
Brought forward	I	IS	Investigation L13-03	120	120	2600	0%	-	2	1935	-98%	-118	November 2013	I
Brought forward	I	PP	Investigation L13-04	150	150	2750	0%	-	-	1935	-100%	-150	November 2013	I
New Investigation	I	FM	Investigation L14-01	0	70	2820		70	69	2004	-1%	-1	January 17, 2014	C
Follow-up	F	IT	Follow-up: Classroom Technology Review	60	60	2880	0%	-	42	2046	-30%	-18	September 2013	I
Follow-up	F	IA	Follow-up: Dance Program Review	60	60	2940	0%	-	0	2046	-100%	-60	January 2014	S
Follow-up	F	FM	Follow-up: Procurement Card Review	40	40	2980	0%	-	2	2048	-95%	-38	March 2014	S
1	A	AT	Athletic Concessions Revenue	220	220	3200	0%	-	0	2048	-100%	-220	February 2014	S
2	A	FM	Rental Property Management	220	220	3420	0%	-	0	2048	-100%	-220	March 2014	S
3T	A	FM	Food Service Commissions	220	220	3640	0%	-	0	2048	-100%	-220	April 2014	S
3T	A	AT	Athletic Camps and Clinics	220	220	3860	0%	-	0	2048	-100%	-220	May 2014	S
3T	A	AT	Athletics (Eligibility) (4)	200	0	3860	-100%	(200)	0	2048		0	June 2014	R
4T	A	RS	Research Sponsored Programs (4)	200	0	3860	-100%	(200)	0	2048		0	June 2014	R

Estimate-Hours Available For Audits = 3828 (4 audit staff). Cumulative Budget Hours not adjusted because available audit hours may increase if contract audit hours are not used for audit work with CoSCC and MSCC.

T-Tie

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status

C - Completed
I - In Progress
S - Scheduled, not Started
R - Removed

Footnotes:

- (1) Budget Hours increased to address additional work requested about one of the allegations.
- (2) Budget Hours increased to address problems found with contract monitoring and trade revenues.
- (3) Budget Hours increased to complete needed interviews of personnel.
- (4) Project removed because budget hours needed for GK review, special requests and investigations.
- (5) Additional hours used consulting with department about cash receiving procedures.

Tennessee State University
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised February 17, 2014

Current	Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
								Percentage	Hours			Percentage	Hours		
Required by State Law	R	FM		President's Expenses	120	120	120	0%	-	125	125	4%	5	October 2013	C
Required by TBR	R	SS		Funding Formula-Progression (2012 Data)	125	125	245	0%		115	240	-8%		December 2013	I
Required by TBR	R	SS		Funding Formula-Completion (2013 Data)	125	125	370	0%			240	-100%		June 2014	
Required by Athletic Affiliate	R	AT		NCAA Special Assistance Fund	125	125	495	0%		125	365	0%		September 2013	C
Required by State Audit	R	FM		Cash Counts	25	25	520	0%			365	-100%		June 2014	
Required by State Audit	F	FM		State Audit Follow-Up	175	175	695	0%		170	535	-3%		November 2013	C
	M	SS		Risk Assessment-Institutional Support	30	30	725	0%			535	-100%		May 2014	
	M	FM		Risk Assessment- Instruction	30	30	755	0%			535	-100%		May 2014	
	M	IS		Risk Assessment- Information Technology	30	30	785	0%			535	-100%		May 2014	
Required by TBR	P	IS		Athletic Gift-in-kind	150	150	935	0%		75	610	-50%		October 2013	C
Carry Forward	I	IA		Investigation 13-1008 (1)	100	100	1035	0%		125	735	25%		July 2013	C
Carry Forward	I	IS		Investigation 12-1010	20	20	1055	0%		7	742	-65%		September 2013	C
Carry Forward	S	AX		Investigation 13-1003	20	20	1075	0%		20	762	0%		March 2014	I
Carry Forward	C	IS		Investigation 13-1006	20	20	1095	0%			762	-100%		March 2014	
	A	FM		Quality Assessment Review	40	40	1135	0%		35	797	-13%		August 2013	C
	A	AD		Unscheduled Investigations	300	300	1435	0%		75	872	-75%		June 2014	
Special Request	A	IT		Ticket Office	175	175	1610	0%			872	-100%		February 2014	
Follow-up	A	IT		Follow-up Investigation 13-1008	75	75	1685	0%		25	897	-67%		March 2014	I
Consultation	A	AT		General Consultation	300	300	1985	0%		165	1062	-45%		June 2014	I
1	A	RS		Human Resources	225	225	2210	0%		185	1247	-18%		October 2013	I
2	A	IS		Evidence Room	150	150	2360	0%			1247	-100%		April 2014	S
3	A	FM		Information Technology	225	225	2585	0%			1247	-100%		April 2014	

Estimate-Hours Available For Audits = 2720 (2 audit staff)

T--Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

(1) This issue was more complex than originally estimated, and included unplanned consultation with State Audit.

**Tennessee Tech University
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014**

Current Rank	Type	Area	Audit	Previously Reported Budget	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Audit	R	FM	Inventory Observations (1)	100	100	100	0%	-	21	21	-79%	-79	August 2013	C
Required by TBR	R	SS	Funding Formula-Progression (2012 Data) (2)	150	200	300	33%	50	179.7	200.7	-10%	-20.3	February 2014	I
Required by TBR	R	SS	Funding Formula-Completion (2013 Data)	120	120	420	0%	-	0	200.7	-100%	-120	July 2014	S
Required by OVC	R	AT	Student Assistance Fund (3)	80	80	500	0%	-	44	244.7	-45%	-36	August 2013	C
Required by TBR	P	IS	Quality Assessment Review	75	75	575	0%	-	31.5	276.2	-58%	-43.5	August 2013	C
Required by TBR	F	FM	State Audit Follow-Up (5)	45	65	640	44%	20	36.5	312.7	-44%	-28.5	March 2014	I
Required by TBR	R	AT	Athletic Gift in Kind	100	100	740	0%	-	97.9	410.6	-2%	-2.1	October 2013	C
Required by TBR	M	FM	Risk Assessment-Financial Management	35	35	775	0%	-	6.5	417.1	-81%	-28.5	May 2014	I
Required by TBR	M	PP	Risk Assessment-Physical Plant	25	25	800	0%	-	5	422.1	-80%	-20	May 2014	I
Required by TBR	M	IS	Risk Assessment-Enterprise-wide	40	40	840	0%	-	0	422.1	-100%	-40	May 2014	S
Required by TBR	M	AT	Risk Assessment-Athletics	25	25	865	0%	-	14.5	436.6	-42%	-10.5	May 2014	I
	I	AD	Investigation 13-15 (4)	100	100	965	0%	-	87	523.6	-13%	-13	February 2014	I
	I	PP	Investigation 13-17 (6)	20	20	985	0%	-	6.5	530.1	-68%	-13.5	October 2013	C
	I	IS	Unscheduled Investigations (13)	400	170	1155	-58%	(230)	7.5	537.6	-96%	-162.5	June 2014	I
	C	IS	General Consultation	50	50	1205	0%	-	1.5	539.1	-97%	-48.5	June 2014	I
	P	FM	Procurement Card Reviews (4)(7)	190	190	1395	0%	-	38.5	577.6	-80%	-151.5	June 2014	I
	P	RS	Sponsored Program Review	100	100	1495	0%	-	0	577.6	-100%	-100	May 2014	S
	S	IT	Technology Access Fee (8)	150	150	1645	0%	-	116.5	694.1	-22%	-33.5	October 2013	C
	S	IS	Personnel (9)	50	90	1735	80%	40	81.4	775.5	-10%	-8.6	November 2013	C
	A	FM	PCIDSS (14)	150	150	1885	0%	-	0	775.5	-100%	-150	May 2014	S
1	A	RS	Research Procedures - labs, safety (10)	250	300	2185	20%	50	43.5	819	-86%	-256.5	April 2014	I
	F	AT	Athletic Gift in Kind Follow-Up (11)	0	15	2200	100%	15	12.4	831.4	-0.17	-2.6	February 2014	I
	P	IA	SACSCOC Reaccreditation Duties (12)	0	100	2300	100%	100	62.5	893.9	-0.38	-37.5	June 2014	I

Estimate-Hours Available For Audits = 2123 (2 full-time audit staff and one staff member with part-time audit/review responsibilities)

T--Tie

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status

C - Completed
I - In Progress
S - Scheduled, not Started
R - Removed

Footnotes:

- (1) Budget includes hours to be spent in May and June of 2014 for the 6-30-14 Inventory Observations audit. So even though the audit is completed, budgeted hours are used in the Plan Summary.
- (2) Budget has been increased by 50 hours because the preliminary took more hours than anticipated - also est. completion changed to Feb. first from Aug. (Aug was a mistake) and then from Dec. because samples were delayed.
- (3) SAF funds were not spent in the areas that normally take the most time to audit.
- (4) Changes necessary and/or variance because audit/review/project/investigation has begun but will not be completed until later in the fiscal year.
- (5) Est. completion changed because the state audit report was issued later than anticipated. The level of follow-up was more complex than anticipated requiring more hours.
- (6) Investigation was administratively closed, so an audit report was not necessary; therefore less time was needed to complete.
- (7) Original estimated completion date was a mistake.
- (8) Department replied quickly reducing number of required hours; this audit put before funding formula because of sample delay causing est. completion to go from Dec. to Oct.
- (9) It has been difficult to get and coordinate responses from various departments because of their workloads causing many more hours, increased budget, and delayed est. completion.
- (10) Preliminary work indicates that the lab safety review may be very decentralized, which will likely require a greater number of audit hours to complete.
- (11) Follow-up could not be scheduled until audit was complete and showed that one would be necessary. It was left off last revision.
- (12) Audit personnel were assigned to 2 committees for SACSCOC reaccreditation. This project will continue until September 2015.
- (13) Since significant hours for unscheduled investigations have not yet been expended, the budgeted hours have been reduced proportionate with the time left in the fiscal year.
- (14) Extensive administrative hours have been spent physically moving Internal Audit's office twice this fiscal year, which has delayed the estimated completion date for this audit.

University of Memphis
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
1	A	FM	Review of Internal Controls - Risk Assessment Footprint - Institutional Support	300	300	300	0%	-	206	206	69%	(94)	March 2014	I
1	A	FM	Review of Internal Controls - Risk Assessment Footprint - Student Enrollment Services [4]	300	250	550	20%	(50)	192	398	64%	(58)	March 2014	I
1 - Carryover from FY13	A	FM	Accounts Payable Operations/Compliance	160	160	710	0%	-	114	512	71%	(46)	August 2013	C
2	A	IA	School of Nursing	400	400	1110	0%	-	117	629	29%	(283)	April 2014	I
3	A	IT	PCI Compliance - Limited Scope	300	300	1410	0%	-	0	629			May 2014	S
15	A	AT	Athletics- Financial Aid Student Athletes - Books [1]	200	0	1410		(200)	0	629				R
4T	A	AT	Athletics- Booster Club Process [1]	0	200	1610		200	0	629			May 2014	S
4T	A	AT	Athletics-Travel Expenses (Team & Employees)	200	200	1810	0%	-	0	629			February 2014	S
4T	A	IT	ITD Security Policy Compliance-Laptop Encryption - Limited Scope	200	200	2010	0%	-	0	629			June 2014	S
5 - Carryover from FY13	A	IT	Information Technology-Barner Security	210	210	2220	0%	-	160	789	76%	(50)	April 2014	I
6	A	AT	Athletics - Review of Internal Controls - Ticket Office	200	200	2420	0%	-	0	789			April 2014	S
8	C	RS	Research-Grants Accounting - Effort Reporting (Process Review)	120	120	2540	0%	-	39	828	33%	(81)	May 2014	I
Follow-up	F	AT	Athletics-Tiger Fund Donations (Courtesy Cars, etc.)	100	100	2640	0%	-	92	920	92%	(8)	December 2013	C
Follow-up	F	RS	Research-Grants Accounting - Admin Costs (DS2 Policies)	100	100	2740	0%	-	93	1013	93%	(7)	December 2013	C
Follow-up	F	FM	Payroll - Extra Compensation	100	100	2840	0%	-	0	1013	0%	(100)	March 2014	I
Ongoing	P	FM	Procurement Card [2]	350	500	3340	-30%	150	302	1315	86%	(198)	June 2014	I
Ongoing	P	FM	Payroll-W2 Control of Returned Addresses by Internal Audit [4]	120	90	3430	33%	(30)	17	1332	14%	(73)	March 2014	I
Required Bank Contract	A	IT	Information Technology-ACH (Electronic Banking Transactions)-NACHA	120	120	3550	0%	-	0	1332			April 2014	S
Required State Audit	R	FM	Cash Counts and Inventory Observation-State Audit for YE FY13 [4]	150	150	3700	0%	-	162	1494	108%	12	August 2013	C
Required State Statute	R	FM	President's Expenses	120	120	3820	0%	-	112	1606	93%	(8)	November 2013	C
Required TBR	R	SS	Funding Formula-Progression (2012 Data)	140	140	3960	0%	-	122	1728	87%	(18)	February 2014	I
Required TBR	R	SS	Funding Formula-Completion (2013 Data)	120	120	4080	0%	-	0	1728			July 2014	S
Required IA Standards	P	IS	Quality Assessment Review	40	40	4120	0%	-	30	1758	75%	(10)	August 2013	C
	M	FM	Risk Assessment-Financial Management	100	100	4220	0%	-	0	1758			May 2014	S
	I	IS	Unscheduled Investigations	400	400	4620	0%	-	975	2733	244%	575		
	I	IS	Investigation Case # 001						38				September 2013	C
	I	IS	Investigation Case # 002						79				September 2013	C
	I	IS	Investigation Case # 003						153				September 2013	C
	I	IS	Investigation Case # 004						60				January 2014	C
	I	IS	Investigation Case # 005						76				January 2014	C
	I	IS	Investigation Case # 006						26				January 2014	C
	I	IS	Investigation Case # 007						198				January 2014	C
	I	IS	Investigation Case # 008						40				March 2014	I
	C	IS	General Consultation [3]	150	150	4770	0%	-	307	3040	205%	157	June 2014	I
	C	IT	General Consultation - Information Technology	100	100	4870	0%	-	43	3083	43%	(57)	June 2014	I
Estimate-Hours Available For Audits = 4,800 (4 audit staff)(2 positions vacant at beginning of fiscal year-both filled as of 10-31-2013)														
T-Tie														
Audit Types:			Functional Areas:			Status								
R - Required			AD - Advancement			C - Completed								
A - Risk-Based (Assessed)			AT - Athletics			I - In Progress								
S - Special Request			AX - Auxiliary			S - Scheduled, not Started								
I - Investigation			FM - Financial Management			R - Removed								
P - Project (Ongoing or Recurring)			IA - Instruction & Academic Support											
M - Management's Risk Assessment			IS - Institutional Support											
C - Consultation			IT - Information Technology											
F - Follow-up Review			PP - Physical Plant											
			RS - Research											
			SS - Student Services											
Footnotes:														
[1] Athletics - Audit replaced with another audit per risk assessment feedback from Athletics Management. (Sept 2013)						[4] Was able to obtain efficiency in time by combining review of internal controls jointly with the other RA audit.								
[2] Scope and hours expanded per Management request. Procurement Cards.						[5] UOM converted to electronic W2s and online capability for 2013. Anticipate less returned W2s.								
[3] General Consultation Includes assistance to Legal with Attorney Client Projects.														

Chatanooga State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised as of January 31, 2014

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Law	R	FM	President's Expenses (FN 3)	130	130	130	0%	-	105	105	-19%	-25	October 2013	C
Required by TBR	R	SS	Funding Formula-Progression (2012 Data-FN7)	200	135	265	-33%	(65)	80	185	-41%	-55	December 2013	I
Required by TBR	R	SS	Funding Formula-Completion (2013 Data - FN7)	200	150	415	-25%	(50)	0	185	-100%	-150	June 2014	S
	F	FM	State Audit Follow-Up	20	20	435	0%	-	0	185	-100%	-20	As needed	S
	R	FM	Year End Cash Counts and Inv	40	40	475	0%	-	16	201	-60%	-24	June 2014	S
	R	IS	Risk Assessment - Review	50	50	525	0%	-	3	204	-94%	-47	May 2014	S
Management Request	S	IT	NACHA Security Audit	80	100	625	25%	20	7	211	-93%	-93	March 2014	I
	P	IA	TBR Training Committee	40	40	665	0%	-	5	216	-88%	-35	On Going	I
Consulting	C	IS	General Consultation	40	40	705	0%	-	20	236	-50%	-20	TBD	I
	I	IS	Unscheduled Investigations (FN6)	50	85	790	70%	35	57	293	-33%	-28	TBD	S
IA Standards	P	IS	Quality Assessment Review (FN 4)	60	30	820	-50%	(30)	25	318	-17%	-5	August 2013	C
IA Standards	P	IT	IT Governance Assessment	30	30	850	0%	-	28	346	-7%	-2	August 2013	C
1	A	IT	IT Disaster Recovery Plan Audit	100	100	950	0%	-	0	346	-100%	-100	April 2014	S
2: Carryforward - In Progress	A	AT	Athletic Eligibility and Financial Aid	240	240	1190	0%	-	0	346	-100%	-240	June 2014	S
3	A	IS	Equipment	220	220	1410	0%	-	238	584	8%	18	January 2014	C
Follow-Up	F	FM	Follow-up to Travel Audit (FN8)	70	30	1440	-57%	(40)	0	584	-100%	-30	April 2014	S
4T	A	AX	Food Services	140	140	1580	0%	-	121	705	-14%	-19	January 2014	C
4T	C	IS	THEC Submissions (FN 5)	0	55	1635	100%	55	11	716	-80%	-44	June 2014	I
4T	A	FM	Investments (FN 2)	90	100	1735	11%	10	0	716	-100%	-100	June 2014	S

Estimate-Hours Available For Audits = 1700 (1.5 audit staff - FN 1)
T-Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

FN 1 - Audit hours reduced from 1800 to 1735 for Staff auditor arriving on Oct. 1.
FN 2 - Investments audit removed due to reduction in audit hours in October, but added back due to hour reduction in other audits.
FN 3 - President's audit was given extra time in original budget for 1st time auditor, but the time was not needed.
FN 4 - QAR budget was reduced after a better understanding of staff time needed during final phase of QAR.
FN 5 - THEC Submissions consult added in response to recent THEC documentation review.
FN 6 - Additional hours added in case issue was to arise in Spring semester.
FN 7 - Audit hours reduced based on structure of audits and time spent on Progression.
FN 8 - Audit hours reduced to reflect new follow up procedures.
FN 9 - Audit hours increased due to new auditor and workpaper training needs

Cleveland State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by TBR	R	SS	Funding Formula-Progression (2012 Data)	200	200	200	0%	-	160	160	-20%	-40	February 2014	I
Required by TBR	R	SS	Funding Formula-Completion (2013 Data)	200	200	400	0%			160	-100%		June 2014	S
Required by State Audit	R	FM	Cash Counts	50	50	450	0%			160	-100%		June 2014	S
Brought Forward	F	FM	Grant Audit Follow-Up	25	25	475	0%		30	190	20%	5	October 2013	C
Brought Forward	F	FM	Investigation 13-01 Follow-up	75	75	550	0%			190	-100%		January 2014	S
	M	SS	Risk Assessment-Information Technology	35	30	580	-14%			190	-100%		May 2014	S
	M	FM	Risk Assessment-Plant Operations	35	30	610	-14%			190	-100%		May 2014	S
	M	FM	Finacial Management	0	30	640					-100%		May 2014 footnote1	S
	M	IS	Institutional Support	0	30	670					-100%		May 2014 footnote1	S
	M	IS	TTC Risk Assessment-Enterprise-wide	25	25	695	0%		15	205	-40%	-10	February 2014	I
IA Standards	P	IS	Quality Assessment Review	25	25	720	0%		30	235	20%	5	August 2013	C
Brought forward	S	IT	Nacha Web Audit 2013	100	100	820	0%		95	330	-5%	-5	December 2013	C
	S	IT	Nacha Web Audit 2014	100	100	920	0%			330	-100%		June 2014	S
Brought Forward	I	IA	Investigation 13-02	20	20	940	0%		35	365	75%	15	October 2013	C
Brought Forward	I	IA	Investigation 13-03	20	20	960	0%		22	387	10%	2	October 2013	C
	F	FM	Investigation 13-02 Follow-up	50	50	1010	0%			387	-100%		June 2014	S
	I	IS	Unscheduled Investigations	100	75	1085	-25%			387	-100%		TBD	S
	C	IS	General Consultation	50	50	1135	0%		20	407	-60%	-30	June 2014	I
1T	A	IT	Technology Access Fee	100	100	1235	0%			407	-100%		March 2014	S

Estimate-Hours Available For Audits = 2720 (2 audit staff)

T--Tie

Audit Types:	Functional Areas:	Status:
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

1. Management completed three year Risk Assessment plan.

Columbia State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current	Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
								Percentage	Hours			Percentage	Hours		
Required by TBR	R	SS		Funding Formula-Progression 2012 Data	170	170	170	0%	-	127	127	-25%	-43	December 2013	I
Required by TBR	R	SS		Funding Formula-Completion 2013 Data	170	170	340	0%	-	0	127	-100%	-170	June 2014	S
Required by TBR	F	FM		State Audit Follow-Up FY 2012 & 2011 (1)	100	140	480	40%	40	142	269	1%	2	November 2013	C
	M	IS		CoSCC Risk Assessment	30	30	510	0%	-	0	269	-100%	-30	May 2014	S
	M	IS		Hohenwald Risk Assessment	30	30	540	0%	-	31	300	3%	1	February 2014	I
	M	IS		Pulaski Risk Assessment	30	30	570	0%	-	38	338	27%	8	February 2014	I
	C	IS		General Consultation	70	30	600	-57%	(40)	4	342	-87%	-26	June 2014	I

Audits are performed by MTSU Office of Audit and Consulting Services through an audit services contract for a maximum of 600 hours.

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status

C - Completed
I - In Progress
S - Scheduled, not Started
R - Removed

Footnotes:

(1) Budget hours increased because follow-up review also included review of FY2013 financial statements.

**Motlow State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014**

Current				Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
Rank	Type	Area	Audit				Percentage	Hours			Percentage	Hours		
Required by TBR	R	SS	Funding Formula-Progression 2012 Data	150	150	150	0%	-	85	85	-43%	-65	December 2013	I
Required by TBR	R	SS	Funding Formula-Completion 2013 Data	150	150	300	0%	-	0	85	-100%	-150	June 2014	S
Required by TBR	F	FM	State Audit Follow-Up FY 2012 & 2011 (1)	100	165	465	65%	65	165	250	0%	0	January 2014	C
	M	IS	MSCC Risk Assessment	40	40	505	0%	-	0	250	-100%	-40	May 2014	S
	M	IS	McMinnville Risk Assessment	20	20	525	0%	-	26	276	30%	6	February 2014	I
	M	IS	Murfreesboro Risk Assessment	20	20	545	0%	-	21	297	5%	1	February 2014	I
	M	IS	Shelbyville Risk Assessment	20	20	565	0%	-	29	326	45%	9	February 2014	I
	C	IS	General Consultation	100	35	600	-65%	(65)	4	330	-89%	-31	June 2014	I

Audits are performed by MTSU Office of Audit and Consulting Services through an audit services contract for a maximum of 600 hours.

- | | | |
|------------------------------------|-------------------------------------|----------------------------|
| Audit Types: | Functional Areas: | Status |
| R - Required | AD - Advancement | C - Completed |
| A - Risk-Based (Assessed) | AT - Athletics | I - In Progress |
| S - Special Request | AX - Auxiliary | S - Scheduled, not Started |
| I - Investigation | FM - Financial Management | R - Removed |
| P - Project (Ongoing or Recurring) | IA - Instruction & Academic Support | |
| M - Management's Risk Assessment | IS - Institutional Support | |
| C - Consultation | IT - Information Technology | |
| F - Follow-up Review | PP - Physical Plant | |
| | RS - Research | |
| | SS - Student Services | |

Footnotes:
(1) Budget hours increased because follow-up review also included review of FY2013 financial statements.

**Nashville State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014**

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by TBR	R	SS	Funding Formula-Progression (2012 Data)	150	180	180	20%	30	140	140	-22%	-40	February 2014	I
Required by TBR	R	SS	Funding Formula-Completion (2013 Data)	120	0	180	-100%	-120	0	140	100%	0	July 2014	R
Required by TBR	R	FM	Year-End Cash Counts and Inventories	0	40	220	100%	40	0	140	-100%	-40	June 2014	S
Required by TBR	M	IS	TCAT Risk Assessment - Nashville	40	40	260	0%	0	40	180	0%	0	February 2014	C
Required by TBR	M	IS	TCAT Risk Assessment - Dickson	40	40	300	0%	0	40	220	0%	0	February 2014	C
Required by TBR	M	IS	Risk Assessment - Enterprise	40	40	340	0%	0	0	220	-100%	-40	May 2014	S
Required by TBR	M	IS	Risk Assessment - Student Services	45	45	385	0%	0	0	220	-100%	-45	May 2014	S
Required by TBR	M	IS	Risk Assessment - Institutional Support	45	45	430	0%	0	0	220	-100%	-45	May 2014	S
4	A	FM	Bank Reconciliations	120	120	550	0%	0	10	230	-92%	-110	April 2014	I
IA Standards	P	IS	Quality Assessment Review - Follow-Up	50	50	600	0%	0	10	240	-80%	-40	June 2014	I
As Assigned	IS	IS	Unscheduled Investigations/Special Requests	72	72	672	0%	0	0	240	-100%	-72	TBD	S
As Assigned	C	IS	General Consultation	87	87	759	0%	0	20	260	-77%	-67	Various	I
As Assigned	F	IS	Internal Audit Follow-Up	25	25	784	0%	0	0	260	-100%	-25	Various	S

Estimate-Hours Available For Audits = 2720 (2 audit staff)
T--Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

Northeast State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current	Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
								Percentage	Hours			Percentage	Hours		
Required by TBR	R	SS		Funding Formula-Progression (2012 Data)	200	200	200	0%	-	156	156	-22%	-44	February 2014	I
Required by TBR	R	SS		Funding Formula-Completion (2013 Data)	150	150	350	0%	-	0	156	-100%	-150	June 2014	S
Required by State Audit	R	FM		State Audit Assistance-YearEnd	40	40	390	0%	-	0	156	-100%	-40	June 2014	S
	M	FM		Risk Assessments-NeSCC	60	60	450	0%	-	8	164	-87%	-52	May 2014	I
	M	IS		TCAT Risk Assessment-Enterprise-wide (FN 1)	20	0	450	-100%	(20)	0	164	0%	0	February 2014	R
	P	IS		Quality Assessment Review	75	75	525	0%	-	64	228	-15%	-11	August 2013	C
Special Request	S	IA		Theater Services	100	100	625	0%	-	41.5	269.5	-59%	-58.5	April 2014	I
Special Request	S	IS		Special Requests and Projects	100	100	725	0%	-	46	315.5	-54%	-54	Various	I
Special Request	F	IA		Follow-up to TTC Missing Equip Report (ETSU)	10	10	735	0%	-	12.5	328	25%	2.5	July 2013	C
	C	IS		General Consultation	100	100	835	0%	-	19	347	-81%	-81	Ongoing	I
Brought Forward	A	IT		Data Security	75	75	910	0%	-	87.5	434.5	17%	12.5	January 2014	C
Brought Forward	A	IA		Academic Advising	50	50	960	0%	-	72	506.5	44%	22	November 2013	C
1	A	IS		Human Resources	150	150	1110	0%	-	0	506.5	-100%	-150	June 2014	S

Estimate-Hours Available For Audits = 1102.5 (1 audit staff)

T--Tie

Audit Types:

R - Required

A - Risk-Based (Assessed)

S - Special Request

I - Investigation

P - Project (Ongoing or Recurring)

M - Management's Risk Assessment

C - Consultation

F - Follow-up Review

Functional Areas:

AD - Advancement

AT - Athletics

AX - Auxiliary

FM - Financial Management

IA - Instruction & Academic Support

IS - Institutional Support

IT - Information Technology

PP - Physical Plant

RS - Research

SS - Student Services

Status

C - Completed

I - In Progress

S - Scheduled, not Started

R - Removed

Footnotes:

FN 1 - TCAT Risk Assessment budgeted hours were changed to 0 because it was performed by TBR SWIA while the NeSCC auditor was out of the office on FML.

Pellissippi State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current	Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status	
							Percentage	Hours			Percentage	Hours			
	Required by TBR	R	FM	Year end inventory & Cash Counts	30	30	30	0%	-	6	6	-80%	-24	June 2014	I
	Required by TBR	R	SS	Funding Formula-Completion (2013 Data)	175	175	205	0%	-	6	6	-100%	-175	May 2014	S
	Required by TBR	R	SS	Funding Formula-Progression (2012 Data)	125	125	330	0%	-	51	57	-59%	-74	February 2014	I
	Required by TBR	F	FM	Internal Audit Follow Ups	30	30	360	0%	-		57	-100%	-30	Continuous	
	Required by TBR	M	IA	Risk Assessment-Instruction & Academic	40	40	400	0%	-	39	96	-3%	-1	December 2013	C
	Required by TBR	M	PP	Risk Assessment-Physical Plant	20	20	420	0%	-	21	117	5%	1	October 2013	C
	Required by TBR	F	FM	State Audit Follow-Up	40	40	460	0%	-		117	-100%	-40	Continuous	
	Required by TBR	M	IS	TTC Risk Assessment-Enterprise-wide	20	20	480	0%	-	17	134	-15%	-3	February 2014	C
	Presidential Request	S	IA	Faculty Credentials	125	125	605	0%	-	87	221	-30%	-38	April 2014	C
	Presidential Request	S	FM	First TN - NACHA Audit	100	100	705	0%	-	81	302	-19%	-19	October 2013	C
	Required by Law	I	PP	Investigation 2012-01 (Plant)	40	40	745	0%	-	7	309	-83%	-33	(1)	I
	Required by TBR/ Presidential Request	S	IS	Quality Assessment Review	120	120	865	0%	-	160	469	33%	40	September 2013 (2)	C
	Presidential Request	C	IA	Review of Compliance Assist	0	40	905	100%	40	20	489	-50%	-20	April 2014 (4)	I
	Presidential Request	C	IT	Providing Assistance related to TBR IT Audit	0	40	945	100%	40	36	525	-10%	-4	December 2013 (4)	I
	Presidential Request	C	IS	Lab Safety Reviews	0	20	965	100%	20	14	539	-30%	-6	February 2014 (4)	I
	Presidential Request	C	SS	Review of Consumer Information	0	35	1,000	100%	35	24	563	-31%	-11	March 2014 (4)	I
	2T	A	FM	Maintenance/Tuition and Related Fees	150	150	1,150	0%	-		539	-100%	-150	April 2014	S
	2T	A	FM	Disbursements	175	175	1,325	0%	-		539	-100%	-175	(3)	S

Estimate-Hours Available For Audits = 1162.5 (1 audit staff)

T--Tie

Audit Types:

R - Required

A - Risk-Based (Assessed)

S - Special Request

I - Investigation

P - Project (Ongoing or Recurring)

M - Management's Risk Assessment

C - Consultation

F - Follow-up Review

Functional Areas:

AD - Advancement

AT - Athletics

AX - Auxiliary

FM - Financial Management

IA - Instruction & Academic Support

IS - Institutional Support

IT - Information Technology

PP - Physical Plant

RS - Research

SS - Student Services

Status

C - Completed

I - In Progress

S - Scheduled, not Started

R - Removed

Footnotes:

(1) This is ongoing work related to an investigation completed in FY12. The result of the investigation led to a termination of an employee and the college is currently involved in litigation related to this issue.

(2) These hours relate to the quality assessment review performed on Pellissippi State as well as hours spent by the Pellissippi State audit director working on reviews of 3 schools in North Carolina. Variance between budget & actual was due to TBR QAR process requiring approximately 20 more hours than estimated and the fact that I took the lead on the QAR for UNC Asheville and that required more time than just being a participant on the review team.

(3) This audit is scheduled to start in FYE June 30, 2014, but will not be scheduled to be completed until the following fiscal year.

(4) All consultation projects were added because of management request. Prior to adding to the audit plan the risk related to these were evaluated and determined to justify immediate action on the part of the internal audit office. The compliance assist project relates directly to SACS accreditation and the Lab Safety project relates to reviewing the colleges chemistry labs compliance with various federal and state regulations. The college is in the process of hiring a position related to environmental health and safety and they will assume the role of reviewing safety compliance in the near future.

Note: Even though the disaster recovery audit was ranked as the top risk based audit it will not be done in FY 14. The college is in the process of moving part of its computer operations to the state level and when this is done a significant part of disaster recovery will fall on the state instead of the college.

**Roane State Community College
Internal Audit Plan
For the Fiscal Year Ended June 30, 2014
Revised 1-31-14**

Current	Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
								Percentage	Hours			Percentage	Hours		
Required by TBR	R	FM		Year End Cash Courts and inventories - 6-30-14	37.50	37.50	37.50	0%	-	-	-	-100%	(37.50)	Jun-14	S
Required by IIA	R	IS		QAR self-assessment and external validation	37.50	53.50	91.00	43%	16.00	53.50	53.50	0%	-	Jul-13	C
Required by TBR	M	SS		RSCC Risk Assessment - Student Services	15.00	15.00	106.00	0%	-	-	53.50	-100%	(15.00)	May-14	S
Required by TBR	M	IA		RSCC Risk Assessment - Instruction and Academic Support	15.00	15.00	121.00	0%	-	-	53.50	-100%	(15.00)	May-14	S
Required by TBR	M	IS		RSCC Risk Assessment-ERM update	7.50	7.50	128.50	0%	-	7.00	60.50	-7%	(0.50)	May-14	S
Required by TBR	M	IS		TCAT OniedaRisk Assessment-Enterprise-wide/Control assessment	5.50	5.50	134.00	0%	-	8.00	68.50	45%	2.50	Feb-14	S
Required by TBR	M	IS		TCAT Crossville Risk Assessment-Enterprise-wide/Control assessment	5.50	5.50	139.50	0%	-	8.00	76.50	45%	2.50	Feb-14	S
Required by TBR	M	IS		TCAT Hamman Risk Assessment-Enterprise-wide/Control assessment	5.50	5.50	145.00	0%	-	8.00	84.50	45%	2.50	Feb-14	S
Required by TBR	M	IS		TCAT Jacksboro Risk Assessment-Enterprise-wide/Control assessment	5.50	5.50	150.50	0%	-	8.00	92.50	45%	2.50	Feb-14	S
Required by TBR	R	IS		Funding Formula - Progression data review	200.00	178.25	328.75	-11%	(21.75)	206.25	298.75	16%	28.00	Dec-13	I
Required by TBR	R	IS		Funding Formula - Completion data review	200.00	178.25	507.00	-11%	(21.75)	1.00	299.75	-99%	(177.25)	Apr-14	S
Required by TBR	F	FM		RSCC - Follow up on State Audit findings	37.50	44.25	551.25	18%	6.75	44.25	344.00	0%	-	Oct-13	C
Required by TBR	F	FM		RSCC Foundation - Follow up on State Audit findings	37.50	58.25	609.50	55%	20.75	58.25	402.25	0%	-	Oct-13	C
As needed	I	IS		Unscheduled Investigations	120.00	60.00	669.50	-50%	(60.00)	11.50	413.75	-81%	(48.50)	(1)	LC
As needed	S	IS		Special requests	40.00	60.00	729.50	50%	20.00	57.25	471.00	-5%	(2.75)	(2)	LC
Ongoing projects	P	IS		Projects	40.00	40.00	769.50	0%	-	54.50	525.50	36%	14.50	(3)	LC
As needed	C	IS		General consultation	40.00	80.00	849.50	100%	40.00	90.00	615.50	13%	10.00	(4)	LC
1	A	FM		Grants	400.00	400.00	1,249.50	0%	-	65.00	680.50	-84%	(335.00)	May-14	S

Estimate-Hours Available For Audits (1 audit staff) 1,249.50 1,249.50 680.50
T--Tie

Audit Types: R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas: AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status: C - Completed
I - In Progress
S - Scheduled, not Started
R - Removed

Footnotes:

- (1) Consists of one administrative closure.
Change in budgeted hours due to lack of complaints received in current year.
- (2) Consists of time needed for various institutional duties and responses to various institutional questions including: new employee orientation, review of PCI/DSS contract, assistance with Chattanooga State audit of RSCC President's expenses and question regarding compliance with OSHA standards.
- (3) Consists of ongoing projects: Auto Audit software implementation and Internal Audit workpaper archiving
- (4) Consists of 2 management consulting activities: Review of RSCC Campus Police timekeeping procedures and Review of Draft Delegation of Authority/Signature Authorization policy
Change in budgeted hours due to increased requests for consultative services by management.

Volunteer State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by TBR	R	SS	Funding Formula-Progression (2012 Data)	150	150	150	0%	-	68	68	-55%	-82	February 2014	I
Required by TBR	R	SS	Funding Formula-Completion (2013 Data)	150	150	300	0%	-	0	68	-100%	-150	June 2014	S
Required by TBR	R	FM	State Audit Follow-Up (1)	100	65	365	-35%	(35)	61	129	-6%	-4	December 2013	C
Project	P	FM	Quarterly Procard Reviews	125	125	490	0%	-	0	129	-100%	-125	June 2014	S
IA Standards	P	IS	Quality Assurance and Improvement	80	80	570	0%	-	85	214	6%	5	September 2013	C
Required by State Audit	R	FM	Cash Counts	25	25	595	0%	-	6	220	-76%	-19	June 2014	S
Required by TBR	M	IS	Risk Assessment- Volunteer State	75	75	670	0%	-	0	220	-100%	-75	May 2014	S
Required by TBR	M	IS	TCAT Risk Assessment- Livingston	10	10	680	0%	-	0	220	-100%	-10	February 2014	S
Required by TBR	M	IS	TCAT Risk Assessment- Hartsville	10	10	690	0%	-	0	220	-100%	-10	February 2014	S
Consulting	C	IS	General Consultation	100	100	790	0%	-	52	272	-48%	-48	June 2014	I
	I	IS	Unscheduled Investigations and Requests	100	100	890	0%	-	0	272	-100%	-100	June 2014	I
Carryforward Request	S	IA	International Education Fee	250	250	1140	0%	-	260	532	4%	10	November 2013	C
Carryforward Request	S	IA	Faculty Credentials	150	150	1290	0%	-	12	544	-92%	-138	May 2014	I

Estimate-Hours Available For Audits = 1,037.5 (1 audit staff)

T--Tre

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status

C - Completed
I - In Progress
S - Scheduled, not Started
R - Removed

Footnotes:

(1) The State Audit Follow-Up was decreased by 35 hours based on the actual hours.

**Walters State Community College
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014**

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Law	R	FM	President's Expenses (FN 2)	80	120	120	50%	40	120	120	0%	0	November 2013	C
Required by TBR	R	SS	Funding Formula-Progression Audit (2012 Data)	200	165	285	-18%	(35)	140	260	-15%	-25	February 2014	I
Required by TBR	R	SS	Funding Formula-Completion Audit (2013 Data)	200	165	450	-18%	(35)	0	260	-100%	-165	June 2014	S
Required	R	FM	Inventory Observations	25	25	475	0%	-	0	260	-100%	-25	June 2014	S
Required	R	FM	Cash Counts	15	15	490	0%	-	0	260	-100%	-15	June 2014	S
Required	R	FM	Confirmation Requests	15	15	505	0%	-	0	260	-100%	-15	June 2014	S
Required	F	FM	State Audit Follow-Up	60	80	585	33%	20	80	340	0%	0	September 2013	C
Required	M	IT	WSCC Risk Assessment-Information Technology	20	20	605	0%	-	20	360	0%	0	May 2014	I
Required	M	IS	WSCC Risk Assessment-Enterprise-wide	25	25	630	0%	-	5	365	-80%	-20	May 2014	I
Required	M	IS	TCATM Risk Assessment-Enterprise-wide	25	25	655	0%	-	15	380	-40%	-10	February 2014	I
Required	P	IS	Quality Assessment Review	16	20	675	25%	4	20	400	0%	0	July 2013	C
Required	P	IS	Interim Self-Assessment	10	10	685	0%	-	0	400	-100%	-10	March 2014	S
Required	I	IS	Unscheduled Investigations	0	0	685	0%	-	0	400	0%	0	TBD	S
Required	C	IS	General Consultation (FN 1)	106	142	827	34%	36	140	540	-1%	-2	June 2014	I
Required	R	FM	NACHA Compliance Audit	75	60	887	-20%	(15)	75	615	25%	15	November 2013	C
Required	R	IT	IT Governance Review	75	60	947	-20%	(15)	15	630	-75%	-45	November 2013	I
IT	A	PP	Emergency Systems & Procedures	75	75	1022	0%	-	0	630	-100%	-75	December 2013	S
IT	A	FM	PCI-DSS	100	100	1122	0%	-	0	630	-100%	-100	January 2014	S
2	A	FM	Contracts	100	100	1222	0%	-	0	630	-100%	-100	June 2014	S

Estimate-Hours Available For Audits = 2720 (2 audit staff)
T--Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
P - Project (Ongoing or Recurring)	IA - Instruction & Academic Support	
M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

Footnotes:

FN 1 - General Consultation increased due to, but not limited to, reviewing numerous documents related to an upcoming SACS review, various meetings regarding U.S. Department of Education's off-site Program Review of Title IV funding for WSCC's Basic Law Enforcement Officer Program.

FN 2 - The audit of NeSCC President's Expenses was the first such audit performed by me and, as a result, involved a much greater learning curve than originally anticipated (e.g. set up and access to NeSCC's Virtual Private Network, learning and performing numerous Banner queries, reconciling NeSCC's fourth-quarter report submitted to TBR with general ledger accounts, identifying and resolving discrepancies, etc.)

Tennessee Board of Regents - System Office
Internal Audit Plan
Fiscal Year Ended June 30, 2014
Revised October 2013

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Law	R	FM	President's Expenses (DSCC)	120	100	100	-20%	(20)	95	95	-5%	-5	November 2013	C
Required by TBR	R	FM	Cash Counts	5	5	105	0%	-	1	96	-80%	-4	July 5, 2013	C
Required by TBR	F	PP	State Audit Follow-Up - Energy	25	25	130	0%	-	15	111	-40%	-10	July 10, 2013	C
Required by TBR	F	IS	State Audit Follow up - Performance, Fn 1	50	0	130	Fn 1	(50)	0	111	Fn 1	0	Fn 1	Fn 1
Required by TBR	F	FM	Internal Audit Follow up Travel Expenses	50	50	180	0%	-	0	111	-100%	-50	March 2014	S
Required by State Law	M	IS	Management's Risk Assessment	50	50	230	0%	-	0	111	-100%	-50	May 2014	S
Required by TBR	P	IS	Quality Assessment Review Fn 2	150	200	430	25%	50	170	281	-15%	-30	June 2013	I
Required by TBR	C	FM	Tennessee Foreign Language Institute	150	150	580	0%	-	100	381	-33%	-50	February 2014	I
Required by TBR	F	AX	Follow up to Procurement Card Review	25	25	605	0%	-	0	381	-100%	-25	March 2014	S
	I	FM	TBR 13-04	0	10	615	100%	10	5	386	-50%	-5	August 28, 2013	C
	I	FM	TBR 13-05	0	50	665	100%	50	45	431	-10%	-5	August 16, 2013	C
	I	FM	TBR 13-01 (Fn 4)	0	50	715	100%	50	20	451	-60%	-30	March 2014	I
	C	IS	General Consultation	100	100	815	0%	-	20	471	-80%	-80	On-going	-
	R	SS	DSCC CCTA	0	150	965	100%	150	75	546	-50%	-75	February 2014	I
	R	SS	STCC CCTA	0	150	1115	100%	150	30	576	-80%	-120	February 2014	I
1	A	IA	TN Consortium for International Studies	120	120	1235	0%	-	0	576	-100%	-120	June 2014	S
2	A	SS	Facilities Fn3	120	0	1235	0%	(120)	0	576	0%	0	n/a	-
3	A	FM	Grants & Contracts Fn 3	120	0	1235	0%	(120)	0	576	0%	0	n/a	-

Estimate-Hours Available For Audits = 1085 (2 audit staff)

T--Tie

Audit Types:

R - Required
A - Risk-Based (Assessed)
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review

Functional Areas:

AD - Advancement
AT - Athletics
AX - Auxiliary
FM - Financial Management
IA - Instruction & Academic Support
IS - Institutional Support
IT - Information Technology
PP - Physical Plant
RS - Research
SS - Student Services

Status

C - Completed
I - In Progress
S - Scheduled, not Started
R - Removed

Footnotes:

Fn 1 - This was originally scheduled to follow up on issues noted in the CCTA Performance audit, however, a review was deemed necessary since most of the concerns will be addressed in the upcoming CCTA audits throughout the system.

Fn 2 - The original budget was estimated prior to the completion of the QAR. The results of the QAR require more time to address than was initially anticipated.

Fn 3 - This audit was removed on a risk basis due to the increase in available audit hours. The decrease in hours is attributable to the addition of the CCTA for two campuses to the plan.

Fn 4 - At the time the original audit plan was submitted, it was unclear which auditor would be assigned to this investigation, and therefore not included.

**System-wide Internal Audit
IT Audit Plan
Fiscal Year Ended June 30, 2014
Revised 1/31/2014**

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Required by State Audit	M	IT	Participation in IT's Risk Assessment Process	24	24	24	0%	0	28	28	117%	4	N/A	C
Required by TBR	F	IT	Follow-up on Prior IT Audit Issues	16	16	40	0%	0	0	28	0%	-16	June 2014	IP
IT Request	C	IT	IT Request for Participation in Banner XE Upgrade & Data Warehouse Projects (3)	96	80	120	17%	-16	31	59	39%	-49	June 2014	IP
Special Mgmt. Request	S	IS	CCTA Process Audit	0	40	160	-100%	40	0	59	0%	-40	March 2014	S
Annual	C	IT	IT Consulting	80	96	256	-20%	16	76	135	79%	-20	Ongoing	IP
Universities for General Controls Reviews														
1	A	IT	General Controls Review - TSU (4)	160	160	416	0%	0	20	155	13%	-140	April 2014	IP
2	A	IT	General Controls Review - APSU	160	160	576	0%	0	0	155	0%	-160	May 2014	S
Community Colleges for General Controls Reviews														
1	A	IT	General Controls Review - STCC	0	0	576	0%	0	0	155	100%	0	N/A	R
3T	A	IT	General Controls Review - CISCC (5)	160	160	736	0%	0	138	293	86%	-22	January 2014	IP
2T	A	IT	General Controls Review - PSCC	160	160	896	0%	0	180	473	113%	20	October 2013	IP
2T	A	IT	General Controls Review - JSCC	160	160	1056	0%	0	176	649	110%	16	November 2013	IP
3T	A	IT	General Controls Review - RSCC	160	160	1216	0%	0	4	653	3%	-156	March 2014	S
Risk-based Audits														
1	C	IT	Operations: Business Continuity Planning / IT Disaster Recovery	80	80	1296	0%	0	16	669	20%	-64	December 2013	IP
3T	A	IT	Data Security: Logical System Access	80	40	1336	50%	-40	11	680	28%	-29	February 2014	S
3T	A	IT	Application: BANNER - performed in unison with Banner upgrade above (1)	0	0	1336	0%	0	0	680	100%	0	N/A	R
5	A	IT	General Controls Review - TBR (2)	180	180	1516	0%	0	210	890	117%	30	September 2013	IP

Estimate-Hours Available For Audits = 1440 (1 auditor). Any additional time made up in overtime.
T--Tie

Audit Types: Functional Areas: Status
R - Required AD - Advancement C - Completed
A - Risk-Based (Assessed) AT - Athletics I - In Progress
S - Special Request AX - Auxiliary S - Scheduled, not Started
I - Investigation FM - Financial Management R - Removed
P - Project (Ongoing or Recurring) IA - Instruction & Academic Support
M - Management's Risk Assessment IS - Institutional Support
C - Consultation IT - Information Technology
F - Follow-up Review PP - Physical Plant
RS - Research
SS - Student Services

Footnotes:
None.

TCAT
Internal Audit Plan
Fiscal Year Ended June 30, 2014
3rd Quarter- Nov - Jan

Current Rank	Type	Area	Audit	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Carryforward	A	FM	Morristown	50.00	50	50	0%	-	10	10	-80%	-40	November 2013	I
Carryforward	A	FM	Chattanooga (2011)	200.00	25	75	700%	(175)	25	35	-660%	0	November 11, 2013	C
Carryforward	A	FM	Pulaski	200.00	10	85	1900%	(190)	0	35	-1650%	-10	July 23, 2013	C
Carryforward	P	SS	Federal Financial Aid Updates (1)	100.00	25	110	300%	(75)	10	45	-220%	-15	September 2013	C
Carryforward	A	FM	Focused Review (System-wide) (2)	0.00	5	115	-100%	5	0	45	900%	-5	July 2014	I
1	A	FM	Morristown (4)	37.5	37.5	152.5	0%	-	0	45	20%	-37.5	June 2014	
2	A	FM	Elizabethton (3)	37.5	37.5	190	0%	-	0	45	20%	-37.5	June 2014	D
3	A	FM	Knoxville	37.5	37.5	227.5	0%	-	0	45	20%	-37.5	June 2014	S
4T	A	FM	Crossville	37.5	37.5	265	0%	-	36	81	116%	-1.5	January 17, 2014	C
4T	A	FM	Hohenwald	22.5	37.5	302.5	-40%	15	45	126	276%	7.5	November 26, 2013	C
5T	A	FM	Newbern	37.5	37.5	340	0%	-	47	173	361%	9.5	November 11, 2013	C
5T	A	FM	Jackson	37.5	37.5	377.5	0%	-	0	173	361%	-37.5	March 2014	I
5T	A	FM	McKenzie	22.5	37.5	415	-40%	15	0	173	401%	-37.5	March 2014	S
6T	A	FM	Pulaski	37.5	37.5	452.5	0%	-	0	173	361%	-37.5	March 2014	S
6T	A	FM	Shelbyville	37.5	37.5	490	0%	-	28	201	436%	-9.5	February 2014	I
6T	A	FM	McMinnville	22.5	37.5	527.5	-40%	15	35.5	236.5	571%	-2	February 2014	I
7T	A	FM	Ripley (3)	37.5	37.5	565	0%	-	0	236.5	531%	-37.5	May 2014	S
7T	A	FM	Murfreesboro	37.5	37.5	602.5	0%	-	0	236.5	531%	-37.5	February 2014	S
8	A	FM	Oneida	37.5	37.5	640	0%	-	31	267.5	613%	-6.5	January 2014	I
9T	A	FM	Hartsville	37.5	37.5	677.5	0%	-	0	267.5	613%	-37.5	July 2014	S
9T	A	FM	Nashville	37.5	37.5	715	0%	-	0	267.5	613%	-37.5	April 2014	S
10T	A	FM	Memphis	37.5	37.5	752.5	0%	-	0	267.5	613%	-37.5	April 2014	I
10T	A	FM	Athens	37.5	37.5	790	0%	-	0	267.5	613%	-37.5	May 2014	S
10T	A	FM	Livingston	37.5	37.5	827.5	0%	-	38.5	306	716%	1	January 2014	I
10T	A	FM	Dickson	37.5	37.5	865	0%	-	0	306	716%	-37.5	April 2014	S
11	A	FM	Harriman	37.5	37.5	902.5	0%	-	48.5	354.5	845%	11	February 2014	I
12T	A	FM	Jacksboro	37.5	37.5	940	0%	-	26.5	381	916%	-11	February 2014	I
12T	A	FM	Paris	37.5	37.5	977.5	0%	-	0	381	916%	-37.5	March 2014	S
13T	A	FM	Chattanooga	37.5	37.5	1015	0%	-	0	381	916%	-37.5	June 2014	S
13T	A	FM	Covington	37.50	37.5	1840	0%	-	53	434	1057%	15.5	November 26, 2013	C
14T	A	FM	Crump	37.50	37.5	1877.5	0%	-	0	434	1057%	-37.5	April 2014	S
14T	A	FM	Whiteville	37.50	37.5	1952.5	0%	-	29.5	463.5	1136%	-8	February 2014	I

Estimate-Hours Available For Audits = 1485 (1 audit staff)
T--Tie

Audit Types: Functional Areas: Status
R - Required AD - Advancement C - Completed
A - Risk-Based (Assessed) AT - Athletics I - In Progress
S - Special Request AX - Auxiliary S - Scheduled, not Started
I - Investigation FM - Financial Management R - Removed
P - Project (Ongoing or Recurring) IA - Instruction & Academic Support
M - Management's Risk Assessment IS - Institutional Support
C - Consultation IT - Information Technology
F - Follow-up Review PP - Physical Plant
RS - Research
SS - Student Services

Footnotes:

- (1) This review was delayed due to financial aid issues at a TTC and implementation of a new financial aid payment
- (2) This focused review will include the problem areas identified during the operational audits: Financial Aid, AR, Cash Receipts, Livework, was postponed and revised from the prior audit period.
- (3) These audits were scheduled for later in the year due to extenuating circumstances, a request from the Director or schedule conflict.
- (4) This audit and follow up were combined due to the majority of transactions being processed by the lead institution.
- (5) This school is highly integrated within the lead institution and will be included if a request is made.

**TBR SWIA
Investigation Plan
Fiscal Year Ended June 30, 2014
Revised January 31, 2014**

Current Rank	Type	Area	Investigation	Previously Reported Budget Hours	Current Budget Hours	Cumulative Budget Hours	Change in Budget		Actual Hours	Cumulative Actual Hours	Actual Vs. Budget		Estimated/Actual Completion Date	Current Status
							Percentage	Hours			Percentage	Hours		
Investigation	P	n/a	INVESTIGATION MANAGEMENT	80	180	180	-56%	100	138.5	139	-23%	-42	6/30/2014	I
Investigation	C	n/a	CAMPUS CONSULTATION	40	40	220	0%	0	6	145	-85%	-34	6/30/2014	I
Investigation	I	FM	TBR 14003 (ETSU)	10	10	230	0%	0	2	147	-80%	-8	TBD	C*
Investigation	I	FM	TBR 14-01 (CISCC)	150	150	380	0%	0	150	297	0%	0	TBD	I
Investigation	I	FM	TBR 14-02 (NaSCC)	40	40	420	0%	0	1	298	-98%	-39	TBD	I
Investigation	I	FM	TBR 14-04 (TCAT Whiteville)	40	40	460	0%	0	3	301	-93%	-37	TBD	I
Investigation	I	FM	TBR 14-06 (UOM)	60	60	520	0%	0	47	348	-22%	-13	TBD	I
Investigation	I	FM	TBR 14016 (TSU)	10	10	530	0%	0	1	349	-90%	-9	TBD	C
Investigation	I	FM	TBR 14-08 (TCAT Elizabethton)	60	60	590	0%	0	45.5	394	-24%	-15	TBD	I
Investigation	I	FM	ETSU 14-01	40	40	630	0%	0	38	432	-5%	-2	TBD	C*
Investigation	I	FM	TBR 14-09 (TCAT Pulaski)	40	40	670	0%	0	1	433	-98%	-39	TBD	I
Investigation	I	FM	TBR 14-10 (TCAT Elizabethton)	60	60	730	0%	0	13	446	-78%	-47	TBD	I
Investigation	F	FM	TBR 13-04 (TCAT Elizabethton) FOLLOW-UP	40	150	880	-73%	110	102.5	549	-32%	-48	TBD	I
Investigation	I	FM	TBR 14-11 (TCAT Memphis)	0	40	920	-100%	40	0	549	-100%	-40	TBD	S
Investigation	I	FM	TBR 14-12 (TCAT Elizabethton)	0	40	960	-100%	40	0	549	-100%	-40	TBD	S
Investigation	I	FM	TBR 14-13 (TCAT Elizabethton)	0	40	1000	-100%	40	35.5	584	-11%	-5	TBD	I
Investigation	I	FM	TBR 14-14 (TCAT Knoxville)	0	40	1040	-100%	40	0	584	-100%	-40	TBD	S
Investigation	I	FM	TBR 14-15 (TSU)	0	40	1080	-100%	40	0	584	-100%	-40	TBD	S
Investigation	I	FM	FWAH 13-404 (MSCC)	0	40	1120	-100%	40	0	584	-100%	-40	TBD	S
Investigation	I	FM	TBR 14-07 (NaScc)	0	40	1160	-100%	40	0	584	-100%	-40	TBD	S
			Unscheduled Investigations	552.5	62.5	1223	784%	-490						
			Total	1222.5	1223				584					

Estimate-Hours Available For Investigations = 1222.5 (1 investigator)

T-Tie

Audit Types:	Functional Areas:	Status
R - Required	AD - Advancement	C - Completed, C* - SWIA involvement completed, campus IA completion pending
A - Risk-Based (Assessed)	AT - Athletics	I - In Progress
S - Special Request	AX - Auxiliary	S - Scheduled, not Started
I - Investigation	FM - Financial Management	R - Removed
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M - Management's Risk Assessment	IS - Institutional Support	
C - Consultation	IT - Information Technology	
F - Follow-up Review	PP - Physical Plant	
	RS - Research	
	SS - Student Services	

**REPORT OF THE
AD HOC COMMITTEE ON COMMITTEES
MEETING**

March 11, 2014

The Ad Hoc Committee on Committees met on March 11, 2014, at the Tennessee Board of Regents System office in Nashville, Tennessee.

Membership of the Ad Hoc Committee on Committees is comprised of the chairs of the standing committees with Vice Chairman Reynolds serving as Chair of this special called committee. Members are: Regents Emily Reynolds, Chair of the Ad Hoc Committee, Greg Duckett, John Farris, Tom Griscom, Howard Roddy, Bob Thomas and Danni Varlan. A quorum was present.

In Chair Reynolds opening remarks, she stated that the purpose of the meeting was to review the current committee structure and open up dialogue to discuss the mission statements to see if they continue to meet TBR's goals and expectations.

She reported that now is an excellent time to review the mission statements of our committees and do a self-examination as work begins

on the development of TBR's five year strategic plan, and also take into consideration the changes higher education is experiencing in Tennessee with the Drive to 55 Initiative and Tennessee Promise.

Information about TBR's system and committee structure was provided to members along with comparative information on the following systems: University of Tennessee; University of Texas; University System of Georgia; University of California; University of North Carolina; Kentucky Community and Technical College System – Board of Regents; State of Louisiana Board of Regents; State of Louisiana BOR – Louisiana Community & Technical College System.

During the course of the meeting, members were engaged in a lengthy discussion covering subjects such as adding a governance committee, expanding the mission of the Audit Committee to include compliance, keeping a check on academic quality, student success, functionality and reporting structure of committees, measurability of the committees, and committee structure of organizations in the private sector.

Before the next meeting of this committee that is scheduled for June 3, 2014, Chair Reynolds asked each member to meet with their TBR staff member to review their respective committee mission and report back if they have any suggested changes. In particular, she asked Regent Griscom to review the item of adding compliance to the Audit Committee; Regent Duckett to review the Committee on Business, Community and Public Affairs and its responsibilities; Ms. Sonja Mason to research how other systems address information technology matters with respect to data repository, dashboard and data collection for a measurable outcome of our work.

There being no further business to come before the Committee, the meeting adjourned.

Respectfully submitted,

AD HOC COMMITTEE ON
COMMITTEES

Emily J. Reynolds, Chair

Tennessee Board of Regents

DATE: March 28, 2014

SUBJECT: Report of the Regents Award for Excellence in Philanthropy

PRESENTER: Regent Greg Duckett

ACTION REQUIRED: None - Information Purposes Only

STAFF RECOMMENDATION: Not Applicable

Mr. Louis H. Gump accepted the prestigious Regents Award for Excellence in Philanthropy on behalf of East Tennessee State University, February 28, 2014. In the photo below from left to right are: President Brian Noland, Louis Gump, and Regent J. Parker Smith.

Recipients of the Regents award for Excellence in Philanthropy are selected due to their generosity of time and resources, influence on volunteers to become involved in fund raising, active promotion of the importance of higher education, leadership in philanthropy, exceptional civic responsibility and integrity.





TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Proposed Revisions to TBR Policy 2:01:01:00 - Approval of Academic Programs, Units, and Modifications

DATE: March 28, 2014

PRESENTER: Vice Chancellor Warren Nichols and Vice Chancellor Tristan Denley

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The Board will consider a revision in TBR Policy: 2:01:01:00 - *Approval of Academic Programs, Units, and Modifications*. The proposed changes are intended to clarify existing expectations for academic proposals and acknowledge the role of the TBR Office of Community Colleges which did not exist when the policy was last revised. Proposed academic actions from community colleges are now to be submitted to the Vice Chancellor for Community Colleges.

Approval of Academic Programs, Units, and Modifications : 2:01:01:00

Topics

Topics

- Purpose
- Introduction
- Process
- Procedures
- General Criteria for Reviewing Academic Letters of Intent and Proposals
- Sources of Specific Criteria
- Exhibits

Topics A-Z

- Exhibits
- General Criteria for Reviewing Academic Letters of Intent and Proposals
- Introduction
- Procedures
- Process
- Purpose
- Sources of Specific Criteria

Policy/Guideline Area

Academic Policies

Applicable Divisions

TCATs, Community Colleges, Universities

Purpose

The purpose of this policy is to establish the procedures and processes for the submission and approval of academic program proposals for institutions governed by the Tennessee Board of Regents.

Policy/Guideline

I. Introduction

- A. T.C.A. § 49-8-101 et seq. authorized the establishment of the State University and Community College System of Tennessee. Among the powers given to the Tennessee Board of Regents (TBR) by this Act is the power "to prescribe curricula and requirements for diplomas and degrees."
- B. Institutions have the authority to create new courses. However, if the development cost of a fully online course exceeds \$9,500 for the course, then justification must be submitted to the [TBR](#) Office of Academic Affairs for approval. Institutions have the authority to terminate existing courses, determine course content or design, and carry out curriculum revisions less extensive than those the Board has reserved to itself or otherwise delegated. The Tennessee Higher Education Commission (THEC) must review and approve new academic programs, off-campus extensions of existing academic programs, new academic units (divisions, colleges, and schools), and new instructional locations as specified in THEC Policy No. A1:0: New Academic Programs - Approval Process, Attachment B (A1.0), and A1:1: New Academic Programs. These THEC policies should serve as a resource for the development of all academic proposals.

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

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

II. Process

A. Academic Proposals That Must Be Taken to the Board

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

B. Academic Proposals Approved by the Board through Delegated Authority

1. [With the exception of ~~Other than~~ new degree programs, ~~academic~~ proposals for certificates of less than 24 hours and other academic actions](#) may be approved by the Board through delegated authority to the Chancellor.
2. Summaries of these proposals will be reported monthly or as needed, to the Board, with a 30-day period for Board review.
3. Board members may contact the Vice Chancellor for Academic Affairs with questions or concerns [regarding university proposals, or the Vice Chancellor for Community Colleges](#)

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with questions or concerns regarding community college proposals, and if desired, can require that the proposal be brought before the full Board at its next quarterly meeting.

4. Institutions shall provide, to the Vice Chancellor for Academic Affairs all university proposals related to the following and to the Vice Chancellor for Community Colleges all community college proposals related to the following:

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- a. Establishment of any college credit-bearing Certificate ~~of Credit included which is listed~~ in the academic inventory or that will be included in the institution's Catalog or other recruitment materials and activities. The term "institutional certificate" refers to applies only to certificates awarding continuing education credit. If college credit is to be awarded and promoted as a certificate, the program of study is subject to Board approval. A Certificate which is not college credit bearing may be accepted for college credit if it meets the requirements established through the institution's prior learning assessment standards. There are four types of certificates listed on the official Academic Program Inventory: 1) Academic, 2) Technical, 3) Undergraduate, and 4) Graduate. A certificate can be free-standing or embedded within a degree program. An embedded certificate must fully articulate with a degree and required the approval of the program of study by the Board. There should be no new or no more than minimal costs required to implement an embedded certificate.

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- b. Establishment of concentrations within an existing academic program.
- c. Establishment of new academic units such as colleges, schools, departments, institutes, centers within existing academic units, bureaus, etc., (see TBR Guideline A-040, and THEC Policy A1:3, New Units and A1:4, Off-Campus Instruction).
- d. Revision of any admission, retention, or graduation policy (both institutional and program specific).

- e. Substantive revision of the curriculum of an existing academic program.
(Substantive refers to changes impacting 18 or more semester credit hours at the undergraduate level, 9 or more credit hours at the graduate level, and 50% or more of the credit hours in a certificate program, from the last submission to the Board, and includes course rubrics, titles, descriptions, or content).
- f. Consolidation of existing academic programs.
- g. Extension of an existing academic degree program in totality to an off-campus site.
- h. Inactivation or termination of academic programs listed in the academic inventory.
 - 1) Inactivation should be used only when there are plans to reactivate the program within three years. If not reactivated during that period, the program will automatically terminate.
- i. Curriculum modifications that increase required hours for a degree to more than 60 for the associate degree and 120 for the baccalaureate degree, or more than the previously approved exceptions. Also, modifications that increase or decrease credit hours from what was previously approved for a certificate or increases or decreases an existing graduate program in excess of 6 credit hours must be submitted for Board approval.
- j. Current approved on-ground programs that will be converted to a fully online delivery format.
- ~~j. Articulation agreements which establish joint or collaborative degrees within or across institutions within the System or with institutions outside the TBR system.~~

C. Academic Proposals Requiring Only Notification to Vice Chancellor

- 1. Changes to existing academic programs not listed in the previous section above, that require no new costs or minimal costs that the campus will fund through reallocation of

existing resources or through sources such as grants and gifts, may be approved through an established process by the institution.

2. The Vice Chancellor for Academic Affairs must be informed of such changes impacting university programs, and the Vice Chancellor for Community Colleges must be informed of such changes impacting community college programs, prior to implementation and may refer the proposal for Board approval if deemed appropriate due to costs or other potential concerns.

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3. Such action includes, but is not limited to, the establishment of new minors and changes such as the modification of the title of an academic program or unit.

4. Minors are typically developed by packaging existing courses and do not usually require new resources or additional costs.

5. Non-substantive curriculum revisions may be approved through the established institutional process and do not require notification or Board approval

D. Additional Actions Requiring Review by THEC

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

III. Procedures

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

1. Approval Route of Proposals

a. Proposals from TBR universities for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Academic Affairs for review and approval by the Board. Proposals from TBR community colleges for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Community Colleges for review and approval by the Board.

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b. Subsequent to Board action, the Chancellor shall transmit to the Tennessee Higher Education Commission those proposals that require its approval along with the Board's recommendation.

2. Schedule for the Submission and Approval of Academic Proposals

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

3. Review by and Selection of Consultants

a. The TBR staff may engage qualified consultants to assist in the review of all proposals for new degree programs as deemed appropriate by the Vice Chancellor for Academic Affairs for both graduate and undergraduate at the universities. All graduate programs utilize external consultants in the review process. The Vice Chancellor for Community Colleges may engage qualified consultants as needed for associate degree or certificate programs.-

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- b. Consultants will file a written report on the quality of the proposed program and respond to any other relevant questions or issues addressed to them by [the](#) TBR.
- c. Academic proposals must also comply with THEC policy A1:0 and A1:1. A site visit is ~~typically~~ required for new graduate degree programs.
- d. While it is the responsibility of the institution to ~~nominate provide~~ and support such consultants, the selection will be made by the TBR staff and the Vice Chancellor for Academic Affairs ~~or the Vice Chancellor for Community Colleges, as appropriate,~~ in consultation with the ~~THEC institution~~.
- e. All costs associated with an external review are ~~the responsibility of borne by~~ the institution submitting the proposal.

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IV. General Criteria for Reviewing Academic Letters of Intent and Proposals

- A. A summary of the major criteria used by the TBR staff in evaluating academic proposals is presented below.
- B. Specific requirements for letters of Intent are provided in [the](#) TBR Guideline A-010: Academic Program Letters of Intent and Proposals.
 - 1. The proposed action is central to the mission, role, and scope of the institution.
 - 2. The need for the proposed program is supported by data documenting student interest, employer demand, societal needs, and administrative effectiveness.
 - 3. The proposed action does not constitute unnecessary duplication of academic programs ~~, research projects, or public services~~ available at other public institutions. Partnerships or collaborations should be considered whenever needs might be met with greater efficiency.

4. The proposal ~~must should~~ establish quality admission, retention and graduation standards in keeping with best practices.
5. The curriculum of the proposed program must meets the stated objectives of the program and reflects breadth, depth, theory and practice at the appropriate level to the discipline and the degree. Undergraduate curriculum ~~must should~~ ensure General Education core requirement commonality and transfer (where appropriate) of 19 hour pre-major paths. The curriculum should be compatible with accreditation where applicable, and meet the criteria for articulation and transfer (where appropriate) of 19-hour pre-major paths.
6. The proposal documents the institution's ability to implement the proposed action in terms of:
 - a. fiscal resources,
 - b. advisement, library and other support resources,
 - c. physical facilities, and
 - d. qualified personnel.
7. The proposal includes information about appropriate articulation and/or affiliations.
8. The proposal includes information about the delivery format.
9. The proposed program ~~must should~~ clearly state the organizational structure and administrative responsibilities associated with its operation.
10. Proposals pertaining to academic programs should include a description of procedures for regular post-approval evaluation of the programs and units, including evaluation of the program's enrollment and productivity, and how the results will be used to enhance program quality.

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

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

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13. Proposals include curriculum vita for all faculty engaged in program delivery.

14. A sequenced program of study by semester must be included.

15. In the case of interdisciplinary or joint graduate programs or when faculty are committed to teach in graduate multiple programs, a matrix of faculty time allocations to each program must be provided.

16. Syllabi for all courses to be included in the proposed program must be included at the time of full proposal submission.

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~~12-17.~~ If proposing a program which duplicates a program at another institution within the System, the letter of intent and proposal should include a cross-walk comparative of the curriculum.

V. Sources of Specific Criteria

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

1. TBR Policy No. 2:01:00:00, Undergraduate Degree Requirements
2. TBR Policy No. 2:02:00:00, Associate Degree Programs
3. TBR Policy No. 2:01:00:03, Principles for Articulation in Vocational/Technical Education
4. TBR Guideline No. A-010, Academic Program Proposals

5. TBR Guideline No. A-020, Inter-Institutional Relationships and Off-Campus Affairs
6. TBR Guideline No. A-040, Evaluation of Bureaus, Centers, and Institutes
7. TBR Action (December 1986) endorsing TCGS Criteria as standards for both pre- and post-approved review of Master's programs.
8. THEC Policy No. A1:0, New Program Review Criteria (November 2002)
9. THEC Policy No. A1:1, New Academic Programs (July 28, 2011)
10. THEC Policy A1:3, New Units

Sources

TBR Meeting, December 2, 1988; TBR Meeting, December 13, 2002; TBR Meeting, March 29, 2006; TBR Meeting, December 8, 2006; March 28, 2008; TBR Board Meeting December 2, 2010; TBR Board Meeting December 8, 2011.

Related Policies

- [Associate Degree Programs](#)
- [Principles for Articulation in Vocational/Technical Education](#)
- [Academic Program Letters of Intent and Proposals](#)
- [Criteria for the Evaluation of Bureaus, Centers, Institutes](#)
- [General Education Requirements and Degree Requirements](#)
- [Inter-Institutional Relationships & Off-Campus Offerings](#)

Approval of Academic Programs, Units, and Modifications : 2:01:01:00

Topics

Topics

- Purpose
- Introduction
- Process
- Procedures
- General Criteria for Reviewing Academic Letters of Intent and Proposals
- Sources of Specific Criteria
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Topics A-Z

- Exhibits
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Policy/Guideline Area

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with questions or concerns regarding community college proposals, and if desired, can require that the proposal be brought before the full Board at its next quarterly meeting.

4. Institutions shall provide, to the Vice Chancellor for Academic Affairs all university proposals related to the following and to the Vice Chancellor for Community Colleges all community college proposals related to the following:
 - a. Establishment of any college credit-bearing Certificate which is listed in the academic inventory or that will be included in the institution's Catalog or other recruitment materials and activities. The term "institutional certificate" refers to only to certificates awarding continuing education credit. If college credit is to be awarded and promoted as a certificate, the program of study is subject to Board approval. A Certificate which is not college credit bearing may be accepted for college credit if it meets the requirements established through the institution's prior learning assessment standards. There are four types of certificates listed on the official Academic Program Inventory: 1) Academic, 2) Technical, 3) Undergraduate, and 4) Graduate. A certificate can be free-standing or embedded within a degree program. An embedded certificate must fully articulate with a degree and required the approval of the program of study by the Board. There should be no new or no more than minimal costs required to implement an embedded certificate.
 - b. Establishment of concentrations within an existing academic program.
 - c. Establishment of new academic units such as colleges, schools, departments, institutes, centers within existing academic units, bureaus, etc., (see TBR Guideline A-040, and THEC Policy A1:3, New Units and A1:4, Off-Campus Instruction).
 - d. Revision of any admission, retention, or graduation policy (both institutional and program specific).

- e. Substantive revision of the curriculum of an existing academic program.
(Substantive refers to changes impacting 18 or more semester credit hours at the undergraduate level, 9 or more credit hours at the graduate level, and 50% or more of the credit hours in a certificate program, from the last submission to the Board, and includes course rubrics, titles, descriptions, or content).
- f. Consolidation of existing academic programs.
- g. Extension of an existing academic degree program in totality to an off-campus site.
- h. Inactivation or termination of academic programs listed in the academic inventory.
 - 1) Inactivation should be used only when there are plans to reactivate the program within three years. If not reactivated during that period, the program will automatically terminate.
- i. Curriculum modifications that increase required hours for a degree to more than 60 for the associate degree and 120 for the baccalaureate degree, or more than the previously approved exceptions. Also, modifications that increase or decrease credit hours from what was previously approved for a certificate or increases or decreases an existing graduate program in excess of 6 credit hours must be submitted for Board approval.
- j. Current approved on-ground programs that will be converted to a fully online delivery format.

C. Academic Proposals Requiring Only Notification to Vice Chancellor

- 1. Changes to existing academic programs not listed in the previous section, that require no new costs or minimal costs that the campus will fund through reallocation of existing resources or through sources such as grants and gifts, may be approved through an established process by the institution.

2. The Vice Chancellor for Academic Affairs must be informed of such changes impacting university programs, and the Vice Chancellor for Community Colleges must be informed of such changes impacting community college programs, prior to implementation and may refer the proposal for Board approval if deemed appropriate due to costs or other potential concerns.
3. Such action includes, but is not limited to, the establishment of new minors and changes such as the modification of the title of an academic program or unit.
4. Minors are typically developed by packaging existing courses and do not usually require new resources or additional costs.
5. Non-substantive curriculum revisions may be approved through the established institutional process and do not require notification or Board approval

D. Additional Actions Requiring Review by THEC

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

III. Procedures

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

1. Approval Route of Proposals

- a. Proposals from TBR universities for academic actions that require approval by the Board of Regents shall be submitted to the Vice Chancellor for Academic Affairs for review and approval by the Board. Proposals from TBR community colleges for academic actions that require approval by the Board of Regents shall be submitted

to the Vice Chancellor for Community Colleges for review and approval by the Board.

- b. Subsequent to Board action, the Chancellor shall transmit to the Tennessee Higher Education Commission those proposals that require its approval along with the Board's recommendation.

2. Schedule for the Submission and Approval of Academic Proposals

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

3. Review by and Selection of Consultants

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

- d. While it is the responsibility of the institution to nominate and support such consultants, the selection will be made by the TBR staff and the Vice Chancellor for Academic Affairs or the Vice Chancellor for Community Colleges, as appropriate, in consultation with the THEC.
- e. All costs associated with an external review are the responsibility of the institution submitting the proposal.

IV. General Criteria for Reviewing Academic Letters of Intent and Proposals

- A. A summary of the major criteria used by the TBR staff in evaluating academic proposals is presented below.
- B. Specific requirements for letters of Intent are provided in the TBR Guideline A-010: Academic Program Letters of Intent and Proposals.
 - 1. The proposed action is central to the mission, role, and scope of the institution.
 - 2. The need for the proposed program is supported by data documenting student interest, employer demand, societal needs, and administrative effectiveness.
 - 3. The proposed action does not constitute unnecessary duplication of academic programs available at other public institutions. Partnerships or collaborations should be considered whenever needs might be met with greater efficiency.
 - 4. The proposal must establish quality admission, retention and graduation standards in keeping with best practices.
 - 5. The curriculum of the proposed program must meet the stated objectives of the program and reflects breadth, depth, theory and practice at the appropriate level to the discipline and the degree. Undergraduate curriculum must ensure General Education core requirement commonality. The curriculum should be compatible with accreditation

where applicable, and meet the criteria for articulation and transfer (where appropriate) of 19-hour pre-major paths.

6. The proposal documents the institution's ability to implement the proposed action in terms of:
 - a. fiscal resources,
 - b. advisement, library and other support resources,
 - c. physical facilities, and
 - d. qualified personnel.
7. The proposal includes information about appropriate articulation and/or affiliations.
8. The proposal includes information about the delivery format.
9. The proposed program must clearly state the organizational structure and administrative responsibilities associated with its operation.
10. Proposals pertaining to academic programs should include a description of procedures for regular post-approval evaluation of the programs and units, including evaluation of the program's enrollment and productivity, and how the results will be used to enhance program quality.
11. Proposals include information related to accreditation, both SACS and professional, and when applicable, provide a time frame for achieving the appropriate accreditation.
12. Proposals also include a statement as to how the program will enhance racial diversity.
13. Proposals include curriculum vita for all faculty engaged in program delivery.
14. A sequenced program of study by semester must be included.

15. In the case of interdisciplinary or joint graduate programs or when faculty are committed to teach in graduate multiple programs, a matrix of faculty time allocations to each program must be provided.
16. Syllabi for all courses to be included in the proposed program must be included at the time of full proposal submission.
17. If proposing a program which duplicates a program at another institution within the System, the letter of intent and proposal should include a cross-walk comparative of the curriculum.

V. Sources of Specific Criteria

- A. Listed below are illustrative sources of specific criteria that serve as bases for staff decisions relative to academic proposals.
 1. TBR Policy No. 2:01:00:00, Undergraduate Degree Requirements
 2. TBR Policy No. 2:02:00:00, Associate Degree Programs
 3. TBR Policy No. 2:01:00:03, Principles for Articulation in Vocational/Technical Education
 4. TBR Guideline No. A-010, Academic Program Proposals
 5. TBR Guideline No. A-020, Inter-Institutional Relationships and Off-Campus Affairs
 6. TBR Guideline No. A-040, Evaluation of Bureaus, Centers, and Institutes
 7. TBR Action (December 1986) endorsing TCGS Criteria as standards for both pre- and post-approved review of Master's programs.
 8. THEC Policy No. A1:0, New Program Review Criteria (November 2002)
 9. THEC Policy No. A1:1, New Academic Programs (July 28, 2011)

10. THEC Policy A1:3, New Units

Sources

TBR Meeting, December 2, 1988; TBR Meeting, December 13, 2002; TBR Meeting, March 29, 2006; TBR Meeting, December 8, 2006; March 28, 2008; TBR Board Meeting December 2, 2010; TBR Board Meeting December 8, 2011.

Related Policies

- [Associate Degree Programs](#)
- [Principles for Articulation in Vocational/Technical Education](#)
- [Academic Program Letters of Intent and Proposals](#)
- [Criteria for the Evaluation of Bureaus, Centers, Institutes](#)
- [General Education Requirements and Degree Requirements](#)
- [Inter-Institutional Relationships & Off-Campus Offerings](#)



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Recommended Revisions to Policy 4:01:00:00 - Budget Control
DATE:	March 28, 2014
PRESENTER:	Dale Sims
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

The following revisions are recommended for Policy 4:01:00:00

Section II.A.3.

- This change clarifies that once institutions transfer funds into plant fund projects are not prohibited from reallocating these funds or transferring them to other funds. This change is necessary to prevent potential auditor misunderstandings.

Section II.B.2.a

- Revision sets a threshold of 1% of total expenditures before budget revisions between functional areas require the Chancellor's approval.

Section III.A.1.c

- Remove phrase "from unrestricted current funds" since the transfers to unexpended plant funds can originate from other funds.

Section III.A.2.b

- Revision changes the required minimum extraordinary maintenance balance from \$150,000 for universities and \$100,000 for community colleges to the greater of 0.1% of plant funds or \$150,000 for universities or \$100,000 for community colleges. The prior thresholds did not consider the size of the institution and, in some cases, were too small to provide a meaningful hedge against extraordinary maintenance needs.

Section III.B.2.

- Add clarifying language that all institutions with the responsibility for replacing auxiliary equipment must transfer at least 5% of auxiliary gross margin to the renewal and replacement fund. This is consistent with past instructions provided to institutions.
- Delete obsolete final sentence requiring guidelines from the Chancellor on additions to the renewal and replacement fund.

Section III. C.3.

- Delete requirement that all transfers from debt service accounts must be approved by the Chancellor.

Budget Control: 4:01:00:00

Printed on January 13,2014,9:05am

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

TCATs,Community Colleges,Universities,System Office

Purpose

It is widely recognized that budget control is essential for effective financial management of any organization. In view of this, it is the purpose of this policy to provide clear and specific responsibility for proper budget management and control among the institutions governed by the

Tennessee Board of Regents. It is the control mechanism aspect of budgeting that is the focus of this policy.

Definitions

- Budgeting- the process whereby the plans of an institution are translated into an itemized, authorized, and systematic plan of operation, expressed in dollars, for a given period. Budgets are the blueprints for the orderly execution of program plans; they serve as control mechanisms to match anticipated and actual revenues and expenditures.

Policy/Guideline

- I. Submission of Budgets
 - A. It is recognized that a budget is a plan and that circumstances may necessitate revisions or changes to the original plan from time to time. In view of this, institutions are to submit detailed budgets to the Tennessee Board of Regents for approval three times for each fiscal year. The three submissions are described briefly as follows:
 1. Proposed Budget- This is the original budget prepared in the spring that is for the fiscal year to begin July 1. It is normally submitted to the Tennessee Board of Regents for

2. Revised Budget- This budget is a revision of the proposed budget and is normally referred to as the "October Revised Budget". It is prepared as of October 31 after actual fall enrollments and other estimated costs and closing balances are known and is normally submitted to the Tennessee Board of Regents for approval at the December Board meeting.
3. Spring Estimated Budget- This budget is the final budget submitted for the current year operations. It is submitted in the spring at the same time as the Proposed Budget for the coming year. This is the final approved budget for the institutions and therefore contains the control totals against which final year-end amounts are compared.

B. It should be noted that the approval of a budget does not waive statutory, policy, or other restrictions for expending funds.

II. Operating Budgets

A. Level of Budget Control

1. Institutional budget control amounts are approved for the major educational and general functional classifications of Instruction, Research, Public Service, Academic Support, Student Services, Institutional Support, Operation and Maintenance of Plant, and Scholarships and Fellowships where applicable.
2. Auxiliary Enterprises are controlled on a profit or break-even basis.
3. Additionally, control amounts are approved for educational and general transfers, both mandatory and non-mandatory. Funds transferred to other funds whether mandatory or non-mandatory are restricted in the other funds for the designated purpose. This restriction, however, does not prevent subsequent reallocations or transfers to other funds.
4. All discretionary allocations of the fund balance must be approved. Once approved the institution may not exceed those functional control limits established by the Board without prior approval of the Chancellor.

B. Budget Revisions

1. Revisions within Functional Area
 - a. Institutions may make budget revisions within a given functional area at the campus level.
 - b. The revisions should be properly documented and approved by the president

or director, or his or her designee.

2. Revisions between Functions

- a. Budget revisions from one functional area to another -that exceed 1% of total expenditures must receive prior approval of the Chancellor if proposed at other than the three regular budget submission times.
- b. The request for revision should be submitted by the president in writing with a detailed explanation.
- c. The college of applied technology director must receive the approval of the president of the lead institution prior to submission to the Chancellor.

3. Revision of Overall Expenditure Total

- a. Budget revisions to one or more educational and general functional areas that increase the overall educational and general budget must receive prior approval of the Chancellor if proposed at other than the three regular submission times.
- b. The request for revision should be submitted in accordance with item 2 above and should include the source of funding for the proposed revision.

III. Plant Fund Budgets

A. Unexpended Funds

1. General

- a. The purpose of the Unexpended Plant Fund is to account for the unexpended resources derived from various sources to finance the acquisition of long-term plant assets and the associated liabilities.
- b. These funds will be used for capital projects such as major additions and/or renovations to physical facilities.
- c. Institutions may request approval for transfer of funds to the Unexpended Plant Fund from ~~unrestricted current funds~~ during the regular budgetary process or special request to the Chancellor.
- d. All funds added or transferred into the Unexpended Plant Fund will be controlled by specific project.
- e. Commitments or expenditures for any capital project shall be in conformance with all applicable state laws and requirements of the State Building Commission.
- f. All project budget revisions and the utilization of reallocated project balances shall be approved by the Chancellor or designee.

2. Extraordinary Maintenance

- a. Within the Unexpended Plant Fund, each institution shall establish an account for extraordinary maintenance to be used for unusual or unanticipated maintenance needs.
- b. The annual budget shall include a minimum ~~transfer~~ balance in the extraordinary maintenance account. This minimum shall be the greater of 0.1% of plant funds or \$150,000 at universities and \$100,000 at community colleges ~~for extraordinary maintenance, as specified in the annual budget instructions of the Chancellor.~~
- c. All projects in the extraordinary maintenance account shall be approved by the Chancellor or designee.

B. Renewals and Replacements

1. The resources set aside for renewals and replacements, as distinguished from additions and improvements to plant, are accounted for in this fund group.
2. Institutions which have the responsibility to replace auxiliary equipment must transfer at least 5% of auxiliary gross margin to the renewal and replacement fund. ~~Guidelines for additions to this fund will be communicated through the annual budget instructions of the Chancellor.~~

C. Retirement of Indebtedness

1. The purpose of this fund is to account for the accumulation of resources for interest and principal payments and other debt service charges relating to plant fund indebtedness.
2. Additions to this fund are to be set up in separate debt service accounts.
3. ~~All transfers from debt service accounts must be approved by the Chancellor.~~

IV. Guideline and Position Controls

A. Aside from functional budget control, institutions are required to comply with certain other controls.

1. A schedule of these controls will be distributed with the budget guidelines each year.

B. Position control is a part of the personnel budget process.

1. The number of authorized permanent positions at each institution is controlled within unrestricted education and general accounts and auxiliaries.
2. Controls exist on the total number of positions at the institution and on the

classification of those positions (administrative, faculty/academic, professional, and clerical/support).

3. Positions are reported to the Board office each year in the proposed and revised budgeting processes, and at additional times as requested by the Board office during the legislative session.
4. Authorized permanent positions for each institution are approved at the June and December Board meetings.
5. Changes may be requested by special request to the Chancellor in the interim between budget periods.

V. Legislative Controls

A. Each budget year will normally have unique guidelines and requirements depending on legislative or executive branch requirements.

1. A schedule of these requirements will be prepared each budget cycle.
2. It is the responsibility of the institution to insure that all budget guidelines for a given fiscal year are incorporated into the budget and are carried out operationally.

VI. Budget Control

A. Each institution shall develop appropriate controls and procedures and insure that established control limits are not exceeded.

B. Summary management reports should be prepared for top level administrators to evaluate the current financial status of the institution.

VII. Follow-up by Board Staff

A. At the end of each fiscal year, the Board staff will review the annual financial report of each institution.

B. Actual year-end amounts will be compared to the Spring Estimated Budget or the Spring Estimated Budget as officially revised, which is the final approved budget for the year.

C. Functional expenditure totals will be analyzed for adherence to the approved control levels.

D. The financial information will also be examined for compliance with all budget guidelines and/or Board policies in effect for the fiscal year just completed.

E. The Chancellor shall report any institutional deficiencies or non-compliance with

budget controls and guidelines to the Board.

Sources

TBR Meetings: September 30,1983; December 8,2006

Contact

Mickey Sheen

615-366-4437

mickey.sheen@tbr.edu



Budget Control: 4:01:00:00

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

It is widely recognized that budget control is essential for effective financial management of any organization. In view of this, it is the purpose of this policy to provide clear and specific responsibility for proper budget management and control among the institutions governed by the

Tennessee Board of Regents. It is the control mechanism aspect of budgeting that is the focus of this policy.

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B. It should be noted that the approval of a budget does not waive statutory, policy, or other restrictions for expending funds.

II. Operating Budgets

A. Level of Budget Control

1. Institutional budget control amounts are approved for the major educational and general functional classifications of Instruction, Research, Public Service, Academic Support, Student Services, Institutional Support, Operation and Maintenance of Plant, and Scholarships and Fellowships where applicable.
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3. Additionally, control amounts are approved for educational and general transfers, both mandatory and non-mandatory. Funds transferred to other funds whether mandatory or non-mandatory are restricted in the other funds for the designated purpose. This restriction, however, does not prevent subsequent reallocations or transfers to other funds.
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 - b. The revisions should be properly documented and approved by the president or director, or his or her designee.
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 - b. The request for revision should be submitted by the president in writing with a detailed explanation.
 - c. The college of applied technology director must receive the approval of the president of the lead institution prior to submission to the Chancellor.
3. Revision of Overall Expenditure Total
- a. Budget revisions to one or more educational and general functional areas that increase the overall educational and general budget must receive prior approval of the Chancellor if proposed at other than the three regular submission times.
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- c. Institutions may request approval for transfer of funds to the Unexpended Plant Fund during the regular budgetary process or special request to the Chancellor.
- d. All funds added or transferred into the Unexpended Plant Fund will be controlled by specific project.
- e. Commitments or expenditures for any capital project shall be in conformance with all applicable state laws and requirements of the State Building Commission.
- f. All project budget revisions and the utilization of reallocated project balances shall be approved by the Chancellor or designee.

2. Extraordinary Maintenance

- a. Within the Unexpended Plant Fund, each institution shall establish an account for extraordinary maintenance to be used for unusual or unanticipated maintenance needs.
- b. The annual budget shall include a minimum balance in the extraordinary maintenance account. This minimum shall be the greater of 0.1% of plant funds or \$150,000 at universities and \$100,000 at community colleges.
- c. All projects in the extraordinary maintenance account shall be approved by the Chancellor or designee.

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1. A schedule of these controls will be distributed with the budget guidelines each year.

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1. The number of authorized permanent positions at each institution is controlled within unrestricted education and general accounts and auxiliaries.
2. Controls exist on the total number of positions at the institution and on the classification of those positions (administrative, faculty/academic, professional, and clerical/support).

3. Positions are reported to the Board office each year in the proposed and revised budgeting processes, and at additional times as requested by the Board office during the legislative session.
4. Authorized permanent positions for each institution are approved at the June and December Board meetings.
5. Changes may be requested by special request to the Chancellor in the interim between budget periods.

V. Legislative Controls

A. Each budget year will normally have unique guidelines and requirements depending on legislative or executive branch requirements.

1. A schedule of these requirements will be prepared each budget cycle.
2. It is the responsibility of the institution to insure that all budget guidelines for a given fiscal year are incorporated into the budget and are carried out operationally.

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A. Each institution shall develop appropriate controls and procedures and insure that established control limits are not exceeded.

B. Summary management reports should be prepared for top level administrators to evaluate the current financial status of the institution.

VII. Follow-up by Board Staff

A. At the end of each fiscal year, the Board staff will review the annual financial report of each institution.

B. Actual year-end amounts will be compared to the Spring Estimated Budget or the Spring Estimated Budget as officially revised, which is the final approved budget for the year.

C. Functional expenditure totals will be analyzed for adherence to the approved control levels.

D. The financial information will also be examined for compliance with all budget guidelines and/or Board policies in effect for the fiscal year just completed.

E. The Chancellor shall report any institutional deficiencies or non-compliance with budget controls and guidelines to the Board.

Sources

TBR Meetings: September 30, 1983; December 8, 2006

Contact

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mickey.sheen@tbr.edu





TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Recommended Revisions to Policy 4:01:00:10 -
Community College Resource Allocation Plan

DATE: March 28, 2014

PRESENTER: Dale Sims

ACTION REQUIRED: Roll Call Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The following revisions are recommended for Policy 4:01:00:10

- Delete the Collaboration definition at the beginning of the policy. This deletion is necessary due to the sunset provision included in the Allocation for Collaboration section. The sunset date was June 30, 2013.

Section I.C.1.a.1-5

- Delete this entire section Allocation for Collaboration due to sunset date of June 30, 2013.

Community College Resource Allocation Plan : 4:01:00:10

Printed on January 13, 2014, 9:08am

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

Community Colleges

Purpose

The purpose of this policy is to establish a plan for allocation of resources among community colleges as required by T.C.A. §49-7-202 (c) (4) (D)):

For fiscal years ending on and after June 30, 2013, the commission shall have no authority for recommending individual community colleges operating budgets or in approving or disapproving the transfer of any funds between community colleges as may be determined necessary by the board of regents.

The intent of this policy is to:

Reinforce the performance incentives present in the higher education funding formula adopted by the Tennessee Higher Education Commission; and

Support development of a unified system of community colleges as dictated by the Complete College Tennessee Act of 2010, including providing financial incentives for cooperative action among institutions.

This policy provides for the pooling of community college resources to be used for system level investments, provision of funding for certain new program start-up expenses, expenses shared among all community colleges, to reward collaboration, and to allocate remaining resources among all community colleges.

Definitions

- ~~• Collaboration For purposes of allocation of funds, collaboration can be viewed as two or more institutions voluntarily bringing their knowledge and experience together by interacting toward a common goal in the best interest of students for the betterment of their education success. The Board acknowledges that defining measures for collaboration is challenging, that defining an excessive number of measures may limit the incentive to collaborate in meaningful ways, and defining too few measures may focus institution's efforts on unproductive collaboration.~~

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Policy/Guideline

I. Community College System Investment Account ("Account")

A. Account Established.

1. There is established at the Board Office a Community College System Investment Account for the benefit of the Tennessee Community College System.
2. For each fiscal year, the target funding level of the Account will be an amount equal to point five percent (0.5%) of the Community College System recurring state appropriation.
3. To achieve the target funding level, the difference between the estimated funding level at fiscal year-end and the target funding level will be calculated. Should a deficit exist, an amount equal to 1/12th of the deficit amount will be withheld from the monthly Community College System state appropriation and deposited to the Account.
4. The Chancellor is authorized to allocate funds within the Account among the categories of uses provided below.

B. Uses of Account

1. System Level Investments. It is the Board's intent that funds be available to initiate or maintain activities that promote the interest and wellbeing of the community college system and its students. Examples of system level investments may include, but are not limited to, activities designed to communicate the benefit to students of considering attending community colleges, funding to support block scheduling and fast track activities. The Vice Chancellor for Community Colleges, in consultation with the Presidents, shall recommend the allocation of funds for specific system level

investments, subject to approval by the Chancellor.

2. Program Start-Up Funding. It is the Board's intent that funds be available to offset the cost to an individual college of development of a new program offering that is portable to other colleges and meets the needs of students at multiple colleges or the system as a whole. Guidelines shall be established that specify the process and criteria used in determining which program start-up proposals should be funded through this mechanism.
3. Community College System Shared Expenses. Eligible expenses include, but not be limited to, salaries, benefits and operational expenses that directly support the operations of the Office of Community Colleges, common licensing of software, and other expenses borne individually by colleges. The Vice Chancellor for Community Colleges, in consultation with the Presidents, shall recommend the allocation of funds for system level shared expenses, subject to approval by the Chancellor.
4. Reporting. On an annual basis the Chancellor shall file a written report with the Board Committee on Academic Policies and Programs and Student Life summarizing the activities funded through the Investment Account.

C. Allocation of Funds to Community Colleges

1. After funding of the Account, remaining state appropriations are to be distributed to individual community colleges in the following order:

~~a. Allocation for Collaboration~~

~~(1) It is the Board's intent that colleges have a financial incentive to collaborate in ways that promote increased educational outcomes by engaging in activities such as sharing effective instructional practices, facilities, instructional and other resources in ways that promote student success and efficient, cost effective operations.~~

~~(2) As part of the annual July Budget approval process, an amount determined by the Board of the remaining Community College System recurring state appropriation shall be set aside to recognize and reward collaboration among community colleges. This item shall be effective for fiscal years beginning July 1,~~

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~~2014.~~

~~(3) Guidelines shall be developed governing the measures used to evidence collaboration and how these metrics are used to distribute funding pursuant to this item; provided, it is the Board intent that collaboration efforts be focused in ways that lead to increased outcomes.~~

~~(4) Reporting. On an annual basis the Chancellor shall file a written report with the Board Committee on Academic Policies and Programs and Student Life summarizing the activities funded through the Collaboration Allocation.~~

~~(5) Sunset – The provisions of this policy section (II. A.) shall expire and have no effect as of June 30, 2013 absent subsequent Board action.~~

D.a. Allocation of Remaining Recurring State Appropriation.

1. Board staff, in consultation with THEC staff, shall annually determine the percentage of the total Community College System recurring state appropriation that is attributable to each individual college as calculated within the THEC higher education funding formula.
2. The allocation of recurring state appropriation remaining after distributions to the Investment Account and for Collaboration shall be calculated by multiplying the remaining recurring state appropriation by the percentage determined for each college in II.B.1.

E.D. Delegation

1. The Board acknowledges and grants authority for the development of guidelines necessary to implement the provisions of this policy, such guidelines to be consistent with and in furtherance of the provisions of this policy.

F.E. Exceptions

1. Exceptions to this policy may be recommended by the Vice Chancellor for the Community Colleges for interim approval by the Chancellor.

Sources

TBR Board Meeting June 28, 2012.

Community College Resource Allocation Plan : 4:01:00:10

Printed on January 13, 2014, 9:08am

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

Community Colleges

Purpose

The purpose of this policy is to establish a plan for allocation of resources among community colleges as required by T.C.A. §49-7-202 (c) (4) (D)):

For fiscal years ending on and after June 30, 2013, the commission shall have no authority for recommending individual community colleges operating budgets or in approving or disapproving the transfer of any funds between community colleges as may be determined necessary by the board of regents.

The intent of this policy is to:

Reinforce the performance incentives present in the higher education funding formula adopted by the Tennessee Higher Education Commission; and

Support development of a unified system of community colleges as dictated by the Complete College Tennessee Act of 2010, including providing financial incentives for cooperative action among institutions.

This policy provides for the pooling of community college resources to be used for system level investments, provision of funding for certain new program start-up expenses, expenses shared among all community colleges, to reward collaboration, and to allocate remaining resources among all community colleges.

Definitions

Policy/Guideline

I. Community College System Investment Account ("Account")

A. Account Established.

1. There is established at the Board Office a Community College System Investment Account for the benefit of the Tennessee Community College System.
2. For each fiscal year, the target funding level of the Account will be an amount equal to point five percent (0.5%) of the Community College System recurring state appropriation.
3. To achieve the target funding level, the difference between the estimated funding level at fiscal year-end and the target funding level will be calculated. Should a deficit exist, an amount equal to 1/12th of the deficit amount will be withheld from the monthly Community College System state appropriation and deposited to the Account.
4. The Chancellor is authorized to allocate funds within the Account among the categories of uses provided below.

B. Uses of Account

1. System Level Investments. It is the Board's intent that funds be available to initiate or maintain activities that promote the interest and wellbeing of the community college system and its students. Examples of system level investments may include, but are not limited to, activities designed to communicate the benefit to students of considering attending community colleges, funding to support block scheduling and fast track activities. The Vice Chancellor for Community Colleges, in consultation with the Presidents, shall recommend the allocation of funds for specific system level investments, subject to approval by the Chancellor.
2. Program Start-Up Funding. It is the Board's intent that funds be available to offset the cost to an individual college of development of a new program offering that is portable to other colleges and meets the needs of students at multiple colleges or the system as a whole. Guidelines shall be established that specify the process and criteria used in determining which program start-up proposals should be funded through this mechanism.

3. Community College System Shared Expenses. Eligible expenses include, but not be limited to, salaries, benefits and operational expenses that directly support the operations of the Office of Community Colleges, common licensing of software, and other expenses borne individually by colleges. The Vice Chancellor for Community Colleges, in consultation with the Presidents, shall recommend the allocation of funds for system level shared expenses, subject to approval by the Chancellor.
4. Reporting. On an annual basis the Chancellor shall file a written report with the Board Committee on Academic Policies and Programs and Student Life summarizing the activities funded through the Investment Account.

C. Allocation of Funds to Community Colleges

1. After funding of the Account, remaining state appropriations are to be distributed to individual community colleges in the following order:

a. Allocation of Recurring State Appropriation.

1. Board staff, in consultation with THEC staff, shall annually determine the percentage of the total Community College System recurring state appropriation that is attributable to each individual college as calculated within the THEC higher education funding formula.
2. The allocation of recurring state appropriation remaining after distributions to the Investment Account and for Collaboration shall be calculated by multiplying the remaining recurring state appropriation by the percentage determined for each college in II.B.!

D.. Delegation

1. The Board acknowledges and grants authority for the development of guidelines necessary to implement the provisions of this policy, such guidelines to be consistent with and in furtherance of the provisions of this policy.

E.. Exceptions

1. Exceptions to this policy may be recommended by the Vice Chancellor for the Community Colleges for interim approval by the Chancellor.

Sources

TBR Board Meeting June 28,2012.



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Recommended Revisions to Policy 4:01:01:10 - Deposit and Investment of Funds
DATE:	March 28, 2014
PRESENTER:	Dale Sims
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

The following revisions are recommended for Policy 4:01:01:10:

Section I.B.

- Add language updating policy to allow electronic signatures of the president and chief business officer. Without this update, wire transfer approvals conflict with the policy.
- Delete obsolete phrase “or ten thousand dollars, whichever is greater” since 1% of all institutions’ state appropriation amounts now exceed \$10,000.

Section III.D.

Clarify that depository contract agreement terms cannot exceed 5 years.

Section V.G.

- Change “telephone bids” to “competitive bids” since competitive bids can be obtained in ways other than telephone calls.

Section V.L.1.

- To ensure compliance with TCA, change the limit of allowable investments in banker’s acceptances from shall not exceed 20% of total investments on the date of acquisition to shall not exceed 5% of total investments on the date of acquisition.

Section VI.C.

- Change “restricted chart of accounts” to “separate chart of accounts” since “restricted” has another meaning in governmental accounting terms.

Deposit & Investment of Funds: 4:01:01:10

Printed on January 13, 2014, 9:15am

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

The following policy on the deposit and investment of funds is adopted by the Board of Regents for the institutions under its jurisdiction, and shall apply to all funds, regardless of source, which are received by any institution.

All depositories which provide deposit or investment services shall agree to comply with the terms of this policy, and with the requirements of Chapter 4 of Title 9 of Tennessee Code Annotated as amended, and the latter provisions shall control in the event of conflict. Words and phrases used in this policy shall have the same definition and meaning as in Chapter 4 of Title 9 Tennessee Code Annotated.

Definitions

- Collateral Security- means securities which may be accepted as collateral for deposits.
- Compensating balances- means the amount of funds allowed to remain in an account.
- Default- may include but is not limited to:
 - o The failure of any qualified public depository to return any public deposit, including earned interest in accordance with the terms of the deposit contract.
 - o The failure of any qualified public depository to pay any properly payable check, draft or warrant drawn by the public depositor.
 - o The failure of any qualified public depository to honor any valid request for electronic transfer of funds.

- o The failure of any qualified public depository to account for any check, draft, warrant, order, deposit certificate or money entrusted to it.
- o The issuance of any order of any court or the taking of any formal action by any supervisory authority, which has the effect of restraining a qualified public depository from making payments of deposit liabilities.
- o The appointment of a conservator or receiver for a qualified public depository; or
- o Any other action which the treasurer determines to place public deposits in jeopardy.
- o Failure to provide the required collateral.
- Deposit Insurantee - means the insurantee provided by the Federal Deposit Insurantee Corporation.
- Eligible Collateral- shall have the meaning set forth in T.C.A. § 9-4-103. For savings institutions securing local government deposits, eligible collateral shall also include securities described in T.C.A. § 9-1-107(a)(2) under such additional conditions as the treasurer deems appropriate.
- Loss- includes but is not limited to:
 - o The principal amount of the public deposit;
 - o All accrued interest through the date of default;
 - o Additional interest at the rate the public deposit was earning on the total of the principal amount of the public deposit and all accrued interest through the date of default, through the day of payment by a liquidator or other third party or through the date of sale of eligible collateral by the treasurer or his agent; and
 - o Attorney's fees incurred in recovering public deposits.
- Market Value- means current market price.
- Depository- means any bank, savings and loan association or savings bank (collectively referred to as savings institutions) located in the state of Tennessee which is under the supervision of the Department of Financial Institutions, the United States Comptroller of the Currency, or the Office of Thrift Supervision, and which has been appropriately designated to hold public deposits by a public depositor.
- Required Collateral- means eligible collateral, excluding accrued interest, having a market value equal to or in excess of the greater of the average daily balance or average monthly balance of public deposits multiplied by the qualified public depository's collateral-pledging

level as required by the Tennessee Board of Regents. (T.C.A. § 9-4-502)

- Trust Receipts- means a receipt issued by the trustee custodians in lieu of the actual deposit of eligible collateral, it is subject in all respects to the claims and rights of the institution to the same extent as though such collateral had been physically deposited with the institution.
- Trustee Custodian- means a financial institution designated to hold eligible collateral on behalf of the Tennessee Board of Regents or its institutions and a qualified public depository pursuant to T.C.A. § 9-4-108.

Policy/Guideline

I. Depository Accounts

- A. Each institution shall maintain one general operating account and one payroll account at an authorized depository for the regular operating and payroll functions of the institution. No additional checking accounts may be opened or maintained by any institution unless approved by the Chancellor or his or her designee.
- B. All checks, drafts, or other methods of withdrawing funds from an account must be co-signed by the president and the chief business officer of the institution; provided that facsimile signatures may be used on checks, drafts, or other methods of withdrawals; and provided that any authorization or request for withdrawal form shall bear the original or electronic signature of the president or the chief business officer or designee approved by the president in all cases where expenditures exceed one percent (1%) of the state appropriation to the institution ~~for the year or ten thousand dollars (\$10,000.00), whichever is greater.~~
- C. The President of each institution is authorized to establish one or more checking accounts for the deposit and disbursement of petty cash funds within the business office. Additional petty cash accounts may be authorized by the presidents for departments external to the business office provided that no account shall exceed one thousand dollars (\$1,000.00). If the custodian of the fund has accepted responsibility for the funds in writing, and has agreed to repay any shortages or expended funds not properly accounted for from the account, then the custodian may be designated as the signatory authority for the account, and the

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custodian or the chief business officer of the institution shall be authorized to withdraw funds from the account.

- D. Institutions will retain written documentation of employees' authority to perform routine activities related to the depository accounts.
- E. No accounts shall be authorized or established which are complimentary non-interest bearing accounts. When using compensatory balances, the amount of funds allowed to remain in any checking account should be reasonably related to the number of transactions to be processed through the account during any month, and other servicing costs, if any.

II. Collateral

- A. All depositories must provide collateral security for deposits and accrued interest in all accounts, including checking, savings, and certificates of deposit. Securities which may be accepted as collateral for deposits shall be limited to those specified in T.C.A. § 9-4-103. All items listed in Section V.J of this policy and items noted in Section V.K are eligible as collateral.
- B. The required collateral accepted as security for deposits at financial institutions that do not participate in the collateral pool shall be collateral whose market value is equal to one hundred five percent (105%) of the value of the deposit and secured thereby; less so much of such amount as is protected by the Federal Deposit Insurance Corporation or the Federal Savings and Loan Insurance Corporation. The required collateral accepted as security for deposits at financial institutions participating in the collateral pool will be set by the Department of Treasury.
- C. At the time of designation as an institution's depository or at any time thereafter, additional collateral with a market value of one hundred thousand dollars (\$100,000) shall be required where the capital to asset ratio of a savings and loan association, savings bank, or bank is less than five percent (5%). This additional collateral shall be in addition to the collateral required by other provisions of this policy.
- D. The market value of required collateral shall be evaluated by the institution monthly and more frequently if required by unusual market conditions. Any depository not providing collateral with a market value as specified in II.B above must provide additional, adequate collateral within two working days of a request by the institution. Failure to provide the additional collateral may be considered an act of default.

- E. In the case of a checking account, the market value of the collateral accepted as security for deposits shall be the amount specified in Section II.B based on the highest daily depository book balance in the account for the preceding month excluding large deposits covered below. The amount of the depository balance must be determined on or before the fifth day of the month in question. Large deposits, such as registration receipts, which may result in insufficient collateral, either should be invested immediately or additional collateral should be in place. (If the investment is in a certificate of deposit, the certificate must be collateralized.) Alternatively, depositories may be allowed to post collateral daily to cover the current depository book balance.
- F. Any loss to the institution due to a depository's default shall be satisfied out of collateral pledged by the depository to whatever extent possible. The collateral security shall be liable for any loss, including and not limited to the principal amount of the deposit, for accrued interest through the date of default, for additional interest through the date of recovery on the principal and accrued interest at the rate the deposit was earning, and for attorney's fees incurred in recovering deposits and other losses.
- G. An institution must either be provided the actual securities pledged as collateral for deposits, or trust receipts from trustee custodians for the collateral in lieu of the actual delivery of the securities. A trustee custodian is one which meets the requirements of T.C.A. § 9-4-108. When any trustee custodian holds collateral for an institution's depository which is related to the custodian through shared ownership or control, such collateral shall be held in a restricted account at a Reserve Federal Bank or branch thereof or at a Federal Home Loan or branch thereof.
- H. In lieu of the actual deposit of eligible collateral, the institution is authorized at its option to accept trust receipts therefore.
1. Trust receipts shall be issued by trustee custodians in a form acceptable to the institution following the deposit of eligible collateral with the trustee custodian by an institution's depository.
 2. Eligible collateral deposited with a trustee custodian shall be subject in all respects to the claims and rights of the institution to the same extent as though such collateral had been physically deposited with the institution.

3. Each trust receipt shall be nonnegotiable and irrevocable and shall continue in full force and effect until surrendered by the issuing trustee custodian with the release of the institution endorsed thereon.
4. The institution may present the trust receipt at any time to the issuing trustee custodian and upon delivery thereof shall be entitled to receive any and all collateral represented thereby from the trustee custodian, and such collateral shall thereafter be held by the institution as if deposited with the institution by the depository as collateral, without further liability on the party of the trustee custodian.
5. Following delivery of the collateral to the institution, the institution is permitted to register such collateral in the name of the institution and to hold it on behalf of the depository.

I. Institutions with depositories participating in the collateral pool administered by the Department of Treasury will not be responsible for monitoring the collateral securities pledged. As provided in T.C.A. § 9-4-501 through 9-4-523, the Department of Treasury will monitor the collateral securities pledged.

III. Depository Institutions

- A. Subject to the other requirements of this policy, accounts may be authorized and established at depositories which are either under the supervision of the Department of Financial Institutions, the United States Comptroller of the Currency or the Federal Home Loan Bank Board.
- B. Before a depository may be used by an institution for the deposit of funds in a checking account, it must provide documentation verifying the following:
 1. That the depository is supervised by the Department of Financial Institutions of the State Of Tennessee, the United States Comptroller of the Currency, or the Federal Home Loan Bank Board;
 2. The capital to asset ratio of the depository as of the current date and the date of the last audited financial statements of the depository;
 3. That the depository can comply with the collateral security requirements for all accounts;
 4. The names of the members of the board of directors and officers of the depository;

- 5. The name of the holding company of the depository, if applicable; and
 - 6. The names of the owners often percent (10%) or more of the stock of the depository.
- C. Each institution shall identify the nature and level of services which must be provided by a depository before a checking account is established. Such services should include but are not limited to the minimum services in the standard request for proposals for depository services as set forth in guidelines established pursuant to this policy. Some or all of these services may be required without charge to the institution.
- D. Each institution shall solicit proposals from all qualified depositories with offices within a reasonable distance from the campus, and shall determine those depositories which can provide the nature and level of services for accounts as required by the institution on a competitive basis. The agreement with the depository ~~may be renewed annually for up to four succeeding years.~~ cannot exceed 5 years.

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IV. Depositing Funds

- A. Each institutional department will deposit funds each day when \$500 in funds has been accumulated. All funds must be adequately secured. In all cases, deposit must be made at least once each work week (Monday- Friday) if there are any funds to be deposited.
- B. The \$500 is considered in excess of the established change fund amount.

V. Investments

- A. All investment decisions shall be in accordance with this policy and must be approved by the chief business officer or his or her designee.
- B. All investments in which funds are deposited outside the State of Tennessee must be authorized by the president.
- C. A trustee custodian account should be used for handling and holding all investments, other than the Local Government Investment Pool and collateralized certificates of deposit.
- D. All investments must be made subject to "delivery versus payment."
- E. All funds which are received by an institution and which are available for a sufficient period of time for investment in any interest generating medium should be invested within three (3) days after receipt of such funds.
- F. At a minimum, each institution shall determine rates of return on all feasible authorized

mediums of investment prior to making an investment; and funds shall be invested in those mediums expected to pay the highest rate for the period of time for which the funds are available for investment.

G. All investments of funds in certificates of deposits where the period of investment will exceed thirty (30) days shall be determined on the basis of ~~telephone~~ competitive bids, with appropriate records maintained for audit purposes, including the person obtaining the bids, the institutions

which submitted the bids, the amount and rate of return of each bid, and the person who approved the investment. Where more than one bid provides the highest rate of return available, investments should be made in such a manner that no one institution making one of the high bids receives a disproportionate amount of the investments on the basis of two or more equal bids over a reasonable period of time. Records shall also be maintained on the basis for selecting LGIP and other investments as an investment medium.

H. An investment plan should be developed that specifies liquidity requirements for providing cash needed by an institution.

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- I. Investments of endowments in equity securities shall be limited to funds from private gifts or other sources external to the institution. Endowment investments shall be prudently diversified.
- J. Funds of the institution may be invested in a savings account or certificate of deposit of any depository provided the requirements of this policy including Sections III.A and III.B, and the collateral security requirements of Section II. are met. Other authorized investments, subject to the limitations of Section V.L, are set forth in T.C.A. § 9-4-602.
- K. All investments via repurchase agreements must include the following:
1. There must be a written agreement in accordance with the standard agreement set forth in guidelines established pursuant to this policy.
 2. The agreement must state explicitly that the exchange of assets represents a simultaneous purchase and resale transaction "and is not intended to be collateralized loan."
 3. The purchased securities must be transferred to the Trustee Custodian Account.
 4. The purchased securities must, at the time of purchase, have a current market value of at least 100% of the amount of the repurchase agreement.
- L. The following terms and conditions shall apply to investments:
1. Prime banker's acceptances must be issued by domestic banks with a minimum AA rating or foreign banks with a AAA long term debt rating by a majority of the rating services that have rated the issuer. The short term debt rating services that rate the issuer (minimum of two ratings must be available). Banker's acceptances shall not exceed ~~twenty~~ five percent of total investments on the date of acquisition. The amount invested in any one bank shall not exceed five percent of total investments on the date of acquisition.
 2. Prime banker's acceptances are required to be eligible for purchase by the Federal Reserve System. To be eligible the original maturity must not be more than 270 days, and it must
 - a. arise out of the current shipment of goods between countries or within the United States, or
 - b. arise out of storage within the United States of goods under contract of sale or expected to move into the channel of trade within a reasonable time and that are secured throughout their life by a warehouse receipt or similar document conveying title

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to the underlying goods.

3. The combined amount of banker's acceptances and commercial paper shall not exceed thirty-five percent of total investments at the date of acquisition.
4. Prime commercial paper shall not have a maturity that exceeds 270 days. Acquisitions shall be monitored to assure that no more than five percent of total investments at the date of acquisition are invested in commercial paper of a single issuing corporation. The total holdings of an issuer's paper should not represent more than two percent of the issuing corporation's total outstanding commercial paper. Purchases of commercial paper shall not exceed thirty-five percent of total investments at the date of acquisition. Prime commercial paper shall be limited to that of corporations that meet the following criteria:
 - a. Senior long term debt, if any, should have a minimum rating of A1 or equivalent, and short term debt should have a minimum rating of A1 or equivalent, as provided by a majority of the rating services that rate the issuer. If there is no long term debt rating, the short-term debt rating must be A1 by all rating services (minimum of two).
 - b. The rating should be based on the merits of the issuer or guarantee by a nonbank.
 - c. A financial review should be made to ascertain the issuer's financial strength to cover the debt.
 - d. Commercial paper of a banking institution should not be purchased.
5. The amount invested in money market mutual funds shall not exceed ten percent of total investments on the date of investment.

VI. Lead Institutions and Colleges of Applied Technology

- A. Each college of applied technology is authorized to establish a checking account. The type of account will be based upon the needs of each college of applied technology. A request for the establishment of such an account must be submitted jointly by each college of applied technology director and lead institution president, and be approved by the Chancellor. Each account will be subject to a \$5,000 maximum for any one transaction.

Activity in this account shall be limited to operating transactions, and shall not include travel reimbursement. All transactions must be based on the concept of competitive bidding where possible with appropriate documentation maintained for review. All checks must be co-signed by any two of three authorized employees (director, assistant director, and a third employee) designated in the request for establishing the account. The documentation for the transactions must be reviewed at least quarterly by a person(s) designated by the president of the lead institution.

1. The request to establish such an account should, at a minimum, include a description of the type of account, the procedures that will be followed in administering the account, those persons authorized to sign the checks, the bank where the account will be established, and the person(s) at the lead institutions who will be assigned the responsibility for the quarterly review.

B. The director of the college of applied technology or his or her designee is authorized to establish a depository account for the deposit of miscellaneous revenues received by the college of applied technology. These funds shall be transmitted at least monthly to the lead institution for deposit and investment ~~in~~ on behalf of the college of applied technology.

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C. The lead institution shall maintain ~~restricted~~ a separate chart of accounts on behalf of each of the colleges of applied technology under its jurisdiction pursuant to the provisions of this policy and shall ensure that all interest income generated by the colleges of applied technology is appropriately credited to the individual college of applied technology accounts.

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D. The lead institution shall maintain appropriate fiscal records to ensure the existence of an audit trail for each college of applied technology under its jurisdiction.

VII. General

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

Sources

TBR Meetings: September 29, 1978; September 30, 1983; December 13, 1985; September 18, 1987; September 16, 1988; June 30, 1989; September 21, 1990; June 28, 1991; September 23, 1994; June 21, 1996; October 2, 1998; June 23, 2000; September 26, 2003; December 8, 2006.

Deposit & Investment of Funds: 4:01:01:10

Printed on January 13, 2014, 9:15am

Policy/Guideline Area

Business and Finance Policies

Applicable Divisions

TCATs, Community Colleges, Universities, System Office

Purpose

The following policy on the deposit and investment of funds is adopted by the Board of Regents for the institutions under its jurisdiction, and shall apply to all funds, regardless of source, which are received by any institution.

All depositories which provide deposit or investment services shall agree to comply with the terms of this policy, and with the requirements of Chapter 4 of Title 9 of Tennessee Code Annotated as amended, and the latter provisions shall control in the event of conflict. Words and phrases used in this policy shall have the same definition and meaning as in Chapter 4 of Title 9 Tennessee Code Annotated.

Definitions

- Collateral Security- means securities which may be accepted as collateral for deposits.
- Compensating balances- means the amount of funds allowed to remain in an account.
- Default- may include but is not limited to:
 - o The failure of any qualified public depository to return any public deposit, including earned interest in accordance with the terms of the deposit contract.
 - o The failure of any qualified public depository to pay any properly payable

- o check, draft or warrant drawn by the public depositor.
 - o The failure of any qualified public depository to honor any valid request for electronic transfer of funds.
 - o The failure of any qualified public depository to account for any check, draft, warrant, order, deposit certificate or money entrusted to it.
 - o The issuance of any order of any court or the taking of any formal action by any supervisory authority, which has the effect of restraining a qualified public depository from making payments of deposit liabilities.
 - o The appointment of a conservator or receiver for a qualified public depository; or
 - o Any other action which the treasurer determines to place public deposits in jeopardy.
 - o Failure to provide the required collateral.
- Deposit Insurance - means the insurance provided by the Federal Deposit Insurance Corporation Corporation.
- Eligible Collateral- shall have the meaning set forth in T.C.A. § 9-4-103. For savings institutions securing local government deposits, eligible collateral shall also include securities described in T.C.A. § 9-1-107(a)(2) under such additional conditions as the treasurer deems appropriate.
- Loss- includes but is not limited to:
 - o The principal amount of the public deposit;
 - o All accrued interest through the date of default;
 - o Additional interest at the rate the public deposit was earning on the total of the principal amount of the public deposit and all accrued interest through the date of default, through the day of payment by a liquidator or other third party or through the date of sale of eligible collateral by the treasurer or his agent; and
 - o Attorney's fees incurred in recovering public deposits.

- Market Value- means current market price.
- Depository- means any bank, savings and loan association or savings bank (collectively referred to as savings institutions) located in the state of Tennessee which is under the supervision of the Department of Financial Institutions, the United States Comptroller of the Currency, or the Office of Thrift Supervision, and which has been appropriately designated to hold public deposits by a public depositor.
- Required Collateral- means eligible collateral, excluding accrued interest, having a market value equal to or in excess of the greater of the average daily balance or average monthly balance of public deposits multiplied by the qualified public depository's collateral-pledging level as required by the Tennessee Board of Regents. (T.C.A. § 9-4-502)
- Trust Receipts- means a receipt issued by the trustee custodians in lieu of the actual deposit of eligible collateral, it is subject in all respects to the claims and rights of the institution to the same extent as though such collateral had been physically deposited with the institution.
- Trustee Custodian- means a financial institution designated to hold eligible collateral on behalf of the Tennessee Board of Regents or its institutions and a qualified public depository pursuant to T.C.A. § 9-4-108.

Policy/Guideline

I. Depository Accounts

- A. Each institution shall maintain one general operating account and one payroll account at an authorized depository for the regular operating and payroll functions of the institution. No additional checking accounts may be opened or maintained by any institution unless approved by the Chancellor or his or her designee.

- B. All checks, drafts, or other methods of withdrawing funds from an account must be co- signed by the president and the chief business officer of the institution; provided that facsimile signatures may be used on checks, drafts, or other methods of withdrawals; and provided that any authorization or request for withdrawal form shall bear the original or electronic signature of the president or the chief business officer or designee approved by the president in all cases where expenditures exceed one percent (1%) of the state appropriation to the institution.
- C. The President of each institution is authorized to establish one or more checking accounts for the deposit and disbursement of petty cash funds within the business office. Additional petty cash accounts may be authorized by the presidents for departments external to the business office provided that no account shall exceed one thousand dollars (\$1,000.00). If the custodian of the fund has accepted responsibility for the funds in writing, and has agreed to repay any shortages or expended funds not properly accounted for from the account, then the custodian may be designated as the signatory authority for the account, and the custodian or the chief business officer of the institution shall be authorized to withdraw funds from the account.
- D. Institutions will retain written documentation of employees' authority to perform routine activities related to the depository accounts.
- E. No accounts shall be authorized or established which are complimentary non-interest bearing accounts. When using compensatory balances, the amount of funds allowed to remain in any checking account should be reasonably related to the number of transactions to be processed through the account during any month, and other servicing costs, if any.

II. Collateral

- A. All depositories must provide collateral security for deposits and accrued interest in all accounts, including checking, savings, and certificates of deposit. Securities which may be accepted as collateral for deposits shall be limited to those specified in T.C.A. § 9-4-103. All items listed in Section V.J of this policy and items noted in Section V.K are eligible as collateral.
- B. The required collateral accepted as security for deposits at financial institutions that do not participate in the collateral pool shall be collateral whose market value is equal to one hundred five percent (105%) of the value of the deposit and secured thereby; less so much of such amount as is protected by the Federal Deposit Insurance Corporation or the Federal Savings and Loan Insurance Corporation. The required collateral accepted as security for deposits at financial institutions participating in the collateral pool will be set by the Department of Treasury.
- C. At the time of designation as an institution's depository or at any time thereafter, additional collateral with a market value of one hundred thousand dollars (\$100,000) shall be required where the capital to asset ratio of a savings and loan association, savings bank, or bank is less than five percent (5%). This additional collateral shall be in addition to the collateral required by other provisions of this policy.
- D. The market value of required collateral shall be evaluated by the institution monthly and more frequently if required by unusual market conditions. Any depository not providing collateral with a market value as specified in II.B above must provide additional, adequate collateral within two working days of a request by the institution. Failure to provide the additional collateral may be considered an act of default.

- E. In the case of a checking account, the market value of the collateral accepted as security for deposits shall be the amount specified in Section II.B based on the highest daily depository book balance in the account for the preceding month excluding large deposits covered below. The amount of the depository balance must be determined on or before the fifth day of the month in question. Large deposits, such as registration receipts, which may result in insufficient collateral, either should be invested immediately or additional collateral should be in place. (If the investment is in a certificate of deposit, the certificate must be collateralized.) Alternatively, depositories may be allowed to post collateral daily to cover the current depository book balance.
- F. Any loss to the institution due to a depository's default shall be satisfied out of collateral pledged by the depository to whatever extent possible. The collateral security shall be liable for any loss, including and not limited to the principal amount of the deposit, for accrued interest through the date of default, for additional interest through the date of recovery on the principal and accrued interest at the rate the deposit was earning, and for attorney's fees incurred in recovering deposits and other losses.
- G. An institution must either be provided the actual securities pledged as collateral for deposits, or trust receipts from trustee custodians for the collateral in lieu of the actual delivery of the securities. A trustee custodian is one which meets the requirements of T.C.A. § 9-4-108. When any trustee custodian holds collateral for an institution's depository which is related to the custodian through shared ownership or control, such collateral shall be held in a restricted account at a Reserve Federal Bank or branch thereof or at a Federal Home Loan or branch thereof.
- H. In lieu of the actual deposit of eligible collateral, the institution is authorized at its option to accept trust receipts therefore.

1. Trust receipts shall be issued by trustee custodians in a form acceptable to the institution

following the deposit of eligible collateral with the trustee custodian by an institution's depository.

2. Eligible collateral deposited with a trustee custodian shall be subject in all respects to the claims and rights of the institution to the same extent as though such collateral had been physically deposited with the institution.
3. Each trust receipt shall be nonnegotiable and irrevocable and shall continue in full force and effect until surrendered by the issuing trustee custodian with the release of the institution endorsed thereon.
4. The institution may present the trust receipt at any time to the issuing trustee custodian and upon delivery thereof shall be entitled to receive any and all collateral represented thereby from the trustee custodian, and such collateral shall thereafter be held by the institution as if deposited with the institution by the depository as collateral, without further liability on the party of the trustee custodian.
5. Following delivery of the collateral to the institution, the institution is permitted to register such collateral in the name of the institution and to hold it on behalf of the depository.

- I. Institutions with depositories participating in the collateral pool administered by the Department of Treasury will not be responsible for monitoring the collateral securities pledged. As provided in T.C.A. § 9-4-501 through 9-4-523, the Department of Treasury will monitor the collateral securities pledged.

III. Depository Institutions

- A. Subject to the other requirements of this policy, accounts may be authorized and established at depositories which are either under the

supervision of the Department of Financial Institutions, the United States Comptroller of the Currency or the Federal Home Loan Bank Board.

B. Before a depository may be used by an institution for the deposit of funds in a checking account, it must provide documentation verifying the following:

1. That the depository is supervised by the Department of Financial Institutions of the State of Tennessee, the United States Comptroller of the Currency, or the Federal Home Loan Bank Board;
2. The capital to asset ratio of the depository as of the current date and the date of the last audited financial statements of the depository;
3. That the depository can comply with the collateral security requirements for all accounts;
4. The names of the members of the board of directors and officers of the depository;
5. The name of the holding company of the depository, if applicable; and
6. The names of the owners often percent (10%) or more of the stock of the depository.

C. Each institution shall identify the nature and level of services which must be provided by a depository before a checking account is established. Such services should include but are not limited to the minimum services in the standard request for proposals for depository services as set forth in guidelines established pursuant to this policy. Some or all of these services may be required without charge to the institution.

D. Each institution shall solicit proposals from all qualified depositories with offices within a reasonable distance from the campus, and shall determine those depositories which can provide the nature and level of services for accounts as required by the institution on a competitive basis. The agreement with the depository cannot exceed 5 years.

IV. Depositing Funds

- A. Each institutional department will deposit funds each day when \$500 in funds has been accumulated. All funds must be adequately secured. In all cases, deposit must be made at least once each work week (Monday- Friday) if there are any funds to be deposited.
- B. The \$500 is considered in excess of the established change fund amount.

V. Investments

- A. All investment decisions shall be in accordance with this policy and must be approved by the chief business officer or his or her designee.
- B. All investments in which funds are deposited outside the State of Tennessee must be authorized by the president.
- C. A trustee custodian account should be used for handling and holding all investments, other than the Local Government Investment Pool and collateralized certificates of deposit.
- D. All investments must be made subject to "delivery versus payment."
- E. All funds which are received by an institution and which are available for a sufficient period of time for investment in any interest generating medium should be invested within three (3) days after receipt of such funds.
- F. At a minimum, each institution shall determine rates of return on all feasible authorized mediums of investment prior to making an investment; and funds shall be invested in those mediums expected to pay the highest rate for the period of time for which the funds are available for investment.
- G. All investments of funds in certificates of deposits where the period of investment will exceed thirty (30) days shall be determined on the basis of-competitive bids, with appropriate records maintained for audit purposes,

including the person obtaining the bids, the institutions which submitted the bids, the amount and rate of return of each bid, and the person who approved the investment. Where more than one bid provides the highest rate of return available, investments should be made in such a manner that no one institution making one of the high bids receives a disproportionate amount of the investments on the basis of two or more equal bids over a reasonable period of time. Records shall also be maintained on the basis for selecting LGIP and other investments as an investment medium.

- H. An investment plan should be developed that specifies liquidity requirements for providing cash needed by an institution.
- I. Investments of endowments in equity securities shall be limited to funds from private gifts or other sources external to the institution. Endowment investments shall be prudently diversified.
- J. Funds of the institution may be invested in a savings account or certificate of deposit of any depository provided the requirements of this policy including Sections III.A and III.B, and the collateral security requirements of Section II. are met. Other authorized investments, subject to the limitations of Section V.L, are set forth in T.C.A. § 9-4-602.
- K. All investments via repurchase agreements must include the following:
 - 1. There must be a written agreement in accordance with the standard agreement set forth in guidelines established pursuant to this policy.
 - 2. The agreement must state explicitly that the exchange of assets represents a simultaneous purchase and resale transaction "and is not intended to be collateralized loan."
 - 3. The purchased securities must be transferred to the Trustee Custodian Account.
 - 4. The purchased securities must, at the time of purchase, have a current market value of at least 100% of the amount of the repurchase agreement.
- L. The following terms and conditions shall apply to investments:

1. Prime banker's acceptances must be issued by domestic banks with a minimum AA rating or foreign banks with a AAA long term debt rating by a majority of the rating services that have rated the issuer. The short term debt rating services that rate the issuer (minimum of two ratings must be available). Banker's acceptances shall not exceed five percent of total investments on the date of acquisition. The amount invested in any one bank shall not exceed five percent of total investments on the date of acquisition.
2. Prime banker's acceptances are required to be eligible for purchase by the Federal Reserve System. To be eligible the original maturity must not be more than 270 days, and it must
 - a. arise out of the current shipment of goods between countries or within the United States, or
 - b. arise out of storage within the United States of goods under contract of sale or expected to move into the channel of trade within a reasonable time and that are secured throughout their life by a warehouse receipt or similar document conveying title to the underlying goods.
3. The combined amount of banker's acceptances and commercial paper shall not exceed thirty-five percent of total investments at the date of acquisition.
4. Prime commercial paper shall not have a maturity that exceeds 270 days. Acquisitions shall be monitored to assure that no more than five percent of total investments at the date of acquisition are invested in commercial paper of a single issuing corporation. The total holdings of an issuer's paper should not represent more than two percent of the issuing corporation's total outstanding commercial paper. Purchases of commercial paper shall not exceed thirty-five percent of total investments at the date of acquisition. Prime commercial paper

shall be limited to that of corporations that meet the following criteria:

- a. Senior long term debt, if any, should have a minimum rating of A1 or equivalent, and short term debt should have a minimum rating of A1 or equivalent, as provided by a majority of the rating services that rate the issuer. If there is no long term debt rating, the short-term debt rating must be A1 by all rating services (minimum of two).
 - b. The rating should be based on the merits of the issuer or guarantee by a nonbank.
 - c. A financial review should be made to ascertain the issuer's financial strength to cover the debt.
 - d. Commercial paper of a banking institution should not be purchased.
5. The amount invested in money market mutual funds shall not exceed ten percent of total investments on the date of investment.

VI. Lead Institutions and Colleges of Applied Technology

A. Each college of applied technology is authorized to establish a checking account. The type of account will be based upon the needs of each college of applied technology. A request for the establishment of such an account must be submitted jointly by each college of applied technology director and lead institution president, and be approved by the Chancellor. Each account will be subject to a \$5,000 maximum for anyone transaction. Activity in this account shall be limited to operating transactions, and shall not include travel reimbursement. All transactions must be based on the concept of competitive bidding where possible with appropriate documentation maintained for review. All checks must be co-signed by any two of three authorized employees (director, assistant director, and a third employee) designated in the request for establishing the account. The documentation for

the transactions must be reviewed at least quarterly by a person(s) designated by the president of the lead institution.

1. The request to establish such an account should, at a minimum, include a description of the type of account, the procedures that will be followed in administering the account, those persons authorized to sign the checks, the bank where the account will be established, and the person(s) at the lead institutions who will be assigned the responsibility for the quarterly review.
- B. The director of the college of applied technology or his or her designee is authorized to establish a depository account for the deposit of miscellaneous revenues received by the college of applied technology. These funds shall be transmitted at least monthly to the lead institution for deposit and investment on behalf of the college of applied technology.
- C. The lead institution shall maintain a separate chart of accounts on behalf of each of the colleges of applied technology under its jurisdiction pursuant to the provisions of this policy and shall ensure that all interest income generated by the colleges of applied technology is appropriately credited to the individual college of applied technology accounts.
- D. The lead institution shall maintain appropriate fiscal records to ensure the existence of an audit trail for each college of applied technology under its jurisdiction.

VII. General

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

Sources

TBR Meetings: September 29, 1978; September 30, 1983; December 13, 1985; September 18, 1987; September 16, 1988; June 30, 1989; September 21, 1990; June 28, 1991; September 23, 1994; June 21, 1996; October 2, 1998; June 23, 2000; September 26, 2003; December 8, 2006.



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting
SUBJECT: Overview of Governor's Budget
DATE: March 28, 2014
PRESENTER: Dale Sims
ACTION REQUIRED: No Action Needed
STAFF'S RECOMMENDATION: Accept Report

BACKGROUND INFORMATION:

On February 3, 2014 Governor Haslam presented his budget recommendations for fiscal 2014-15 to the General Assembly. The attached summary identifies items related to TBR and its institutions.



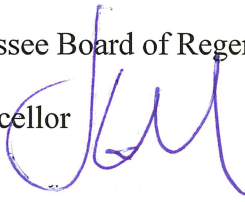
TENNESSEE BOARD OF REGENTS

Office of the Chancellor

1415 Murfreesboro Road, Suite 340 | Nashville, TN 37217-2833 | Phone 615.366.4403 | Fax 615.366.3922 | www.tbr.edu

MEMORANDUM

TO: Members of the Tennessee Board of Regents

FROM: John G. Morgan, Chancellor 

DATE: February 5, 2014

SUBJECT: Governor's FY 2014-15 Higher Education Budget Recommendations

Attached is a summary of the Governor's FY 2014-15 higher education budget recommendations. This summary identifies items related to the TBR and its institutions and includes various budget documents and materials.

While there are several positives to recognize, the proposed budget does not include full funding of THEC's outcomes funding formula. We will continue to address the issue in conversations with the General Assembly.

Please let me know if you have any questions about this material.

JGM:jhc

Attachments



TENNESSEE BOARD OF REGENTS

Office of Business & Finance

1415 Murfreesboro Road, Suite 346 | Nashville, TN 37217-2833 | Phone 615.366.3921 | Fax 615.366.2246 | www.tbr.edu

MEMORANDUM

TO: Chancellor John Morgan

FROM: Dale Sims ^{DS}

DATE: February 4, 2014

RE: **Governor's FY 2014-15 Budget Recommendations**

On Monday evening Governor Haslam presented his FY 2014-15 budget recommendations to the General Assembly. I have attached copies of related materials to this memorandum for your review. Listed below are some items pertinent to higher education and Tennessee Board of Regents institutions.

Operating Funds - Recurring

As outlined in the table below, the Governor has recommended additional recurring funding of \$14.6 million for the TBR. These funds are provided to:

- \$7.3 million to recognize improvements in educational outcomes at TBR institutions, such as the number of degrees and certificates awarded, student retention and progression points, research and service efforts, workforce training activities, and graduation rates. In November, THEC recommended increased outcome funding of \$17.4 million for the TBR System.
 - While not clear at this time, it appears the System and its institutions may be expected to grant a 1.0% cost of living (COLA) salary increase from these funds. If this is the case and since the full cost of a 1.0% COLA is approximately \$11.7 million, institutions would be responsible for funding the remainder of this cost (approximately \$4.4 million) from existing funds (see table labeled "*Comparison of Additional State Funds to Cost of 1% COLA*").
- Funding of \$7.3 million for increases in the employer share of premiums for employees participating in the state health insurance program.

Recommended Recurring Budget Improvements

	New State Funds	Group Insurance		Grand Total
		Eff. 1/1/14	Eff. 1/1/15	
Universities	\$ 3,645,100	\$ 2,133,800	\$ 2,269,400	\$ 8,048,300
Community Colleges	\$ 2,331,800	\$ 1,061,800	\$ 1,148,100	\$ 4,541,700
TCATS	\$ 622,300	\$ 206,400	\$ 212,900	\$ 1,041,600
Subtotal Academic Units	\$ 6,599,200	\$ 3,402,000	\$ 3,630,400	\$ 13,631,600
Medical Units	\$ 540,100	\$ 95,600	\$ 102,800	\$ 738,500
Research Units	\$ 29,000	\$ -	\$ -	\$ 29,000
Subtotal Special Units	\$ 569,100	\$ 95,600	\$ 102,800	\$ 767,500
Central Office	\$ 135,400	\$ 29,400	\$ 32,900	\$ 197,700
Access & Diversity	\$ -	\$ -	\$ -	\$ -
Subtotal Other	\$ 135,400	\$ 29,400	\$ 32,900	\$ 197,700
Grand Total	\$ 7,303,700	\$ 3,527,000	\$ 3,766,100	\$ 14,596,800

Comparison of Additional State Funding to Cost of 1% COLA

	Outcome Adjustments	New State Funds	Net New State Funds	1.0% COLA Cost	Funding Over (Under) Cost
Universities	\$ (1,268,400)	\$ 3,645,100	\$ 2,376,700	\$ 7,200,500	\$ (4,823,800)
Community Colleges	\$ (2,120,300)	\$ 2,331,800	\$ 211,500	\$ 3,296,800	\$ (3,085,300)
TCATS	\$ (2,302,300)	\$ 622,300	\$ (1,680,000)	\$ 559,000	\$ (2,239,000)
Subtotal Academic Units	\$ (5,691,000)	\$ 6,599,200	\$ 908,200	\$ 11,056,300	\$ (10,148,100)
Medical Units	\$ -	\$ 540,100	\$ 540,100	\$ 531,300	\$ 8,800
Research Units	\$ -	\$ 29,000	\$ 29,000	\$ 28,500	\$ 500
Subtotal Special Units	\$ -	\$ 569,100	\$ 569,100	\$ 559,800	\$ 9,300
Central Office	\$ -	\$ 135,400	\$ 135,400	\$ 133,200	\$ 2,200
Access & Diversity	\$ -	\$ -	\$ -	\$ -	\$ -
Subtotal Other	\$ -	\$ 135,400	\$ 135,400	\$ 133,200	\$ 2,200
Grand Total	\$ (5,691,000)	\$ 7,303,700	\$ 1,612,700	\$ 11,749,300	\$ (10,136,600)

Operating Funds – Non Recurring

The Governor has recommended two non-recurring items for the TBR:

- \$ 2.0 million to support the University of Memphis' operations at its Lambuth Campus. This is the fourth year of a five-year commitment and is in recognition of the need to supplement funding for this campus as it grows to self-sufficiency.
- \$868,000 to provide matching funds for TBR employees participating in the State's 401(k) retirement savings program.

Capital Outlay

The Governor recommended \$89.8 million in capital funding for the TBR System as outlined in the table below.

	<u>State Cash & Bonds</u>	<u>Non-State Matching Funds</u>	<u>Total</u>
Maintenance	\$ 24,360,000	\$ -	\$ 24,360,000
Capital Outlay			
VSCC: Humanities Bldg.	\$ 27,270,000	\$ 1,430,000	\$ 28,700,000
COSCC: Williamson C. Relocation	\$ 34,650,000	\$ 2,050,000	\$ 36,700,000
Subtotal - Capital Outlay	\$ 61,920,000	\$ 3,480,000	\$ 65,400,000
Planning Projects			
None Recommended by TBR	\$ -	\$ -	\$ -
Subtotal - Planning	\$ -	\$ -	\$ -
Grand Total - TBR	<u>\$ 86,280,000</u>	<u>\$ 3,480,000</u>	<u>\$ 89,760,000</u>

- The Governor’s capital outlay recommendations provide construction funding for the TBR’s two highest priorities: the Volunteer State Community College Humanities Building and the Williamson County Campus of Columbia State Community College.
- Of the capital maintenance funding of \$24.4 million, \$800,000 is designated to fund ADA projects. This recommendation captures 20 of the system’s high priority capital maintenance projects as well as providing funding for management services related to TBR capital outlay and maintenance projects.

Other Items of Interest

While not recommended for appropriation directly to the TBR or its institutions, several other items of interest were included within the Governor’s recommendations, including:

- Drive to 55 – Workforce Alignment: \$10 million to replace and upgrade equipment to address regional training programs in high demand industries. While it is not clear at this point, we believe that TBR institutions will be eligible to compete for funding from this source.
- Drive to 55 - Seamless Alignment and Integrated Learning Support (SAILS) Expansion: \$2.6 million (non-recurring) to expand this program to include more community colleges.
- Drive to 55 – On-line Innovation Fund: \$1.8 million (non-recurring) to expand on-line curriculum, content and course offerings.
- Drive to 55 – Degree Compass: \$250,000 (non-recurring) to facilitate statewide adoption of Degree Compass, a course recommendation tool developed at Austin Peay State University.

- Drive to 55 – Adult Student Prospects: \$300,000 (non-recurring) to develop a data system for identification of potential adult students who lack credit hours toward a degree.
- Drive to 55 – Lottery Scholarships: \$7.5 million
 - Tennessee Promise: commits to providing on a continuing basis two years of community college or a college of applied technology (TCAT) absolutely free of tuition and fees to graduating high school seniors. The governor proposed transferring lottery reserve funds to create an endowment, with the goal of strategically redirecting existing resources. As part of this proposal, it is also recommended that the Hope Scholarship award amount change for the first two years of college to \$3,000 annually (regardless of whether attending a university or community college) and \$5,000 for the last two years of college.
 - Makes several changes in various lottery funded scholarship programs, including: funding for former Hope Scholarship recipients to receive Wilder Naifeh scholarships, “last dollar” funds for Wilder Naifeh recipients and high school students participating in dual enrollment classes, and modifying the eligibility period for Hope Scholarships (eight semesters).
- Centers of Excellence & Emphasis: These funds, distributed by THEC, provide funds to universities and community colleges (respectively) to supplement specific disciplines that are deemed excellent or demonstrate the potential to be excellent. Budget recommendations propose the following changes in funding:

	Budget Reduction	Budget Increase	Net Change
Centers of Excellence	\$ (424,700)	\$ 148,200	\$ (276,500)
Centers of Emphasis	\$ (30,700)	\$ 11,200	\$ (19,500)
Total	\$ (455,400)	\$ 159,400	\$ (296,000)

- Tuition & Fee Discount Programs: Currently, various groups of state employees, teachers, retirees, and dependents qualify for statutorily granted discounts or waivers of tuition at public higher education institutions. Currently, institutions receive reimbursement for these waivers or discount equal to approximately 20% of the total cost of the program. The recommended budget proposes to reduce funding for this program by \$56,100.

Budget Document and Related Materials. The following is a link to the on-line Budget Document (354 pages) as well as references to TBR sections of the Budget Document.

- <http://www.tn.gov/finance/bud/documents/2015BudgetDocumentVol1.pdf>
- Pages xxi - xxviii: Budget Highlights outlining overall budget plan. The Drive to 55 is described on page xxiii and higher education is addressed on page xxiv.

- Pages A135 – A157: Capital Budget recommendations. Recommendations for TBR can be found on the following pages:
 - Capital outlay projects: A137
 - Capital maintenance projects: A139-140
 - Disclosed projects (funded by TSSBA bonds & other sources): A142 - A143
- Pages B86 – B89: Recommended additional operating funds for TBR.
- Page B119 – B128: Recommended total budgets for TBR.

Staff will continue to analyze the budget document and will keep you informed as additional information concerning the budget becomes available.

DS:pm

Attachments

1. Text of the State of the State Address
2. Tennessee Promise Press Release
3. Tennessee Promise Document
4. Tennessee Promise FAQ
5. TN Reconnect Program

c: Chief Business Officers
TBR Senior Staff



TENNESSEE BOARD OF REGENTS

MEETING:	TBR Quarterly Meeting
SUBJECT:	Legislative Update
DATE:	March 28, 2014
PRESENTER:	David Gregory
ACTION REQUIRED:	No Action Needed
STAFF'S RECOMMENDATION:	Not Applicable

BACKGROUND INFORMATION:

The second session of the 108th Tennessee General Assembly convened on January 14, 2014 in Nashville. The TBR Office of Administration has drafted legislation on behalf of the system and tracks legislation which, if passed, could impact our system and our member institutions. This report highlights several key pieces of legislation that are significant this session.



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Approval of the Recommendation for Director at the Tennessee College of Applied Technology - Morristown
DATE:	March 28, 2014
PRESENTER:	Chancellor John G. Morgan
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Due to the retirement of Lynn Elkins from the position of Director at the Tennessee College of Applied Technology – Morristown, effective December 31, 2013, a search was opened in December 2013. A search committee was selected to recommend the best possible candidate. The committee consisted of one Board of Regents' member and representatives from faculty, staff, students, the lead institution, and the center's general advisory committee. The position was advertised, applications were reviewed, and candidates were selected for interview. Following the interviews, the Chancellor consulted with the Vice Chancellor for the Tennessee Colleges of Applied Technology and the Board of Regents member on the Advisory Committee for the purpose of making the recommendation of the best candidate to the Board.

Mr. Jerry Patton is being recommended as the next Director of the Tennessee College of Applied Technology - Morristown. His resume is attached.

JERRY MICHAEL PATTON

315 Newman Drive
Kodak, Tennessee 37764

(865) 385-9505 Cell

(865) 932-3497 Home

(423) 586-5771 School

EDUCATIONAL BACKGROUND

Master of Science Degree, Education, 1995
University of Tennessee, Knoxville

Bachelor of Science Degree, Education, 1970
Bowling Green State University
Bowling Green, Ohio

EMPLOYMENT HISTORY

January 2, 2014 to present

Interim Director, Tennessee College of Applied Technology – Morristown

October 2009 to present

Statewide Leadership Director – Tennessee Colleges of Applied Technology

- Oversee all Perkins basic and reserve grants for TCAT system
- Review and assist in approving all Perkins grant requests for funding
- Visit all twenty-seven TCAT sites for monitoring

February 2013 to December 2013

Assistant Director – Tennessee College of Applied Technology – Knoxville (120-day contract)

- Developed new programs for school and established business and industry training for area employers
- Worked with Pellissippi State Community College on their Strawberry Plains campus expansion

April 2000 to June 30, 2009

Director of Tennessee Technology Center – Elizabethton
(See duties and responsibilities below)

October 1994 to March 31, 2000

Student Services Coordinator, Tennessee Technology Center – Morristown

April 1988 to September 30, 1994

Walters State Community College; Morristown, Tennessee

- Job Training Partnership Act
- Supervised 200 sponsored students at Technology Center – Morristown

RESPONSIBILITIES AND HIGHLIGHTS

CEO, Tennessee Technology Center – Elizabethton

- supervised 40 employees
- created new and strengthened existing programs
- developed lasting partnerships with business and industries in Tri-Cities area
- served on executive board for Chamber of Commerce
- served on local hospital board
- obtained Philanthropy award through Board of Regents for Wellmont Healthcare
- chairman of Directors' Executive Sub-council (2 years)
- obtained grant funding through Perkins
- managed budget
- strategic planning
- increased enrollment
- established GED testing center
- created school's first Foundation
- secured reaffirmation through accreditation agency
- served as team member on various COE teams
- member of Workforce Investment Board for 9+ years
- member of American Technical Education Association
- established chapter of National Technical Honor Society
- worked with and promoted SkillsUSA on campus

Student Services Coordinator, Tennessee Technology Center – Morristown

- financial aid
- student registration and records
- recruitment
- college fairs and career days
- business and industry liaison
- Hamblen County Literacy Council
- plant layoff counselor
- counseling
- served as student advocate
- handled grievances (student)
- TBR reports and data
- coordinated evening programs and taught GED classes

Job Training Partnership Act (JTPA), Walters State Community College

- counseling
- reviewed student progress
- program certifications

ADDITIONAL EXPERIENCE

- taught high school in Ohio upon obtaining bachelor degree (3 years)
- served as Chief Training Officer for state agency in Ohio prior to moving to Tennessee



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Proposed Program Terminations, Modifications, and New Technical Program Implementations
DATE:	March 28, 2014
PRESENTER:	Vice Chancellor James D. King
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Program Proposals Requiring Board Approval from TCAT Board Committee:

Five (5) program proposals are being presented for the Committee's review and approval. These proposals will allow the Tennessee Colleges of Applied Technology to be more responsive to the needs of students, businesses, and industries. The proposals are:

- Implementation of a Drafting/CAD Program at TCAT Murfreesboro. (See Implementation Proposal #1)
- Implementation of a state-wide Certified Nursing Assistant Program. (See Implementation Proposal #2)
- Implementation of a Diesel Technology Program at TCAT Livingston. (See Implementation Proposal #3)
- Implementation of a Patient Care Program offered at TCAT Nashville. (See Implementation Proposal #4)
- Modification of the Industrial Electricity Technology to Electro-Mechanical Technology Program at TCAT Athens (Program Modification Proposal #1)

Academic Proposals Requiring Only Notification to Vice Chancellor:

Eighteen (18) academic actions were submitted by TCAT institutions to the Vice Chancellor for approval based on section C of the TBR Policy: 2:01:02:00, requiring only notification to the Vice Chancellor. Appropriate documentation to support need was provided. The proposals are as follows:

TCAT	Summary of Proposal	New Costs/Funding Source	Approval/ Implementation Date
Pulaski & McMinnville Jackson	Inactivate the online Drafting/CAD program due to low enrollment, completion rates, and low placement.	None	January 2014
Livingston	Inactivate stand-alone Industrial Training Program and operate as special industry.	None	April 2014
Hartsville	Inactivate the Drafting/CAD Technology Program due to low enrollment. Teach out will be complete by December 2014.	None	January 2014
Hartsville	Changing the Industrial Maintenance name to Industrial Maintenance/Mechatronics to better reflect the needs of the service area.	None	May 2014
Hartsville	To better serve students, offer an evening Machine Tool Technology program. The campus currently offers a day program.	None	January 2014
Pulaski & McMinnville Jackson	Inactivate the online Computer Information Systems program due to low enrollment, completion rates, and low placement.	None	May 2014
Pulaski	To better serve the area and meet the increasing need for practical nurses, Pulaski will open an evening practical nursing program.	None	September 2014
Livingston	Offer Health Sciences dual enrollment classes at Cookeville High School and Baxter High School.	None- dual enrollment fees will pay for the instructor	January 2014
Hohenwald	Place Cosmetology program at Columbia High School on inactive state due to low enrollment.	None	December 2013
Jackson	Offer an afternoon Welding Technology Program	None	September 2014
Jackson	Relocate the Machine Tool Technology Program from the main campus to the McWherter Center. Move allows for consolidation with the Tool and Die Program and increased dual enrollment participation.	None	
Jackson	Truck Driving will be offered at the Lexington campus as needed.	NONE	Summer 2014

Dickson, Oneida & Knoxville	Inactivate online Administrative Office Technology Program due to low completion and placement. Institution will teach out currently enrolled students.	None	May 2014
Athens	Inactivate Industrial Electricity Program due to low placement.	None	June 2014
McMinnville	Inactivate Medical Assistant Program due to low enrollments. Teach out will end by August 2014.	None	September 2014
Hohenwald	Consolidation of programs to Northfield site.	None	January 2014
Murfreesboro	Inactive on ground Drafting and CAD program due to low enrollments.	None	May 2014

PROGRAM IMPLEMENTATION PROPOSAL – 1

INSTITUTION: Tennessee College of Applied Technology - Murfreesboro

PROPOSAL: The Tennessee College of Applied Technology – Murfreesboro (TCAT Murfreesboro) proposes to offer a full time online Drafting/CAD program.

The program will be 12 months in length. The program will be offered online and require students to attend campus four hours a week.

EFFECTIVE DATE: May 2014

OBJECTIVES: The primary purpose of the program is to train for entry-level employment in the Drafting and CAD field.

NEED: Based on the Rutherford County Chamber and local Workforce surveys, Drafting is a demand field. This new format will enable more students the opportunity to attend.

PROJECTED ENROLLMENT:

YEAR	ENROLLMENT	COMPLETERS
1	15	12
2	18	14
3	20	16

PROJECTED COSTS: No additional expenses will be needed.

NEW FACULTY NEEDED: No new faculty will be needed.

FACILITIES: Existing classroom space will be used.

ACTION REQUIRED: Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 2

INSTITUTION: Tennessee Colleges of Applied Technology (All 27 campuses)

PROPOSAL: To establish a Certified Nursing Assistant Program Statewide

The program will be 120 clock hours in length.

EFFECTIVE DATE: April 2014

OBJECTIVES: The primary purpose of the program is to train students for gainful employment for jobs in nursing homes, home health agencies and physician offices. The conceptual framework of the Certified Nursing Assistant Program is centered on the state regulations mandated by the Tennessee Department of Health and Environment.

NEED: According to the Tennessee Department of Labor and Workforce Development website, the outlook for all allied health fields is favorable through 2018.

PROJECTED ENROLLMENT*:	YEAR	ENROLLMENT	COMPLETERS
	1	15	12
	2	15	12
	3	20	18

* Actual enrollments will vary for institutions.

PROJECTED COSTS: One instructor will be hired per program. The salary will be paid by institutional funds.

NEW FACULTY NEEDED: To be determined by each campus.

FACILITIES: No new facilities will be required.

ACTION REQUIRED: Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 3

INSTITUTION: Tennessee College of Applied College- Livingston

PROPOSAL: The Tennessee College of Applied Technology- Livingston (TCAT-Livingston) proposes to implement a Diesel Technology Program.

The state Diesel Curriculum will be used.

EFFECTIVE DATE: July 2014

OBJECTIVES: The program will provide students with the technical instruction and skill development to enable them to enter employment in truck, construction, agricultural equipment, and other related fields as technicians. By working in the fuel injection lab and on actual diesel powered equipment, students will be prepared to enter the workforce after graduation. The program will prepare students to sit for the ASE Certification in one or more areas.

NEED: The growth rate is positive and there are more job openings expected annually than there were training completers in the recent years. Employment of diesel service technicians and mechanics is projected to grow 9 percent from 2012 to 2022. According to the Jobs4TN website the employment projections for Bus and Truck Mechanics and Diesel Engine Specialist in Tennessee from 2012 to 2020 will increase by 510.

PROJECTED ENROLLMENT:	YEAR	ENROLLMENT	COMPLETERS
	1	8	6
	2	12	10
	3	16	14

PROJECTED COSTS: Total annual costs to implement this program's equipment, supplies, software, and training materials will be approximately \$ 155,000.00.

NEW FACULTY NEEDED: One Full-Time Instructor.
Salary and Benefits \$47,064.00.

FACILITIES: Currently reviewing location possibilities.

ACTION REQUIRED: Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 4

INSTITUTION: Tennessee College of Applied College – Nashville

PROPOSAL: The Tennessee College of Applied Technology-Nashville (TCAT-Nashville) proposes to implement a Patient Care Technician Program.

EFFECTIVE DATE: July 2014

OBJECTIVES: The primary purpose of the program is to train students for entry level allied health positions.

NEED: Due to the growth of an aging U.S. population there is an increasing number of health care facilities need support workers, especially PCTs/MAS. According to the Bureau of Labor and Statistics, employment of PCTs/MAs is projected to increase twenty-nine percent nationally through the year 2022.

PROJECTED ENROLLMENT:

YEAR	ENROLLMENT	COMPLETERS
1	15	13
2	15	13
3	15	13

PROJECTED COSTS: Initial startup equipment cost will be \$2,500-3,000. TCAT Nashville institutional funds will be used for start-up expenses.

NEW FACULTY NEEDED: Existing faculty will be utilized.

FACILITIES: Current facilities will be used.

ACTION REQUIRED: Staff recommends approval.

PROGRAM IMPLEMENTATION PROPOSAL – 5

INSTUTION: Tennessee College of Applied Technology – Athens

PROPOSAL: To implement an Electro-Mechanical Technology Program. The curriculum will be 1728 clock hours in length. Exit points for the program will include:

Electrician Helper Certificate	432 Hours
Maintenance Associate Helper Certificate	864 Hours
Maintenance Electrician Diploma	1,296 Hours
Electromechanical Technician Diploma	1,728 Hours

EFFECTIVE DATE: September 2014

OBJECTIVE: Based on industry input, the Electro-Mechanical Technology Program will incorporate more electrical skills than previously offered and mechanical skills. This change will better meet the needs of the service area and increase employment opportunities. The new program will articulate to Cleveland State’s industrial programs.

NEED: As a result of consultation with industry maintenance managers, it was determined the primary skills needed in our service area identified by industry is a technician with emphasis in electrical with secondary in mechanical.

PROJECTED ENROLLMENT:

YEAR	ENROLLMENT	COMPLETERS
1	30	20
2	30	22
3	30	26

PROJECTED COSTS: An instrumentation trainer will be purchased with existing institutional funds.

NEW FACULTY NEEDED: An additional instructor will be hired.

FACILITIES: Current facilities will be used.

ACTION REQUIRED: Staff recommends approval.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Approval of New Degree Programs
DATE:	March 28, 2014
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

Austin Peay State University

Bachelor of Fine Arts (BFA) in Theatre/Dance with concentrations in *Musical Theatre, Design, Acting/Directing, and Dance*

Austin Peay State University proposes to offer the Bachelor of Fine Arts which will prepare students for professional practice and scholarship while stressing theoretical, pedagogical, and historic aspects of Theatre/Dance. The approval of this degree proposed by APSU will strengthen our economy while improving opportunities for more Tennesseans to earn post-secondary credentials. The degree provides a path to a professional degree in Theatre and Dance as well as a Liberal Arts degree allowing for expanded opportunities in Theatre and Dance.

Bachelor of Arts (BA) in Theatre/Dance with concentrations in *Dance, Design, and Acting/Directing*

Austin Peay State University proposes to offer the Bachelor of Arts in Theatre/Dance to prepare students for the professional worlds of Dance and Theatre, in a Liberal Arts training environment that will incorporate both practice and scholarship while emphasizing theoretical, pedagogical, and historic aspects of these forms. The concentrations in the BA Theatre/Dance degree program are designed to be accompanied by a second major or one or two Minors. The approval of this degree will strengthen our economy while improving opportunities for more Tennesseans to earn post-secondary credentials in a strategic industry.

Master of Science (MS) in Engineering Technology

Austin Peay State University proposes to offer the Master of Science in Engineering Technology to provide the advanced knowledge and skills needed by people in technological careers serving in the military or working for companies located in industrial parks throughout the region to advance to leadership positions in industry. The program is designed for engineering and engineering technology baccalaureate degree graduates who realize the necessity of advancing their industry and related technologies. This program will contribute to economic and workforce development in the region and service to the military community at Fort Campbell.

East Tennessee State University

Master of Science (MS) in Digital Marketing

East Tennessee State University proposes to offer a Master of Science in Digital Marketing which will focus upon the field of marketing in the digital environment with the emphasis of being current and relevant. With the growing, ever-changing, fast-paced online atmosphere, marketing has significantly changed and will continue to do so. Therefore, with ETSU's technological resources via the Academic Technology Support staff and ETSU Online, the degree will encompass a cutting edge, innovative curriculum and learning environment. Knowledgeable marketing graduates are and will be in high demand. Establishment of the Master of Science in Digital Marketing in the online environment will positively impact the state of Tennessee. While online education will continue to grow, a degree and its curriculum must be competitive, innovative and rigorous.

ACADEMIC PROPOSAL SUMMARY

March 2014 TBR Quarterly Meeting

- INSTITUTIONS:** Austin Peay State University (APSU)
- PROPOSAL:** Establish a new Bachelor of Fine Arts (BFA) in Theatre/Dance with concentrations in *Musical Theatre, Design, Acting/Directing, and Dance* and a new Bachelor of Arts (BA) in Theatre/Dance with concentrations in *Dance, Design, and Acting/Directing*
- EFFECTIVE DATE:** Fall 2015

PURPOSE:

The **BFA in Theatre/Dance** will prepare students admitted via audition and/or portfolio review and interview for professional practice in the worlds of Theatre and Dance, in a rigorous training environment that will incorporate both practice and scholarship while stressing theoretical, pedagogical, and historic aspects of Theatre/Dance. In contrast, the **BA in Theatre/Dance** will prepare students for the professional worlds of Dance and Theatre, in a Liberal Arts training environment that will incorporate both practice and scholarship while emphasizing theoretical, pedagogical, and historic aspects of these forms. The concentrations in the BA Theatre/Dance degree program are designed to be accompanied by a second major or 1-2 Minors.

The objectives of these degree proposals are as follows:

- To cultivate critical thought processes in students by stressing the theoretical, pedagogical, and historic aspects of theatre and dance studies.
- To successfully prepare students for the professional worlds of dance and theatre, in a rigorous training environment that incorporates both practice and scholarship.
- To cultivate student's creative, performance, and scholarly aptitudes through exposure to diverse practical and philosophical approaches to dance and theatre studies.
- To supply well-trained artists to local, regional, and national theatre and dance organizations.

CURRICULUM: The proposed program requires completion of 121 (BFA)/120(BA) semester credit hours distributed as follows:

	<u>BFA Theatre/Dance</u>	<u>BA Theatre/Dance</u>
General Education:	41	47 (includes Foreign Language)
Major Field Core:	12	15
Concentrations	67	21
Electives	0	36
Other		
APSU 1000	1	1
Total	121	120

Number of New Courses: 59 with 133-141 SCH

NEED:

It is difficult to project job openings in any art field since graduates with an arts degree often create new jobs in the arts. For example, graduates with a degree in Theatre/Dance from APSU will be equipped with the tools to develop professional theatre or dance companies and sustain them by employing future graduates as professional actors, dancers, directors, choreographers, designers, stage managers, and more. It is also common for graduates to bridge a degree in Theatre/Dance with other areas of graduate study or careers. Additionally, a recent survey by the Strategic National Arts Alumni Project (SNAAP) found that artists were “highly entrepreneurial: more than 6 in 10 were self-employed, and 14 percent had founded their own company.” (Inside Higher Ed, 3 May 2011.)

IMPACT:

The approval of these degrees will strengthen our economy while improving opportunities for more Tennesseans to earn post-secondary credentials in Tennessee which is a primary goal of APSU, TBR and THEC. The approval of these Theatre/Dance degrees also adds credibility and visibility while supporting the strengthening of these areas into independent degrees (and terminating the current programs). They will aid the students’ successful application for employment as employers in the performance industry recognize the standard designation for students of theatre and dance as Theatre Majors and Dance Majors, as opposed to Communication Majors. Similarly, it is appropriate for degrees to be labeled as Theatre and/or Dance. The inclusion of Dance concentrations, in these proposals, addresses an economic need for Tennessee’s students who to date have utilized the Academic Common Market for the Dance program.

PLANS FOR ACCREDITATION:

APSU will seek accreditation from the National Association of Schools of Theatre (NAST) and the National Association of Schools of Dance (NASD) after successfully graduating the first students within the new department—as stated in the NAST and NASD accreditation manuals.

We anticipate being accredited in 2019 with site visits in 2018. The accreditation timeline has been specified by both the National Association of Schools of Theatre and the National Association of Schools of Dance. An institution cannot be accredited until students have progressed through the program from beginning through final year.

PROJECTED STUDENT ENROLLMENT:

Year	BFA/BA Full-Time Headcount	BFA/BA Part-Time Headcount	BFA/BA Total Year Headcount	BFA/BA FTE	BFA/BA Graduates
1	18/15	1/1	19/16	18.2/ 15.2	0/0
2	36/30	1/1	37/31	36.2/ 30.2	0/0
3	54/45	1/1	55/46	54.2/ 45.2	0/0
4	72/60	1/1	73/61	72.2/ 60.2	14/11
5	72/60	1/1	73/61	72.2/ 60.2	14/11

ORGANIZATIONAL STRUCTURE:

The BA and BFA in Theatre/Dance will be housed in the Department of Theatre and Dance within the College of Arts and Letters at Austin Peay State University.

PROJECTED NEW COSTS AND REVENUE:

The proposed program generates tuition and fees to cover the cost of operating this program. The costs associated with these degree offering include additional funding to support the support personnel, updating equipment and a \$6000 fee estimate of the consulting fees associated with the accreditation process by NASD—the National Association of Schools of Dance and NAST--the National Association of Schools of Theatre. The full budget is attached to this document.

STAFF RECOMMENDATION:

As Tennessee's designated liberal arts institution and home to Tennessee's only Center of Excellence for the Creative Arts (CECA,) the growth of the Theatre and Dance programs is a priority. The acknowledgement of degrees in Theatre/Dance is an appropriate step that aids in the creative arts mission of the CECA and the liberal arts mission of the University. These degrees provide a path to a professional degree in Theatre and Dance as well as a Liberal Arts degree allowing for expanded opportunities in Theatre and Dance.

The proposal has been reviewed by the staff of the Office of Academic Affairs. Board approval is recommended.

**THEC Financial Estimate Form
AUSTIN PEAY STATE UNIVERSITY
BA and BFA in Theatre/Dance**

Five-year projections are required for baccalaureate and post-baccalaureate programs and certificates. Three-year projections are required for associate degrees and undergraduate certificates. Projections should include cost of living increases per year.

	Year 1	Year 2	Year 3	Year 4	Year 5
I. Expenditures					
A. One-time Expenditures					
New/Renovated Space	\$ -	\$ -	\$ -	\$ -	\$ -
Equipment	-	6,000	6,000	6,000	6,000
Library	1,000	1,000	1,000	1,000	1,000
Consultants	-	-	-	6,000	-
Travel	-	-	-	-	-
Other	-	-	-	-	2,000
Sub-Total One-time	\$ 1,000	\$ 7,000	\$ 7,000	\$ 13,000	\$ 9,000
B. Recurring Expenditures					
Personnel					
Administration					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Sub-Total Administration	-	-	-	-	-
Faculty					
Salary	\$ 15,000	\$ 30,000	\$ 78,000	\$ 126,960	\$ 176,899
Benefits	-	-	7,200	14,544	22,035
Sub-Total Faculty	\$ 15,000	\$ 30,000	\$ 85,200	\$ 141,504	\$ 198,934
Support Staff					
Salary	\$ 8,000	\$ 8,160	\$ 8,323	\$ 8,490	\$ 8,659
Benefits	-	-	-	-	-
Sub-Total Support Staff	\$ 8,000	\$ 8,160	\$ 8,323	\$ 8,490	\$ 8,659
Graduate Assistants					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Tuition and Fees* (See Below)	-	-	-	-	-
Sub-Total Graduate Assistants	\$ -	\$ -	\$ -	\$ -	\$ -
Operating					
Travel	\$ -	\$ -	\$ -	\$ -	\$ -
Printing	-	-	-	-	-
Equipment	-	-	-	-	-
Other	-	-	-	-	-
Sub-Total Operating	\$ -	\$ -	\$ -	\$ -	\$ -
Total Recurring	\$ 23,000	\$ 38,160	\$ 93,523	\$ 149,994	\$ 207,593
TOTAL EXPENDITURES	\$ 24,000	\$ 45,160	\$ 100,523	\$ 162,994	\$ 216,593
(A+B)					

*If tuition and fees for Graduate Assistants are included, please provide the following information.

Base Tuition and Fees Rate	\$ -	\$ -	\$ -	\$ -	\$ -
Number of Graduate Assistants	-	-	-	-	-

II. Revenue	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Tuition and Fees ¹	252,752	512,664	772,576	1,032,488	1,032,488
Institutional Reallocations ²	(228,752)	(467,504)	(672,053)	(869,494)	(815,895)
Federal Grants ³	-	-	-	-	-
Private Grants or Gifts ⁴	-	-	-	-	-
Other ⁵	-	-	-	-	-
BALANCED BUDGET LINE	<u>\$ 24,000</u>	<u>\$ 45,160</u>	<u>\$ 100,523</u>	<u>\$ 162,994</u>	<u>\$ 216,593</u>

Notes:

- In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.

Beginning fall 2014, tuition and fees are calculated as follows:

Year 1: 32 students at in-state rate of \$7,160 + 1 student at out-of-state rate of \$23,632

Year 2: 65 students at in-state rate of \$7,160 + 2 students at out-of-state rate of \$23,632

Year 3: 98 students at in-state rate of \$7,160 + 3 students at out-of-state rate of \$23,632

Year 4: 131 students at in-state rate of \$7,160 + 4 students at out-of-state rate of \$23,632

Year 5: 131 students at in-state rate of \$7,160 + 4 students at out-of-state rate of \$23,632

- Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.

We fully anticipate growth and enrollments, as indicated above and throughout this document.

The proposed Theatre/Dance department, and its programs, will be self-sustaining.

- Please provide the source(s) of the Federal Grant including the granting department and CFDA number.

- Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).

- Please provide information regarding other sources of the funding.

Additional Explanations: The annual \$6,000 for years 2-5 is for updating key components in our current theatre. If we are to attract and retain students, we need to be competitive. This amount, then, will go towards the updating and modernization of the following equipment: sound components, lighting instruments and components, projection components, curtains and backdrops, and special effects equipment (for smoke, and the like.)

The \$6,000 for consultants is an estimate of the consulting fees associated with the accreditation process by NASD—the National Association of Schools of Dance and NAST--the National Association of Schools of Theatre.

The amount for Support Staff is to bring our current ¼ time Costume Construction staff person up to ½ time. She currently only works 2 hours per day and the workload is great. The proposed degrees will increase that workload.

ACADEMIC PROPOSAL SUMMARY

March 2014 TBR Quarterly Meeting

INSTITUTIONS: Austin Peay State University (APSU)

PROPOSAL: Establish a new Master of Science (MS) in Engineering Technology

EFFECTIVE DATE: Fall 2015

PURPOSE:

The **MS in Engineering Technology** will provide the advanced knowledge and skills needed by people in technological careers serving in the military or working for companies located in industrial parks throughout the region to advance to leadership positions in industry. The curriculum is built on a foundation of theoretical and applied concepts related to practical problems in industry. A unique element of this program will be the use of rapid prototyping and additive manufacturing technology. It will be offered on the Ft. Campbell campus.

CURRICULUM: The proposed program requires completion of 33 semester credit hours distributed as follows:

<u>Curriculum Component</u>	<u>Hours Required</u>
General Education	0
Major Field Core (courses required of all students in program)	30
Concentration (courses specific to the concentration)	0
Electives (may be guided or general electives)	0
Other (specify, i.e.) (Capstone)	<u>3</u>
TOTAL:	33

No. of new courses: 11 with 33 credit hours

NEED:

This program will contribute to economic and workforce development in the region and service to the military community at Fort Campbell. The number of industrial organizations and large companies in the region centered on Clarksville with engineering groups is large and increasing. For entry-level positions, these companies typically hire graduates with bachelor’s degrees in engineering or engineering technology. Master’s degrees in engineering and technology are often required for people in higher level positions. The proposed degree program will provide a path for people hired with a B.S. degree to earn the credentials required for promotion to one of these positions. At Fort Campbell, there is a large group of military personnel who have bachelor’s degrees in engineering and engineering technology. To be eligible for promotion to higher levels, these officers are expected to continue their education. The proposed degree program would offer these officers an opportunity to get a Master’s degree needed for promotion.

IMPACT:

The program is designed for engineering and engineering technology baccalaureate degree graduates who realize the necessity of delivering value to their industrial and technology. The degree provides students with theoretical, practical, and applied skills and also to the technologies that support them, as well as a broad perspective of the industrial environments in which engineering technologies plays a strategic role in building a technological workforce for Tennessee.

PLANS FOR ACCREDITATION:

The proper accrediting body for engineering technology programs is the Engineering Technology Accreditation Commission of the Accreditation Board for Engineering and Technology (ETAC-ABET). Currently, ETAC-ABET does not accredit MS programs in engineering technology. It may do so in the future. The MSET program has been designed based on our experience with ETAC-ABET accreditation for the undergraduate programs, If ETAC-ABET does develop accreditation standards for MS programs, this program will follow those guidelines and we will consider seeking program accreditation.

PROJECTED STUDENT ENROLLMENT:

Year	Full-Time Headcount	Part-time Headcount	Total Year Headcount	FTE	Graduates
1	8	4	12	10	-
2	16	4	20	10	5
3	17	5	22	11	7
4	17	5	22	11	8
5	18	5	23	12	8

ORGANIZATIONAL STRUCTURE:

The proposed program will be operated by the Department of Engineering Technology and will operate at the AP Center at Fort Campbell.

PROJECTED NEW COSTS AND REVENUE:

The proposed program generates tuition and fees to cover the cost of operating this program. The costs associated with these degree offerings include additional funding to support hiring of one new faculty member and adjunct faculty to support release of current faculty from their undergraduate course load, as necessary. The full budget is attached to this document.

STAFF RECOMMENDATION:

The proposed program was reviewed November 17-18, 2013, as part of the agreed upon graduate program review process by the THEC and the TBR by Dr. Jeff Gray, Associate Professor of Computer Science at the University of Alabama and Carnegie Foundation Professor of the Year (Alabama, 2008). Dr. Gray stated:

“My recommendation ...move forward... there is a regional need among local industry; a passionate and deeply experienced faculty who have the background to be successful...; and existing facilities that are well-equipped as a baseline to address the instructional and research needs for the program.”

The proposal has been reviewed by the staff of the Office of Academic Affairs. Board approval is recommended.

**THEC Financial Estimate Form
Austin Peay State University
Master of Science in Engineering Technology**

Five-year projections are required for baccalaureate and post-baccalaureate programs and certificates. Three-year projections are required for associate degrees and undergraduate certificates. Projections should include cost of living increases per year.

	Year 1	Year 2	Year 3	Year 4	Year 5
I. Expenditures					
A. One-time Expenditures					
New/Renovated Space	\$ -	\$ -	\$ -	\$ -	\$ -
Equipment	-	-	-	-	-
Library	-	-	-	-	-
Consultants	-	-	-	-	-
Travel	-	-	-	-	-
Other	-	-	-	-	-
Sub-Total One-time	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
B. Recurring Expenditures					
Personnel					
Administration					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Sub-Total Administration	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Faculty					
Salary	\$ 22,400	\$ 62,000	\$ 63,860	\$ 65,775	\$ 67,748
Benefits	-	26,200	26,986	27,796	28,629
Sub-Total Faculty	<u>\$ 22,400</u>	<u>\$ 88,200</u>	<u>\$ 90,846</u>	<u>\$ 93,571</u>	<u>\$ 96,377</u>
Support Staff					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Sub-Total Support Staff	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Graduate Assistants					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Tuition and Fees* (See Below)	-	-	-	-	-
Sub-Total Graduate Assistants	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Operating					
Travel	\$ -	\$ 2,000	\$ 3,000	\$ 3,000	\$ 3,000
Printing	-	-	-	-	-
Equipment	-	-	-	-	-
Other	500	500	500	500	500
Sub-Total Operating	<u>\$ 500</u>	<u>\$ 2,500</u>	<u>\$ 3,500</u>	<u>\$ 3,500</u>	<u>\$ 3,500</u>
Total Recurring	<u><u>\$ 22,900</u></u>	<u><u>\$ 90,700</u></u>	<u><u>\$ 94,346</u></u>	<u><u>\$ 97,071</u></u>	<u><u>\$ 99,877</u></u>
TOTAL EXPENDITURES (A+B)	<u><u>\$ 22,900</u></u>	<u><u>\$ 90,700</u></u>	<u><u>\$ 94,346</u></u>	<u><u>\$ 97,071</u></u>	<u><u>\$ 99,877</u></u>

*If tuition and fees for Graduate Assistants are included, please provide the following information.

Base Tuition and Fees Rate	\$ -	\$ -	\$ -	\$ -	\$ -
Number of Graduate Assistants	-	-	-	-	-

II. Revenue	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Tuition and Fees ¹	90,060	102,038	124,208	137,775	152,045
Institutional Reallocations ²	(67,160)	(11,338)	(29,862)	(40,704)	(52,168)
Federal Grants ³	-	-	-	-	-
Private Grants or Gifts ⁴	-	-	-	-	-
Other ⁵	-	-	-	-	-
TOTAL REVENUES	<u>\$ 22,900</u>	<u>\$ 90,700</u>	<u>\$ 94,346</u>	<u>\$ 97,071</u>	<u>\$ 99,877</u>

Notes:

1. In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.

Year 1 \$90,060 is being projected for Tuition and Fee revenues. In year 1 Adjunct faculty will teach. This would result in total revenue of \$67,160. In Year 2 the projected revenue would drop due to the hiring of one new faculty member. In Year 3, 4 and Year 5 the projected revenue would increase to \$29,862, \$40,704 and \$52,168 respectively.

2. Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.

N/A

3. Please provide the source(s) of the Federal Grant including the granting department and CFDA number.

N/A

4. Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).

N/A

5. Please provide information regarding other sources of the funding.

N/A

ACADEMIC PROPOSAL SUMMARY

March 2014 TBR Quarterly Meeting

INSTITUTIONS: East Tennessee State University (EPSU)

PROPOSAL: Establish a new Master of Science (MS) in Digital Marketing

EFFECTIVE DATE: Fall 2014

PURPOSE:

The **MS in Digital Marketing** will focus upon the field of marketing in the digital environment with the emphasis of being current and relevant. With the growing, ever-changing, fast-paced online atmosphere, marketing has significantly changed and will continue to do so. Therefore, with ETSU's technological resources via the Academic Technology Support staff and ETSU Online, the degree will encompass a cutting edge, innovative curriculum and learning environment. The degree is important for the university to maintain its progressive and forward-thinking reputation. It is also an integral part of producing productive, knowledgeable graduates who are prepared for the future of marketing.

CURRICULUM: The proposed program requires completion of 30 semester credit hours distributed as follows:

Major Field Core (courses required of all students in the program)	21
Guided Electives (Program Director approval needed)	12
Capstone	<u>03</u>
TOTAL:	36

Number of New Courses: 10 with 30 SCH

NEED:

As was noted earlier, marketing is one of the most under supplied career pathways in Tennessee today with e-marketing noted as an area of particular need (Academic Program Supply and Projection and Occupational Demand Projections: 2008-2018). Also, master's programs in marketing are rare with most current marketing master's degree offerings focused on marketing

research. This program will be the only one in Tennessee looking to supply the next generation of executives in digital marketing. A marketing master’s degree focusing on digital marketing will not only be apropos to the labor market, but also to how the new generation lives their lives and makes decisions, both as consumers and as business people

IMPACT:

Knowledgeable marketing graduates are and will be in high demand. Establishment of the Master of Science in Digital Marketing in the online environment will positively impact the state of Tennessee. While online education will continue to grow, it is important a degree and its curriculum be competitive, innovative and rigorous. Finally, the field of marketing and its affiliated professional organizations, such as the American Marketing Association (<http://www.marketingpower.com/Pages/default.aspx>), are focusing on the digital marketing environment. This proposed degree provides graduates who are needed to fill positions in the digital marketing industry.

PLANS FOR ACCREDITATION:

The projected date of AACSB (Association to Advance Collegiate Schools of Business) re-accreditation for the College of Business and Technology is fall 2015. SACS will be notified of the proposed Master of Science in Digital Marketing degree. ETSU will submit the required prospectus for this substantive change.

PROJECTED STUDENT ENROLLMENT:

Year	Full-Time Headcount	Part-time Headcount	Total Year Headcount	FTE	Graduates
1	4	6	10	6	0
2	8	12	20	12	3
3	12	18	30	18	9
4	12	18	30	18	12
5	12	18	30	18	12

ORGANIZATIONAL STRUCTURE:

The program will be housed in the Department of Management and Marketing of the ETSU College of Business and Technology with faculty from College of Business and Technology and Department of Communication within the College of Arts and Sciences providing instruction in the program. The Department of Management and Marketing will also provide advisement of students and program coordination. However, graduate faculty from the Department of Communication will provide expertise needed to successfully implement the program and will teach courses in the program.

PROJECTED NEW COSTS AND REVENUE:

The tuition and fees are more than adequate to meet the costs associated with this program. Release time for the program coordinator is requested but no new faculty or support lines are requested. The full budget is attached to this document.

STAFF RECOMMENDATION:

In keeping with the joint THEC and TBR commitment to external evaluation of graduate proposals, Dr. Deborah Lester, Professor of Marketing in the Department of Marketing and Professional Sales Michael J. Coles College of Business Kennesaw State University served as external reviewer for the proposed program from January 16-17, 2014. After reviewing the materials and conducting the site visit, she stated:

I recommend approval...The suggestions I have made will strengthen the program, but even if the M.S. in Digital Marketing was instituted in exactly the same form as the original proposal, it will be a success...the market is void of anything equivalent and everyone is desperate for employees proficient with the skills this program provides.

The proposal has been reviewed by the staff of the Office of Academic Affairs. Board approval is recommended.

**THEC Financial Estimate Form
East Tennessee State University
Master of Science in Digital Marketing**

Five-year projections are required for baccalaureate and post-baccalaureate programs and certificates. Three-year projections are required for associate degrees and undergraduate certificates. Projections should include cost of living increases per year.

	Year 1	Year 2	Year 3	Year 4	Year 5
I. Expenditures					
A. One-time Expenditures					
New/Renovated Space	\$ -	\$ -		\$ -	\$ -
Equipment	-	-		-	-
Library	-		-	-	-
Consultants	-	-	-	-	-
Travel	-	-	-	-	-
Other	-	-	-	-	-
Sub-Total One-time	\$ -	\$ -	\$ -	\$ -	\$ -
B. Recurring Expenditures					
Personnel					
Administration					
Salary	\$ 7,399	\$ 7,621	\$ 7,849	\$ 8,085	\$ 8,327
Benefits	1,480	1,524	1,570	1,617	1,665
Sub-Total Administration	8,879	9,145	9,419	9,702	9,993
Faculty					
Salary	\$ 10,000	\$ 20,000	\$ 25,000	\$ 25,000	\$ 25,000
Benefits	780	1,560	1,950	1,950	1,950
Sub-Total Faculty	\$ 10,780	\$ 21,560	\$ 26,950	\$ 26,950	\$ 26,950
Support Staff					
Salary	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-
Sub-Total Support Staff	\$ -	\$ -	\$ -	\$ -	\$ -
Graduate Assistants					
Salary	\$ 6,500	\$ 7,000	\$ 7,500	\$ 8,000	\$ 8,000
Benefits	-	-	-	-	-
Tuition and Fees* (See Below)	7,466	7,839	8,231	8,642	9,074
Sub-Total Graduate Assistants	\$ 13,966	\$ 14,839	\$ 15,731	\$ 16,642	\$ 17,074
Operating					
Travel	\$ 4,094	\$ 1,525	\$ 1,525	\$ 1,525	\$ 1,525
Printing	-	-	-	-	500
Equipment	-	-	-	-	-
Other	17,275	12,275	7,475	5,875	5,875
Sub-Total Operating	\$ 21,369	\$ 13,800	\$ 9,000	\$ 7,400	\$ 7,900
Total Recurring	\$ 54,993	\$ 59,344	\$ 61,100	\$ 60,694	\$ 61,917
TOTAL EXPENDITURES (A+B)	\$ 54,993	\$ 59,344	\$ 61,100	\$ 60,694	\$ 61,917

*If tuition and fees for Graduate Assistants are included, please provide the following information.

Base Tuition and Fees Rate	\$ 7,466.00	\$ 7,839.00	\$ 8,231.00	\$ 8,642.00	\$ 9,074.00
Number of Graduate Assistants	1	1	1	1	1

II. Revenue	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Tuition and Fees ¹	74,655	156,775	246,922	259,268	272,231
Institutional Reallocations ²	(19,662)	(97,431)	(185,822)	(198,574)	(210,314)
Federal Grants ³	-	-	-	-	-
Private Grants or Gifts ⁴	-	-	-	-	-
Other ⁵	-	-	-	-	-
BALANCED BUDGET LINE	<u>\$ 54,993</u>	<u>\$ 59,344</u>	<u>\$ 61,100</u>	<u>\$ 60,694</u>	<u>\$ 61,917</u>

Notes:

1. In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program. The tuition and fee revenue will start in 2014-2015.

2. Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.
NA

3. Please provide the source(s) of the Federal Grant including the granting department and CFDA number.
NA

4. Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).
NA

5. Please provide information regarding other sources of the funding.
NA



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting

SUBJECT: Revision of Student Disciplinary Policy
East Tennessee State University

DATE: March 28, 2014

PRESENTER: Vice Chancellor Tristan Denley

ACTION REQUIRED: Voice Vote

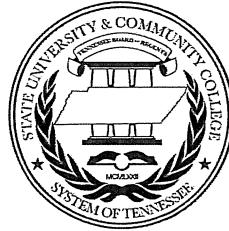
STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges for Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institution's counsel and by the Office of Academic Affairs.

East Tennessee State University requests modifications to Part 4: Disciplinary Sanctions to add definition as to what suspension of a student group means; and to Part 5: Traffic and Parking to delete reference to employees/faculty/staff from the registration of automobiles and parking permits section, and to clarify the wording for parking and speed limit descriptions as well as to certain parking fine descriptions; also to Part 6: Disciplinary Procedures to substitute the new position of Vice President of Student Affairs in several appropriate places as the office of authority, and to amend the appeals process to include language regarding the grounds and conditions for an appeal.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Revision of Student Disciplinary Policy Middle Tennessee State University
DATE:	March 28, 2014
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Middle Tennessee State University requests modifications to Section 5: Traffic and Parking to include minor word changes for clarity and consistency, and on adding a section providing regulations for bicycle use, where bicycles may and may not be parked, and impounding processes for bicycles improperly parked; Section 6: Disciplinary Procedures to remove a paragraph regarding jurisdiction for academic misconduct matters, which are heard exclusively by an Academic Misconduct Committee; and throughout the policy, to include minor word changes for clarity and consistency, as well as the removal of the terms "rules and regulations" in lieu of "policies".



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting
SUBJECT: Revision of Student Disciplinary Policy
University of Memphis
DATE: March 28, 2014
PRESENTER: Vice Chancellor Tristan Denley
ACTION REQUIRED: Voice Vote
STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

The University of Memphis requests modifications to Part 1: Institutional Policy State to clarify the definition of 'student', amend its jurisdiction statement to be consistent with student discipline practice and to include online behavior; Part 2: Disciplinary Offenses to clarify role of the University Committee on Student Conduct, insert links to related TBR and University policies, amend sexual misconduct definition, and clarify academic misconduct violations; Part 3: Academic and Classroom Misconduct to assign suspension decisions to the Associate Dean of Students for Student Conduct; Part 4: Disciplinary Sanctions to amend language for warning, censure and interim suspension; and Part 5: Disciplinary Procedures to outline the content of charge letters, the standard hearing process and the self-harm assessment protocol; to amend the retention of records by acknowledging FERPA requirements; and to inform student organizations that they will follow the same appeal process previously provided in this section; and to Part 6: Traffic and Parking to amend fines to include a \$2.00 per day late fee (\$30.00 maximum) for return of a parking pass for the main campus, which will assist as an enforcement mechanism to ensure return of parking pass.



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting

SUBJECT: Revision of Student Disciplinary Policy
Cleveland State Community College

DATE: March 28, 2014

PRESENTER: Vice Chancellor Tristan Denley

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Cleveland State Community College requests modifications to Section 5: Traffic and Parking to make appropriate changes to titles and names of offices resulting from the college's decision to move from a Safety and Security Department to a state-approved Campus Police Department throughout this section, to include reference to state citations where appropriate, and to clarify that the type of citation issued for parking violations, either campus or state, is at the officer's discretion.



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting

SUBJECT: Revision of Student Disciplinary Policy
Columbia State Community College

DATE: March 28, 2014

PRESENTER: Vice Chancellor Tristan Denley

ACTION REQUIRED: Voice Vote

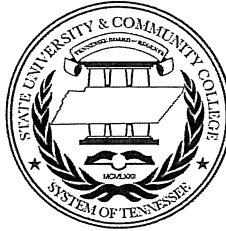
STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Columbia State Community College requests modifications to Section 3: Academic and Classroom Misconduct to clarify the instructor's authority to impose sanctions relevant to the academic dishonesty in coursework, to clarify the academic dean's role in informing of the student's right to appeal, and to assure that the dean be notified of the outcome of appeals adjudicated by the Provost; and to Section 5: Traffic and Parking to add three parking violations for blocking a fire lane, roadway or taking up two spaces each at the set fine amount of \$10, to reflect the elimination of required student parking decals, and to direct the administration of employee parking decals to Human Resources.



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting

SUBJECT: Revision of Student Disciplinary Policy
Jackson State Community College

DATE: March 28, 2014

PRESENTER: Vice Chancellor Tristan Denley

ACTION REQUIRED: Voice Vote

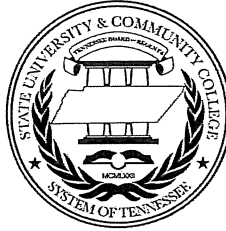
STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Jackson State Community College requests modifications to Section 5: Traffic and Parking to include current information about access fees; to clarify the location for obtaining parking decals and temporary parking permits as well as the processes by which they can be obtained; and to require disabled students and employees to display both a state-issued disability placard and a JSCC decal to use designated disabled parking spots.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Revision of Student Disciplinary Policy Nashville State Community College
DATE:	March 28, 2014
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Nashville State Community College requests modifications to Section 3: Academic and Classroom Misconduct to clarify the instructor's authority concerning disruptive behavior in the classroom to include removal of a disruptive student for one class period for classroom misconduct. The instructor's responsibility to inform students of charges, sanctions, and appeal processes associated with such misconduct is provided; and Section 5: Traffic and Parking to increase the fine for traffic and parking violations from \$10.00 to \$25.00 for each violation except for disabled parking violations, the fine for which is established by statute. This increase will help deter drivers from committing moving violations that threaten the safety of students, faculty, staff and visitors and is in keeping with the amount of such fines at other TBR institutions.



TENNESSEE BOARD OF REGENTS

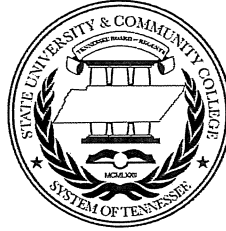
MEETING: March Quarterly Board Meeting
SUBJECT: Revision of Student Disciplinary Policy
Southwest Tennessee Community College
DATE: March 28, 2014
PRESENTER: Vice Chancellor Tristan Denley
ACTION REQUIRED: Voice Vote
STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Southwest Tennessee Community College requests modifications to Part 5: Disciplinary Procedures to clarify a student's appeal options to include his/her appealing a decision rendered by a judicial officer.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Revision of Student Disciplinary Policy Volunteer State Community College
DATE:	March 28, 2014
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges of Applied Technology (formerly known as the Tennessee Technology Centers). These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

Volunteer State Community College requests modifications to Part V: Traffic and Parking to remove repetitive language, insert correct titles for offices, and revise the explanations regarding employee vehicle registration, parking decals, parking and traffic regulations; also to clarify the traffic violations appeals process by differentiating between students and faculty/staff/visitors processes; and Part VI: Disciplinary Procedures to include department chairs, program directors and/or coordinators in the Academic Misconduct appeals process; also to remove authority from a Division Dean to change a grade due to academic misconduct and rest that responsibility with the Academic Integrity Committee; and also to reduce the time to file an appeal of a grade to five (5) business days to facilitate a shorter turnaround time in the appeal process.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Revision of Student Disciplinary Policy Tennessee Colleges of Applied Technology
DATE:	March 28, 2014
PRESENTER:	Vice Chancellor Tristan Denley
ACTION REQUIRED:	Voice Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

At its meeting on December 8, 2011, the Board approved a separate Student Disciplinary Policy for each TBR university and community college as well as a Student Disciplinary Policy for the Tennessee Colleges for Applied Technology. These policies describe disciplinary behaviors, disciplinary sanctions, and due process in keeping with the systemwide rule and applicable statutes. Furthermore, these policies include traffic and parking procedures including statements of traffic and parking related fees and fines.

The revised system-wide rule provides for institutions to amend their student disciplinary policies as such: "In student discipline policies, each institution may expand on these regulations, subject to Board approval" [Rule 0240-02-030.01 (2)]. The revision process has included institution-specific processes and approvals as well as review by institutions' counsel and by the Office of Academic Affairs.

The Tennessee Colleges of Applied Technology request modifications to insert the name Tennessee Colleges of Applied Technology in the place of Tennessee Technology Centers and to insert the abbreviation TCAT in place of TTC in all instances throughout the document. The Tennessee Technology Centers were renamed Tennessee Colleges of Applied Technology as of July 1, 2013. This change more accurately reflects the post-secondary training provided at the 27 campuses and many satellite locations across the state.



TENNESSEE BOARD OF REGENTS

MEETING:	March Quarterly Board Meeting
SUBJECT:	Repeal of System-wide and Institutional Rules
DATE:	March 28, 2014
PRESENTER:	General Counsel Mary G. Moody
ACTION REQUIRED:	Roll Call Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

The Board will consider approval of repeals to the existing TBR APA System-wide Student Rules regarding Student Residence Regulations and Agreements and Residence Hall Visitation Policy, as well as repeals to TBR APA Institutional Student Housing Rules at the six (6) TBR Universities.

This proposal coincides with revisions and combining of policies being made by the Housing Rule Committee to Policy 3-03-01-00, Student Residence Regulations and Agreements and Policy 3-03-03-01, Residence Hall Visitation Policy, which will be presented to the Board at a later date.

As with recent repeal and revisions of other TBR APA Rules and TBR Policy, the proposed changes reflect evolution in case law and Tennessee Attorney General Opinions over the last 30 years, enhance institutional control and flexibility, and place the policy along with others of general application.

System-wide Student Residence Regulations and Agreements (TBR APA Rule 0240-02-06) and Residence Hall Visitation (TBR APA Rule 0240-02-07) are now exempt from promulgation because any due process right that may affect a student is now addressed by the revised TBR APA Rule 0240-02-03, Student Conduct and Disciplinary Sanctions, or through a contract based action in external forums. (Tenn. Atty. General Opinion 99-010)

Institutional Student Housing Rules (TBR APA Rules 0240-04-01 (APSU); 0240-04-02 (ETSU); 0240-04-03 (UoM); 0240-04-04 (MTSU); 0240-04-05 (TSU); and 0240-04-06 (TTU) are exempt from promulgation because individual institutions do not have rule making authority. (Tenn. Atty. General Opinion 85-212)

**RULES
OF
THE TENNESSEE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

SYSTEMWIDE STUDENT RULES

**CHAPTER 0240-02-06
STUDENT RESIDENCE REGULATIONS AND AGREEMENTS**

TABLE OF CONTENTS

0240-02-06-.01	Scope	0240-02-06-.04	Provisions Applicable to Student
0240-02-06-.02	General Provisions Applicable to All Student Residence Agreements and Leases	0240-02-06-.05	Apartments Exceptions
0240-02-06-.03	Provisions Applicable to Student Dormitories and Residence Halls		

Repeal

0240-02-06-.01 SCOPE. The following policy of the Board of Regents is hereby adopted to establish certain minimum regulations and provisions which shall be applicable to all universities in the State University and Community College System of Tennessee, and the provisions herein shall be incorporated by reference into all student residence agreements and leases entered into between students and universities. Each university is authorized to establish additional terms and provisions as part of any student residence agreement or lease, provided that all form agreements and leases shall be subject to the approval of the Chancellor of the State University and Community College system or his designee.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983.

0240-02-06-.02 GENERAL PROVISIONS APPLICABLE TO ALL STUDENT RESIDENCE AGREEMENTS AND LEASES.

- (1) All student residence facilities, including dormitories and apartments, shall be limited to occupancy by full-time students and housing staff of the institution, provided that apartments may be occupied by spouses and children of full-time students if so designated by the institution; and provided further that part-time students may be approved for occupancy of student residence facility at the discretion of the institution. In addition, residence facilities may be leased to other persons in connection with programs and activities on campus when such facilities are not occupied or needed by students. All students, with the exception of students who are prohibited by federal or state law from residing in student residence facilities for any reason, shall have an equal opportunity to reside in student residence facilities regardless of race, sex, marital status, creed, national origin, or handicap, provided that separate units may be provided on the basis of sex.
- (2) No student who is registered as a sex offender pursuant to the Tennessee Sexual Offender and Violent Sexual Offender Registration, Verification and Tracking Act of 2004 and whose victim was a minor shall be eligible to reside in any on-campus student residence facilities, including dormitories and apartments if (a) the campus includes a public school, private or parochial school, licensed day care center, other child care facility, public park, playground, recreation center or public athletic field available for use by the general public; or (b) the campus is within one thousand feet (1,000') of a public school, private or parochial school, licensed day care center, other child care facility, public athletic field available for use by the general public.
- (3) All students who occupy any student residence unit shall maintain the unit in the same condition and repair as accepted at the commencement of the period of occupancy, and

Rule 0240-02-06-.02, continued)

upon termination of such occupancy, shall surrender the premises in the same condition and repair, ordinary wear and tear excepted. No student may make any alterations, additions, or improvements to a residence unit without the written consent of the institution.

- (4) No student shall assign the lease of any residence unit, or sublet the unit, and any attempted assignment or sublease shall be void without the written consent of the institution.
- (5) Each student who occupies any residence unit agrees to pay the institution, immediately upon demand, for any and all damages to the unit, including but not limited to damages to exterior or interior walls, ceilings, floors, windows, doors, locks, hardware, plumbing fixtures, cabinets, shrubbery, lawn, appliances, fixtures and furnishings of the unit and its surrounding premises, if such damage is caused by any act or failure to act by the student, or guests or invitees of the student.
- (6) The institution does not maintain insurance on any personal property of students, and all personal property of students on the premises shall be at the risk of the students. The institution shall not be liable for any damages to or theft of personal property of students in residence units.
- (7) The institution shall not be liable for any damages or injuries to any student or the occupants of student residence facilities, or to guests or invitees of such occupants, resulting from any act or failure to act by the student or any other occupant of the premises, or from any lack of repair of the facility or any accident occurring in or about the facility, except as authorized by and allowed pursuant to Tenn. Code Ann. §9-8-307. Each student who occupies any residence unit agrees to indemnify and hold the institution harmless from and against any and all claims, damages, or causes of action whatsoever, asserted by any person arising out of or in any way connected with the use of the premises by the student
- (8) All student residence facilities shall be used for private residential purposes only. No student shall permit any objectionable noise or odor to escape from the residence unit, permit or create a nuisance, or disturb any other resident of the unit or the facility.
- (9) Officials and agents of the institution may enter the residence unit at all reasonable times to examine and inspect the unit, or to render service or repairs, and may remove any signs, fixtures, alterations or other objects not in conformity with this policy, the rules of the institution, or applicable law. Any residence unit may be searched with the consent of the student or any other occupant of the unit, or without such consent upon a finding of probable cause and the issuance of an authorization to search by the appropriate official of the institution or of any court with jurisdiction. Consent by any other occupant of the unit who is not a member of the family of the student under suspicion shall not extend to any personal belongings of, or areas restricted for exclusive use by, the student under suspicion.
- (10) Any student residence agreement or lease shall terminate at the discretion of the institution in the event of any of the following:
 - (a) The premises or the unit are destroyed or, in the opinion of the institution, unsuitable for occupancy for any reason;
 - (b) The occupancy thereof ceases to remain a student in good standing during any regular academic term within the period of the agreement or lease;
 - (c) The occupant thereof ceases to remain eligible to reside in student residence facilities pursuant to federal or state law.

Rule 0240-02-06-.02, continued)

- (d) The student or other occupant violates any covenant, term or condition of the agreement or lease, including the provisions of this policy and any other rule or regulation incorporated into the agreement or lease by reference; or
 - (e) The institution gives the student or other occupant written notice of termination at least thirty (30) days prior to the date when such termination will be effective.
- (11) Refunds of rent paid in advance will be prorated on a weekday calendar basis when the student is forced to withdraw from the premises: (a) because of personal medical reasons confirmed in writing by a licensed physician; or (b) at the request of the institution pursuant to subsections (10) (a) and (10) (e) of this policy. A full refund will be made in the event of the death of the student.
 - (12) No pets or animals of any nature with the exception of approved and authorized official service animals, provided that if authorized in writing by the institution, fish in aquariums of a designated size may be allowed.
 - (13) All students who occupy any residence unit shall be subject to the rules, regulations, policies and Procedures of the Board and the institution related to conduct and student housing, including visitation regulations, and the provisions of this policy, and the institution's student handbook and residence handbook, shall be incorporated by reference into each student residence agreement or lease.
 - (14) All student residence agreements and leases shall be limited to a maximum term of one (1) year, but may be renewable for additional terms at the election of the institution.
 - (15) The rental or fee payable for any student residence unit shall be as established by the institution at the beginning of any academic term, and shall be subject to increase during the term of any agreement by the institution at any time upon twenty (20) days notice before the beginning of the next quarter or semester in the event such an increase is approved by the Board of Regents.
 - (16) In the event any student or other occupant of a residence unit fails to comply with any terms or conditions of the residence agreement or lease, including the timely payment of rent, or with any rule, regulation or policy incorporated therein by reference, the institution may declare the lease or agreement terminated, and may enter and take possession of the premises after it has given notice to the student or other occupant to vacate the premises within twenty-four (24) hours.
 - (17) Any student or other occupant of a residence unit who fails to comply with any terms or conditions of the residence agreement or lease, or with any rule, regulation or policy incorporated therein by reference, or who fails to make timely payment of all rental due or for damages caused to the premises, shall be liable to the institution for all expenses, including collection costs and reasonable attorney's fees, incurred by the institution in the enforcement or collection of the obligation involved.
 - (18) Each institution is hereby authorized to require a security deposit and/or an application fee for students who apply for residence hall facilities, which deposit or fee may be forfeited by the student in the event he or she fails to enter into a residence agreement or lease, or fails to comply with any other covenant, term or condition of the agreement or lease or any provision of this policy incorporated in such agreement or lease.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 11, 2004; effective December 29, 2004. Amendments filed November 12, 2008; effective March 30, 2009.

0240-02-06-.03 PROVISIONS APPLICABLE TO STUDENT DORMITORIES AND RESIDENCE HALLS.

- (1) The term of any student residence agreement or lease for a dormitory or residence hall unit may be for any or all of the regular quarters or semesters within the academic year of the institution, but shall not include any period between quarters or semesters, any holiday or vacation periods, or summer periods unless otherwise designated by the institution.
- (2) Rental for student dormitory or residence hall units shall be payable in advance at the beginning of the quarter or semester involved, and payment thereof shall be a condition precedent to the student being an enrolled student for the quarter or semester, provided that rental for such units may be made payable in advance on a prorated, periodic basis within the term. Any prorated periodic payment which is not paid on or before the tenth (10th) day after such payment is due shall be subject to a late penalty, the amount of which shall be designated by the institution.
- (3) Students in dormitory or residence hall units may be assessed on a prop rata basis for damaged in corridors, bathrooms, lounges, and other common areas within or around facility, either by floor or areas or by the entire facility, following a hearing before the designated officials or body of the institution.
- (4) In the event any occupant of a multiple occupancy dormitory or residence hall unit ceases to reside in the unit for any reason, the institution shall have the right to reassign the remaining occupants to other student Residence facility units on campus.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 11, 2004; effective December 29, 2004.

0240-02-06-.04 PROVISIONS APPLICABLE TO STUDENT APARTMENTS.

- (1) The term of any student residence agreement or lease for an apartment unit may be for any portion or all of a calendar year, subject to such renewal as may be provided by the institution.
- (2) Rental for student apartment units shall be payable monthly in advance, provided that the institution may require advance payment of rental for a period in excess of one (1) month. The first periodic payment shall be payable in advance of the beginning of the quarter or semester involved, and payment thereof shall be a condition precedent to the student being an enrolled student for that quarter or semester. Any monthly or periodic payment which is not paid on or before the tenth (10th) day after such payment is due shall be subject to a late penalty the amount of which shall be designated by the institution.
- (3) In the event any student apartment unit is occupied by two (2) or more students, the unit shall be subject to the same conditions as student dormitory and residence hall units at the institution.
- (4) In the event the lease or other agreement for an apartment unit is terminated by the institution pursuant to subsection (9) (c) of Section 0240-2-26-.02 of this policy, or the student or other occupant vacates the premises prior to the end of the term of the lease or agreement, the student or other occupant shall be liable for any unpaid rent and any remaining rent until the end of the term of the lease or agreement or until the unit is subsequently leased or rented to another student, whichever is first to occur.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 11,

Rule 0240-02-06-.04, continued)

2004; effective December 29, 2004.

0240-02-06-.05 EXCEPTIONS. – Exceptions to the provisions of this policy may be made pursuant to the written terms of a student residence agreement, subject to the approval of the Chancellor of the State University and Community College System or his designee.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983.

**RULES
OF
THE TENNESSEE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

SYSTEMWIDE STUDENT RULES

**CHAPTER 0240-2-7
RESIDENCE HALL VISITATION POLICY**

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0240-2-7-.01 PURPOSE. The purpose of this policy is to provide guidelines for residence hall visitation policies and procedures of universities in the State University and Community College System of Tennessee.

Authority: T.C.A. §49-8-203. *Administrative History:* Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983.

0240-2-7-.02 DEFINITIONS. For purposes of this policy, the following definitions shall apply:

- (1) “Residence hall” means any dormitory building, apartment, or other facility owned or operated by a university to provide housing accommodations for students, but does not include married student housing facilities.
- (2) “Residence hall visitation” means the visitation by visitors of the opposite sex with residents in residence halls.
- (3) “Open house” means the opening of student residence halls for invited visitors at times specifically connected to and associated with special campus wide festivities observed by the university.
- (4) “Resident” means any student residing in a residence hall.
- (5) “Visitor” means any person invited by a resident to visit in a residence hall.

Authority: T.C.A. §49-8-203. *Administrative History:* Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983.

0240-2-7-.03 VISITATION POLICIES AND PROCEDURES.

- (1) Residence hall visitation may only be permitted in connection with open house activities or pursuant to regularly established visitation policies of an institution.
- (2) Open house hours, procedures, and supervision shall be carefully and specifically planned with regard to overall campus festivities. Visitors may be permitted in residence halls pursuant to the institution’s policy for open house visitation, which may supersede the regular residence hall visitation regulations in effect at other times.
- (3) Each institution shall develop and recommend appropriate policies and procedures for and schedules of residence hall visitation, subject to approval of the Committee on Student Life and the Board. Visitation privileges should be developed in accordance with the nature and suitability of residence halls for visitation. Differential housing regulations, elections by residents of residence halls, and/or

other methods should be developed to accommodate to the maximum extent practicable the varying

(Rule 0240-2-7-.03, continued)

- interests of students, who request it should be provided with an opportunity to reside in a residence hall or portion thereof without a visitation program if possible.
- (4) In the development of residence hall visitation policies and procedures, each institution shall give due consideration to the privacy rights of all students, and should ensure that visitation practices do not adversely affect students who choose not to participate in visitation privileges. In no event should visitation be permitted in any student room or suite without the consent of all resident occupants of that room or suite.
 - (5) Each institution shall develop policies and procedures which ensure to the maximum extent possible the safety of all residents and visitors in residence halls. Such policies and procedures should include measures to prevent unauthorized persons from having access to student residence halls, and to require the monitoring by the resident host of all persons entering residence halls for purposes of visiting the resident.
 - (6) Clearly planned and communicated regulations, guidelines, and procedures for the administration of visitation programs shall be with the necessary resources to ensure compliance with regulations, guidelines and procedures, and to enforce regulations concerning the conduct of students and visitors in residence halls.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 11, 2004; effective December 29, 2004.

**RULES
OF
THE TENNESSEE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

INSTITUTIONAL STUDENT HOUSING RULES

**CHAPTER 0240-04-01
AUSTIN PEAY STATE UNIVERSITY
STUDENT HOUSING RULES**

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0240-04-01-.01 ELIGIBILITY.

- (1) All full-time and part-time freshman single students under twenty-one (21) years of age not residing with their parents or legal guardians must reside in University housing and participate in a meal plan.
- (2) Residents must be enrolled for at least twelve (12) undergraduate and nine (9) graduate semester hours in order to reside in campus housing. Students enrolled for less than nine (9) undergraduate and six (6) graduate semester hours at any time during the term must have approval of the Director of Housing/Residence Life to reside in campus housing. If a resident ceases to attend classes for any reason other than illness, he/she will be asked to move from a residence hall. If a student withdraws from the University, he/she must vacate his/her room within twenty-four (24) hours after he/she completes his/her withdrawal procedures.
- (3) Married students living with their spouses and single students with dependent children have first priority for housing assignment in Emerald Hills Apartments (family housing). Single students with special needs would have second priority; other single students (by seniority or class rank) have third priority when no space is available in regular student housing.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed May 13, 1991; effective August 28, 1991. Amendment filed October 8, 2003; effective February 27, 2004.

0240-04-01-.02 RESIDENCE HALL CONDUCT AND DISCIPLINARY SANCTIONS.

- (1) Residents are expected to live by the general academic and social standards of Austin Peay State University as stated in the student contract (which follows in section .03) the Residence Life Handbook and in the Student Handbook. Persons who violate residence hall regulations are subject to disciplinary action, through the University Judicial System.
- (2) In addition, the following special regulations concerning conduct in residence facilities shall apply, and failure to comply with them shall subject the resident to disciplinary action.

(Rule 0240-04-01-.02, continued)

- (a) No pets or animals of any nature shall be permitted in any residence unit in any residence facility with the exception of fish in aquariums of up to 20 gallons.
- (3) Occupants of a resident unit shall be responsible for all conduct in a unit including the conduct of visitors and guests.
- (4) Any residence unit may be searched with the consent of any occupant of the unit, or without such consent upon a finding of probable cause, and the issuance of an authorization to search by the appropriate University official or by any court with jurisdiction.
- (5) Upon a determination that a resident has violated any of the rules, regulations, or disciplinary offenses set forth in these Student Housing rules, the disciplinary sanctions listed in the Austin Peay State University Student Disciplinary rules, section 0240-03-01-.04(2), which is incorporated herein by reference, may be imposed, either singly or in combination, by the appropriate University officials.
- (6) Disciplinary action against a student for violating any rule, regulation, or disciplinary offense related to student housing shall be carried out in accordance with the procedures described in the Austin Peay State University Student Disciplinary Rules, section 0240-03-01-.04 (2), which is incorporated herein by reference, may be imposed, either singly or in combination, by the appropriate University officials.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rules filed April 28, 1983; effective July 13, 1983. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed October 8, 2003; effective February 27, 2004. Amendment filed August 11, 2004; effective December 29, 2004.

0240-04-01-.03 RESIDENT RESPONSIBILITIES.

- (1) Any student who occupies a student residence unit shall maintain the unit in the same condition and repair as accepted at the commencement of the period of occupancy; and upon termination of occupancy, the student shall surrender the premises in the same condition and repair, ordinary wear and tear excepted. No student may make any alteration, addition, or improvement to a student resident unit without the written consent of the Director of Housing/Residence Life.
- (2) Each student who occupies a student residence unit agrees to pay the University, immediately upon demand for any and all damages to the unit, including but not limited to damages to exterior or interior walls, ceilings, floors, windows, doors, locks, hardware, plumbing fixtures, cabinets, shrubbery, lawn, appliances, fixtures, and furnishings of the unit and its surrounding premises, if such damage is caused by any act or failure to act by the student or guests or invitees of the student.
- (3) Students in student residence units may be assessed on a pro rata basis for damages in corridors, bath areas, lounges, and other common areas within or around a residence facility, either by floor, area, or entire facility if individuals responsible for the damages cannot be determined. The group assessment shall be by the Director of Housing/Residence Life.
- (4) When vacating a residence unit, a student must properly check-out with a member of the Residence Life staff and review the room condition sheet signed at the time of occupancy. Failure to do so shall result in a charge to the student's account.
- (5) Residents shall be charged a fee for replacement of a residence hall lock and key.

(Rule 0240-04-01-.03, continued)

- (6) Each student shall pay to the University the rental provided for the particular housing to which he student is assigned, and such payment is to be made each semester or term or prior to registration.

Authority: T.C.A. §49-8- 203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed October 8, 2003; effective February 27, 2004.

0240-04-01-.04 VISITATION POLICY.

- (1) Visitation hours for all residence halls: 8:00 a.m. - midnight, seven (7) days a week. Emerald Hill Complex visitation hours shall be twenty-four (24) hours a day.
- (2) Guidelines for Visitation
 - (a) In enclosed corridor-style halls, all guests of the opposite sex must be escorted to and from a resident's room.
 - (b) Residents are accountable for the actions of their guests. Visitation violations will result in the resident being referred for disciplinary action to the Office of Housing/Residence Life.
 - (c) In individual residence hall suites/annex areas, and in individual university apartments, residents may, through mutual agreement, limit, but not increase, visitation hours.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed May 13, 1991; effective August 28, 1991. Amendment filed July 3, 1996; effective November 28, 1996. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed October 8, 2003; effective February 27, 2004. Amendment filed November 12, 2008; effective March 30, 2009. Amendment filed October 29, 2009; effective March 31, 2010.

0240-04-01-.05 CONTRACT TERM AND CONDITIONS.

- (1) Except for terms for summer term housing, the housing term shall extend from the first day of the specified school term until twenty-four (24) hours following final examinations of the subsequent spring semester, until twenty-four (24) hours following graduation for persons graduating or until twenty-four (24) hours after termination of student status; provided however, that such term does not entitle the student to housing during stated recesses or vacation periods of the University.
- (2) Request for cancellation of the contract must be approved by the Director of Housing/Residence Life. Failure to make a request for cancellation by July 1 for the academic year or November 1 for new applications for the spring semester will result in the forfeiture of the prepayment fee. Applications submitted after these dates will be subject to automatic forfeiture of the prepayment fee upon cancellation.
- (3) The University's acceptance of the housing contract shall not constitute a guarantee of assignment to a particular type of accommodation.

(Rule 0240-04-01-.05, continued)

- (4) Assignments to or occupancy of a room does not include vacation periods, but will begin and end on the dates of the semester(s) as indicated in the University Bulletin. Occupancy of a room between semesters must be approved by the Director of Housing/Residence Life. When approved, such occupancy will be at additional cost.
- (5) Residents shall hold harmless the University from any suit, action at law or other claim whatsoever resulting from or arising out of any injury to the student's person or property while an occupant of a residence hall under this contract, except where such injury is caused by the negligence of the University or its agents. (If the student is a minor, the covenant contained in this paragraph shall be constructed as the covenant of the student and his or her parent or guardian).
- (6) The University reserves the right of entry to any room for purposes of health and sanitation inspection, maintenance inspection, and during normal working hours, to perform maintenance or custodial work.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed May 1, 1991; effective August 28, 1991. Amendment filed October 8, 2003; effective February 27, 2004. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-01-.06 RESERVATIONS (DEPOSIT, CANCELLATION AND REFUND POLICIES).

- (1) All students in University housing are required to pay a prepayment fee.
- (2) Request for cancellation of the contract must be approved by the Director of Housing Residence Life. Failure to make a request for cancellation of contract by July 1 for the academic year or November 1 for new applications for the spring semester will result in forfeiture of the prepayment fee. Applications submitted after these dates will be subject to automatic forfeiture of the prepayment fee upon cancellation.
- (3) The University will make a pro rata refund of the student's rent on a weekly calendar basis when the student is forced to withdraw from the residence hall because of personal medical reasons confirmed in writing by a licensed physician, or at the request of the University for other than disciplinary reasons pursuant to Board of Regents rule 0240-02-06-.02 (9)(a)(d). A full refund will be made in case of the death of the student. Withdrawals for other reasons, except disciplinary reasons, will be subject to the 75%-25% amounts and time periods as maintenance fees. No refunds will be made other than under the above conditions.
- (4) A refund of the prepayment fee will be made only if the University is notified that the student is unable to enter the University because of medical reasons confirmed in writing by a licensed physician or if residence hall space is not available. Full refund also will be made in the case of the death of a student.
- (5) No refund will be made to a student dismissed or suspended for disciplinary reasons or who violates the terms of the contract by willingly vacating the residence hall except as specified within the terms of the contract.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed October 8, 2003; effective February 27, 2004. Amendments filed September 20, 2007; effective January 28, 2008. Amendment filed November 12, 2008; effective March 30, 2009.

0240-04-01-.07 SPECIAL REGULATIONS APPLICABLE TO PARTICULAR HOUSING FACILITIES.

- (1) The following additional regulations shall apply to students residing in Family Housing:
 - (a) Residents must notify the University at least thirty (30) days in advance of termination of the lease.
 - (b) Residents must pay monthly rental on the first day of each month in advance at the Business Office.
 - (c) The resident shall not assign, sublet, or part with the possession of the whole or any part of the premises without first obtaining the written consent of the University.
 - (d) The resident shall permit the University and its agents, at all reasonable times, to enter upon the premises and to examine the condition thereof and for necessary upkeep.
 - (e) The resident shall remain liable for rent until all the premises, with keys to same, are cleared of all persons, goods, or things not belonging to the University. Liability shall cease when the keys have been tendered or delivered to the Housing Office for inspection of the property and approval of refund, if any.
 - (f) Residents shall not obstruct sidewalks, entrance halls, passages, stairways, electrical access panels, or fire escapes, or use them for any purposes other than ingress to and egress from the respective apartments.
 - (g) Residents shall not attach to, or connect with the electric fixtures within the leased apartment, lamp fixtures, or appliances of any sort, except such that are approved by the University. No radio or television aerial shall be installed on the roof or exterior walls of the building without prior written consent of the University.
 - (h) The lease of student tenants who are graduating from the University shall terminate then (10) days following date graduation.
 - (i) The maximum number of occupants residing in Emerald Hills shall be: One (1) bedroom apartments: a maximum of two (2) occupants; two (2) bedroom apartments: a maximum of four (4) occupants; three (3) bedroom apartments: a maximum of six (6) occupants.
 - (j) Quiet hours shall be maintained in family housing for the purpose of enhancing the academic environment.
 - (k) Guidelines for the proper supervision of children shall be maintained. These guidelines shall be the same as specified by the Department of Human Services.
 - (l) All family housing leases, and leases for all non-traditional single students residing in family housing shall be renewed during the month of June for the following academic year. Students will be permitted to move into family housing a maximum of twenty-eight (28) days prior to the semester for which they initially enroll.
 - (m) The lease of non-enrolled students shall terminate ten (10) days following the end of the current semester for which they are enrolled. The exception shall be for non-enrolled students residing in family housing during the summer academic terms who intend to re-enroll in the University for the fall semester.

(Rule 0240-04-01-.07, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed May 13, 1991; effective August 28, 1991. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed November 12, 2008; effective March 30, 2009. Amendment filed October 29, 2009; effective March 31, 2010.

0240-04-01-.08 MISCELLANEOUS.

- (1) For the protection of residents, no solicitation, whether in person or by telephone, shall be permitted in residence facilities. Any person selling or soliciting in residence facilities should be reported to Public Safety.
- (2) Small refrigerators are permitted in resident's rooms subject to the following conditions:
 - (a) They are U.L. approved,
 - (b) They draw no more than 1.5 amps of current while running or are no larger than 5 cu. feet storage; and
 - (c) They are in good repair.
- (3) Private Rooms. When space permits, students may pay an additional fee each semester for a private room. Students residing in under capacity rooms who do not wish to pay a private room fee may be asked to consolidate with other students in under capacity rooms, or accept a roommate assigned at the discretion of the Residence Life Office.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rules filed April 28, 1983; effective July 13, 1983. Amendment filed July 29, 1986; effective October 29, 1986. Amendment filed July 29, 1988; effective October 29, 1988. Amendment filed June 11, 1990; effective September 26, 1990. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed October 8, 2003; effective February 27, 2004.

**RULES
OF
THE BOARD OF REGENTS
OF THE
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE
INSTITUTIONAL STUDENT HOUSING RULES**

**CHAPTER 0240-4-2
EAST TENNESSEE STATE UNIVERSITY STUDENT HOUSING RULES**

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0240-4-2-.05 Contract Term and Conditions	

0240-4-2-.01 ELIGIBILITY.

- (1) The University provides the maximum amount of student housing permitted by institutional resources. Students residing in housing each spring semester are given first choice for fall housing during a designated period. Space for new students in housing is assigned on a "first come, first served" basis regulated by the date the housing application is received. An early application is necessary to insure a room in a residence hall or an apartment.
- (2) The University provides housing for faculty and staff only on a temporary (60-day maximum) basis, and then only when space is available. Temporary housing must be vacated by the first day of the month in which the regular fall term begins. All occupants using temporary housing are bound by the same rules and regulations as regular student occupants.
- (3) Each student living in the residence halls must have registered at East Tennessee State University as a full-time undergraduate or graduate student, unless he/she has received special permission from the Director of Housing and Residence Life. A special form for approval to live in housing when a student is not full-time is available in the Office of Housing and Residence Life. Married students must have permission from the Director of Housing and Residence Life to live in the residence halls. It is the prerogative of the Director of Housing and Residence Life to refuse a room assignment to any applicant or to terminate the occupancy of any resident when there is justification.
- (4) Students who become academically ineligible to return to school will automatically have their housing contract for the next semester canceled. A student may reapply for housing after he/she has been readmitted by appeal. Arrangements to remove any belongings in University housing should be made with the Office of Housing and Residence Life immediately after notification is received concerning academic ineligibility to return. Housing deposits will be automatically refunded, unless the Office of Housing and Residence Life is notified in writing by the resident to do otherwise.
- (5) Hall and room assignments are made according to the date the completed housing application and deposit are received by the Comptroller's Office, the student's stated preferences for a particular hall and/or roommate, and space availability. Applications received after July 1 will be assigned according to the date received and geographical location (not within commuting distance).

(Rule 0240-4-2-.01, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed January 11, 2002; effective May 31, 2002.

0240-4-2-.02 RESIDENCE HALL CONDUCT AND DISCIPLINARY SANCTIONS.

- (1) Violation of University and housing rules and regulations will be dealt with through the Office of Housing and Residence Life staff, and/or referred through the University Disciplinary Procedures.
- (2) Residents must be in compliance with all rules and regulations as stated in the Residence Hall Student Handbook, and the University Student Handbook, The Spectrum. Additional regulations relevant to residents will be made via memoranda flyers, and/or notices.
- (3) The following are used in dealing with policy and rule violations within the residence halls, and depending on the nature and severity of the violation, one or more may be used.
 - (a) Warning by Resident Advisor (RA);
 - (b) Conference with Resident Director (RD); Assistant Resident Director (ARD);
 - (c) Residence Director - Warning;
 - (d) Charged for damages;
 - (e) Restriction of privileges;
 - (f) Conference with the Area Coordinator, Apartment Manager or Assistant Director of Housing and Residence Life.
 - (g) Conference with Director or Associate Director of Housing and Residence Life;
 - (h) Moved from room , residence hall or apartment to another room, residence hall or apartment;
 - (i) In-House Warning (does not go in permanent file in Office of Student Affairs);
 - (j) Official Warning;
 - (k) Residence Hall Probation;
 - (l) Assigned work on campus or community service hours through Volunteer ETSU;
 - (m) Dismissal from University Housing;
 - (n) Referral to Senior Associate Vice President for Student Affairs and Dean of Students;
 - (o) Referral to the University Counseling Center. The student is mandated to visit the University Counseling Center for an initial evaluation and follow-through on any prescribed treatment program.
 - (p) Fines - In cases involving violation of the University alcohol and drug regulations, fines in the following amount may be imposed:
 1. First offense \$25.00
 2. Second offense \$50.00

(Rule 0240-4-2-.02, continued)

3. Third offense \$100.00

All funds from fines will be used to support the University's drug and alcohol education and awareness programs.

- (4) Once approval for changing rooms is given, the resident has twenty-four (24) hours in which to make the move, or else lose the newly assigned space. If the original space has been assigned, the student may be given space where available.
- (5) Any resident moving from his/her assigned room without permission will be subject to disciplinary action.
- (6) Residents should enter and exit at designated doors. A locked exterior door "propped" open is endangering the safety and security of other persons and property. This is considered a serious disciplinary matter. The Hall Staff should be consulted for designation of an authorized door.
- (7) Any resident giving unauthorized access to the residence facility will be subject to disciplinary action.
- (8) State laws and University policy prohibit giving false alarms or bomb threats, discharging fire extinguishers, removing exit signs, propping fire doors open, tampering with smoke alarms, activating fire hoses and setting fires of any kind within the residence hall or on campus. Violators are subject to immediate dismissal from University housing, possible judicial action and/or criminal prosecution.
- (9) Noise is a community problem which must be dealt with by the community. Each resident has the responsibility not to infringe on the rights of others with noise pollution. Personal and group pressure is the most effective way to regulate a noise problem. Residents have the right, the responsibility, and are expected to approach noise violators in a constructive, assertive and firm manner. Violators are expected to remedy the problem and be sensitive to the needs of other residents. Excessive noise will result in disciplinary procedures for the resident or residents causing the noise.
- (10) University regulations and/or state laws, designed with safety in mind, prohibit possession or use of these items in the residence facilities: firearms, ammunition, explosives, combustion engines, combustibles, lethal weapons, fire-crackers, alcohol, illegal drugs and narcotics, drug paraphernalia and pets (except fish, in an aquarium, not to exceed ten (10) gallons), water beds, added door locks, use of all tobacco products, and weight lifting equipment.
- (11) State law states that "It shall be unlawful for any person to possess, or carry, whether openly or concealed, any gun, shotgun, rifle, pistol, dynamite cartridge, bomb, grenade, mine, explosive device, bowie knife, dirk, dagger, sling-shot, leaded cane, switch-blade knife, blackjack, metallic knuckles or any other weapon of like kind, not used solely for instructional or school-sanctioned ceremonial purposes, in any public school campus, grounds, recreation area, athletic field, or other property owned, used or operated by any board of education, schools, college, or university board of trustees, regents or directors for the administration of any public or private educational institution."

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 29, 1988; effective October 29, 1988. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 17, 2002; effective February 28, 2003. Amendment filed June 28, 2005; effective October 28, 2005.

0240-4-2-.03 RESIDENT RESPONSIBILITIES.

- (1) When checking in, the student must contact the hall staff to secure and complete the Information/Inventory/Assessment (IIA) card. The IIA card should be checked for accuracy; a note of any discrepancies should be made on the card. The student may be charged for damaged or missing items that are not noted on the IIA card.
- (2) A key/card access will be issued to each resident upon checking into the hall. If the key/card is lost, stolen or misplaced, a resident may sign out a temporary key/card from the hall staff until the lock can be rekeyed/or card replaced. The resident bears the cost for rekeying the lock and/or replacing the card. It is the resident's responsibility to have their card replaced. If a resident fails to return the issued key/card when checking out or withdrawing, the lock will be rekeyed and/or card will be deactivated, and the resident will be charged the cost of the rekey and/or card replacement.
- (3) Residents should guard their room key/card access for their security and protection. It is the responsibility of the resident to keep up with his/her room key/card access and to have it available to gain access to the hall/room when needed.
- (4) The resident is responsible for the condition of the room and all furnishings which are assessed, and shall reimburse University Housing for all damage to or loss of these accommodations and furnishings. Residents of a facility may also be required to share the expense of repair or replacement of any property in areas commonly used by residents and their guests. Charges for damages and/or cleaning will be assessed against the resident(s) by the University via the student account(s) or housing deposit(s). Determination of the amount of such loss or damage shall be made by the University. Failure to pay the assessment will result in an encumbrance on the resident's registration or future housing.
- (5) The University reserves the right to enter the resident's room to sustain proper maintenance and thereby insure the health and safety of all residents of the hall, to secure the building prior to each semester break or vacation and/or to investigate when reasonable cause exists to believe that violations of rules, regulations, and state/federal laws are occurring.
- (6) Routine room inspections are conducted by hall staff once a week. These inspections are made to insure that:
 - (a) Resident and residence staff communications are maintained;
 - (b) University property is being used properly;
 - (c) Reasonable standards of room cleanliness, safety and sanitation are being observed;
 - (d) Maintenance requirements are reported.
- (7) The University cannot be responsible for loss or damage to personal property. Residents or their parents are encouraged to carry appropriate insurance to cover loss.
- (8) All trash and garbage is to be taken to the dumpster located adjacent to the residence facility. Trash or garbage left within or around the residence facility will result in an assessment against the resident(s).
- (9) For everyone's protection and safety, and in accordance with Housing regulations and the National Fire Codes, fire drills will be conducted on a regular basis (3 times per semester). Fire drills shall be held at unexpected times and under varying conditions to simulate the unusual conditions occurring in case of fires. All residents and guests are required to take

(Rule 0240-4-2-.03, continued)

part in the fire drill and leave the building. Failure to evacuate a building during a fire alarm could result in immediate dismissal from the residence facility or other appropriate disciplinary action. Residents are urged to protect themselves by complying with regulations and being familiar with emergency procedures.

- (10) Regulations for protection of residents.
 - (a) Avoid using flammable room decorations.
 - (b) Smoking and the use of tobacco products are prohibited in any residence facility.
 - (c) Never use multiple plugs or extension cords-avoid overloading circuits.
 - (d) Electrical wiring should never get placed under rugs, carpets and mattresses, or around doors or window casements.
 - (e) Never use items with frayed or broken wires.
 - (f) Lighted candles, lighted incense, electric air fresheners, and candle warmers are prohibited in all housing facilities.
 - (g) Use of live Christmas trees is prohibited in all housing facilities.
 - (h) Gasoline, oil-base paint or oily rags should not be stored in the building.
 - (i) Report any fire or empty fire extinguishers to the hall staff.
 - (j) The following appliances may not be used in the resident's room: sun or halogen lamps, open-faced electrical (hot plate) or heating appliances, air-conditioners, outside antennas, room deodorizers, electric candle warmers, or any item(s) which cause electrical breakers to trip.
 - (k) If fire alarms sound, leave the building immediately by the nearest fire exit.
 - (l) Nothing is to be attached to the ceiling nor may it be defaced in any way.
- (11) Long distance telephone calls may not be charged to room telephones or any other campus telephone. Long distance calls may be made by using a personal phone card or an authorization number which may be obtained from the Office of Information Technology. Misuse of the telephone, cable t.v., or data access equipment is considered a disciplinary matter.
- (12) Window screens are health and safety equipment and should not be unhooked or removed from the windows. If a screen is damaged, it should be reported to the facilities staff immediately. Removal or damage will result in an assessment.
- (13) Balconies, roofs, and window ledges are not designed for pedestrian traffic. Therefore, in the interest of personal safety, standing on or being on these surfaces is prohibited.
- (14) Transfer of furniture within or between the residence facilities by residents is prohibited. Residents are not permitted to use furniture from a public area, nor may they remove from the room items that are furnished by the University.
- (15) Because of damage to University property and possible personal injury, bicycles, motorcycles, skateboards, roller skates and similar items are not to be ridden in student rooms, hallways, stairwells or any other area in the building.

(Rule 0240-4-2-.03, continued)

- (16) Dirty dishes may not be left in bathroom lavatories or in kitchen sinks.
- (17) Dart boards are prohibited in all residence facilities.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed January 16, 2007; effective May 31, 2007. Amendment filed September 20, 2007; effective January 28, 2008.

0240-4-2-.04 VISITATION POLICY.

Visitation Policies and Lifestyle Options

The Office of Housing and Residence Life strives to provide affordable, enjoyable, safe, and well-maintained services and facilities for students living on campus. It is also a goal to establish interactive and inclusive communities within the residence facilities through the participation and involvement of all members. A variety of lifestyle options provides opportunities for students to engage in active social learning in a structural environment such as the residence halls. This environment can allow for lifestyle choices, yet set high expectations for students and encourage value clarification, independence and autonomy.

All residents are expected to contribute to the development of the community by demonstrating respect for themselves and others. Visitation policies state the time, place, and manner in which residents may host visitors of either sex in their rooms or other living areas of the residential units. These policies cover the room/apartment, hallways, lobbies, and all other common areas of the residence facility/apartment and are in effect at all times throughout the year.

The procedures are designed to accommodate visitors in a manner that is respectful and responsive to resident concerns for safety and privacy, while ensuring an appropriate balance between academic and social needs within the residence community. At no time should the presence of visitors disrupt the community or supersede a roommate's right to privacy.

- (1) Residents may choose between halls/floors/areas with the following Lifestyle Options:
 - (a) Restricted visitation in which no guests of the opposite gender are allowed at any time may be requested by a student. A floor, wing or individual room may be designated a restricted visitation area by the Office of Housing and Residence Life, depending on demand.
 - (b) During the first two weeks of the academic year, the residents of each designated facility/apartment will vote on their visitation hours for that academic year. Three choices ranging from noon to midnight on Sunday through Thursday with a noon to 2:00 a.m. Friday and Saturday will be presented for a vote by each Hall Council, and a simple majority vote of the residents is required for implementation.
 - (c) Designated halls/apartments will vote on visitation hours as defined in Option (b). Additional hours may be selected to include visitation from noon Friday to Sunday midnight. A designated area, generally the lobby, will be established to allow assigned residents to host guest of both genders on a 24-hour basis.
 - (d) The Office of Housing and Residence Life will designate selected facilities/apartments as co-educational by floor, wing, or alternating room/apartment. Residents will select their own visitation hours. Roommates must agree on the designated hours.

(Rule 0240-4-2-.04, continued)

- (2) Every effort will be made to provide each resident the type of housing option requested, but the University reserves the right to defer individual assignments, if building space and student choice make this necessary.
- (3) These options for visitation shall operate in accordance with the following policies:
 - (a) Hall staff is expected to be on the premises during special events and visitation, except during times of zone coverage, during which time housing personnel will be responsible for the afternoon visitation of a specified area.
 - (b) Each guest must check in and out of the residence facilities at the lobby desk. Procedures will be determined by the Office of Housing and Residence Life.
 - (c) Each guest must be escorted from the lobby to the host/hostess' room and from the room back to the lobby to check out. Guests are not to be unattended in the hall or stairwells at any time.
 - (d) Designation of bathroom facilities: For residence facilities with individual or suite bathrooms, visitors shall use these. For those residence facilities with specified bathrooms for members of the opposite sex, visitors shall use these. In residence facilities with no such designation, the Hall Staff shall designate one during visitation.
 - (e) During visitation, proper conduct and decorum are important and expected of both the host/hostess and the guest(s). Guests may be asked to leave the building and/or be prohibited from visiting if found to be violating policies, damaging property, or being a potential harm to themselves or others.
 - (f) Room checks may be made by facility staff at any time during room visitation.
 - (g) In facilities that are not pre-designated as No Visitation or as Co-educational by the Office of Housing and Residence Life, the residents shall vote during Fall Move-in on their choice for visitation hours for their hall/apartment. Hall Council and/or residence facilities staff in accordance with housing personnel will decide each spring semester for the following fall on three options for hours under option (b). The three options under these plans will be called the maximum hours, medium hours, and minimum hours they would want under their designated plan. A simple majority vote is required for implementation.
 - (h) Unless the Hall Council petitions to the Office of Housing and Residence Life by December 1 for a change in hours, the same hours will remain in effect for the spring semester. A Hall Council can petition to the Office of Housing and Residence Life for a change in their visitation plan for the following semester if demand dictates. A simple majority vote of the residents is required. The Office of Housing and Residence Life reserves the right to approve visitation plan changes after ascertaining the demand, usage, staffing, and occupancy rates of the hall. Also, summer/semester break visitation plans will be determined accordingly.
 - (i) Visiting hours in hall lobbies not designated as 24-hours are from 9:00 a.m. to midnight, Sunday through Thursday and 9:00 a.m. to 2:00 a.m., Friday and Saturday.
 - (j) Overnight guests of the same gender must be registered with the hall staff and are permitted to stay for a maximum of three consecutive nights in a thirty-day period. The roommate must approve, and there must be an unoccupied bed available in the room for each person staying overnight.

(Rule 0240-4-2-.04, continued)

- (k) With the increased visitation privileges, there is a greater responsibility to be shared. The primary responsibility for management of the total visitation program rests with the individual resident, Hall Council, Residence Hall Association, and the residence facilities and housing staff.
- (l) All violations of the visitation policy shall be dealt with through the established judicial procedure of the Residence Hall Association, Residence Hall Judicial Board, Office of Housing and Residence Life, and East Tennessee State University. Visitation violations are to be considered serious and dealt with in that manner. Failure to comply with visitation policies may result in disciplinary action, which may include losing visitation privileges or being moved to another lifestyle option hall.
- (m) Classification of major visitation violations:
 - 1. Deliberate avoidance of regulations governing visitation (example: sign-in/sign-out procedures, uninvited or unescorted guests, entrance or exit from non-designated doors).
 - 2. Entertaining guests at times not designated or for extended periods beyond the close of visitation.
 - 3. Failure to comply with the rules of the Tennessee Board of Regents, East Tennessee State University, Office of Housing and Residence Life, and the Residence Hall Association.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 17, 2002; effective February 28, 2003.

0240-4-2-.05 CONTRACT TERM AND CONDITIONS.

- (1) After a housing assignment has been made to a prospective resident, he/she must sign a student housing contract that is legally binding for the academic year. Spring and Summer only contracts are available.
- (2) Initial rent payments are due at the same time as fees. Holidays and breaks are not included in the contract or rent. A person moving into a residence hall or paying rent without signing a housing contract is obligated to the terms of the contract. Students may pay residence facilities rent by the semester in three installments along with tuition and fees using the University Deferred Payment Policy which requires a minimum down payment of 50% of tuition, fees, rent, and meal plan, along with a \$10.00 service charge for fall and spring semesters. Any payment after the grace period will include a \$25.00 late charge. Any payment plan must be arranged with the Comptroller's Office at the time rent is due. Students may choose to pay semester rent in three installments (except summer housing). The first installment is due at the time fees are due. Students may be billed seven to ten days prior to the due dates of the second and third installment with a \$5.00 service charge included with each of three payments. Any payment after the grace period will include a \$5.00 late charge. Students will be asked when paying their fees how they want to pay. All financial aid granted to students (whether grant or loan) must first be applied to tuition, room, and board, with any excess going to the recipient. Students who have financial aid (grant or loan) sufficient to pay full fees, including room rent, are not eligible for installment payments.

(Rule 0240-4-2-.05, continued)

- (3) A resident may request to break the housing/meal plan contract by completing the Request for Refund Form or the Request to Cancel Contract Form. A housing/meal contract may be canceled for the following reasons:
 - (a) Resident is not enrolled;
 - (b) Resident graduates;
 - (c) Resident transfers;
 - (d) Resident is participating in an academic internship which places an undue hardship upon the student to remain on campus in terms of distance;
 - (e) Resident is married during the contract period and the original marriage certificate recognized by the State of Tennessee provided for verification;
 - (f) Resident has a medical condition, confirmed in writing by a licensed medical physician, which would require them to leave the residence hall/apartment;
 - (g) Other reasons for canceling the housing/meal plan contract would necessitate an appeal process.
- (4) If for any reasons between fall semester and spring semester the resident's situation changes after the contract has been canceled, the contract will remain in effect and the student will be charged for spring semester housing per the contract.
- (5) The University agrees to furnish living accommodations in one of the University residence facilities for the term of the contract. However, the University reserves the right to change resident assignments in the interest of optimal utilization of space and for health, discipline or other reasons.
- (6) Residence facilities will open at 9:00 a.m. and close at 6:00 p.m. on the dates designated in the current University catalog for the beginning and ending of each semester. Residents will have up to twenty-four (24) hours after their last class to vacate the facilities at the end of each semester. A resident must vacate his/her room within twenty-four (24) hours after he/she officially withdraws from the University or is dismissed for academic or other reasons. During official holidays and between semesters, the University reserves the right to close all halls. Residents needing to stay on campus during these periods must obtain prior approval from the Office of Housing and Residence Life. Specific dates and procedures will be posted at the end of each semester and for holidays.

It will be the resident's responsibility to make prior arrangements with the Office of Housing and Residence Life. There may be a minimal charge for rent payable in advance. Limited space is available and residents allowed to stay on campus during breaks and holidays must move to designated spaces as assigned by housing.
- (7) A private room may be secured only if space is available. Residents desiring a private room must submit in writing their requests to the Office of Housing and Residence Life. When space becomes available, the resident must sign a private room agreement and pay the additional rent which is dependent upon the residence facilities. Once a resident has signed a private room agreement for that semester, the additional rent cannot be refunded if he/she decided to accept a roommate or move to another room. If a resident indicates that he/she does not wish to have a roommate, he/she will be charged for a private room.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January

(Rule 0240-4-2-.05, continued)

31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed January 11, 2002; effective May 31, 2002.

0240-4-2-.06 RESERVATIONS (DEPOSITS, CANCELLATION AND REFUND POLICIES).

- (1) Deposits carry over from year to year so that deposits do not have to be made yearly for those returning to residence facilities. The deposit which must accompany the housing application serves as a combination reservation/damage/room clearance deposit. It will be refunded, if and when all money owed by the resident to the Office of Housing and Residence Life and University is paid in full and the housing contract is fulfilled. Failure to properly check out of the residence facilities will result in forfeiture of the deposit. The deposit will be refunded in full; if the University is notified a minimum of fourteen (14) calendar days prior to the first official day of registration; if the student is prevented from entering the University because of personal medical reasons, confirmed in writing by a licensed physician; or if residence facilities space is not available. A full refund will be made in case of death. The deposit is not applied toward rental payments.
- (2) If the contract is not signed and returned by the date specified, the assignment will be canceled and another student will be assigned to that space. If after the stipulated contract date, notification that an assignment is still desired is made to the Office of Housing and Residence Life, the request will be put at the bottom of the assignment list as of that date. The University reserves the right to assign residents to housing on a temporary basis.
- (3) Refund of residence facilities rent after registration will be prorated on a weekly calendar basis when the student is forced to withdraw from the residence hall because of personal medical reasons confirmed in writing by a licensed physician, or at the request of the University for other than disciplinary reasons pursuant to Board of Regents rule 0240-2-6-.02(9)(a) and (9)(d). Full refund will be made in the case of the death of a student. Withdrawal for other reasons, except disciplinary reasons, will be subject to the same 75% / 25% amounts and time periods as maintenance fees. Student(s) who are suspended or expelled from the University or residence facilities are not eligible for a refund of housing rent/deposit or University tuition/fees. No refund of residence facilities rent will be made other than under these conditions.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed January 11, 2002; effective May 31, 2002.

0240-4-2-.07 SPECIAL REGULATIONS APPLICABLE TO BUCCANEER VILLAGE (MARRIED STUDENT HOUSING).

- (1) Eligibility.
 - (a) To be eligible for an apartment, the resident must meet the following requirements:
 1. For one bedroom apartments, resident must be married or a single parent, and a full-time student at East Tennessee State University.
 2. For two bedroom apartments, residents must be married and/or a single parent and have children living with them, and a full-time student at East Tennessee State University.
 3. Resident and spouse must both remain in residence at all times.
 4. For efficiency apartments, resident must be a single, full-time graduate student.

(Rule 0240-4-2-.07, continued)

5. A single parent must have legal custody of a child and the child must reside with the parent.
 - (b) Residents of apartments who for any reason terminate enrollment at the University or their eligibility status changes must vacate the apartment within three (3) days from the date of termination or status change.
 - (c) No notice to vacate will be required should the changed status of the resident terminate his eligibility to remain in the family housing area.
 - (d) The University provides housing for faculty and staff only on a temporary (60-day maximum) basis, and then only when space is available. Temporary housing must be vacated by the first day of the month in which the regular fall term begins. All occupants using temporary housing are bound by the same rules and regulations as regular student occupants.
- (2) Residence Hall Conduct and Disciplinary Sanction.
- (a) University regulations and/or state laws, designed with safety in mind, prohibit possession or use of these items in Buccaneer Village: firearms, ammunition, explosives, combustion engines, combustibles, lethal weapons, firecrackers, alcohol, illegal drugs and narcotics, pets (except fish, in an aquarium, not to exceed ten (10) gallons), water beds, added door locks, and weight lifting equipment.
 - (b) Violation of University and Housing and Residence Life rules and regulations will be dealt with through the Office of Housing and Residence Life staff, and/or referred through the University Disciplinary Procedures.
 - (c) Residents must be in compliance with all rules and regulations as stated in the Tennessee Board of Regents' Student Residence Regulations and Agreements, the Buccaneer Village Handbook, and the Student handbook, Spectrum. Additional regulations relevant to residents will be made available via memoranda, flyers and/or notices.
 - (d) The following items are used in dealing with policy and rule violations within the Buccaneer Village, and the order and combination of their use depends upon the nature and severity of the violation:
 1. Warning by Resident Advisor;
 2. Warning and/or conference with Complex Manager/Building Coordinator;
 3. Charged for damages;
 4. Conference with Housing and Residence Life Administration;
 5. Moved to another apartment;
 6. Warning from Director of Housing and Residence Life (does not go in permanent file in Office of Student Affairs);
 7. Resident probation from Director of Housing and Residence Life or designee;
 8. Assigned community service hours through Volunteer ETSU;

(Rule 0240-4-2-.07, continued)

9. Dismissal from Buccaneer Village by Director of Housing and Residence Life or designee.
10. Referral to Senior Associate Vice President for Student Affairs and Dean of Students.
11. Referral to the University Counseling Center. The student is mandated to visit the University Counseling Center for an initial evaluation and follow-through on any prescribed treatment program.
12. Fines - In cases involving violation of the University alcohol and drug regulations, fines in the following amounts may be imposed:
 - (i) First offense \$25.00
 - (ii) Second offense \$50.00
 - (iii) Third offense \$100.00

All funds from fines will be used to support the University's drug and alcohol education and awareness programs.

- (e) Noise is a community problem which must be dealt with by the community. Each resident has the responsibility not to infringe on the rights of others with noise pollution. Personal and group pressure is the most effective way to regulate a noise problem. Residents have the right, the responsibility, and are expected to approach noise violators in a constructive, assertive and firm manner. Violators are expected to remedy the problem and be sensitive to the needs of other residents. Continued excessive noise will result in disciplinary procedures for the resident or residents causing the noise.

(3) Resident Responsibilities.

- (a) A key will be issued to each resident upon checking in the apartment. If the key is lost, stolen, or misplaced, a resident may sign out a temporary key from the residence facility staff. This key can only be signed out before the lock is rekeyed and new keys made. The resident then bears the cost for rekeying the lock. Furthermore, if a resident fails to return the issued key when checking out or withdrawing, the lock will be rekeyed and the resident will be charged the cost of rekeying. Children will not be issued a key without written permission from the parent.
- (b) Residents should guard their apartment key for their security and protection. It is the responsibility of the resident to keep up with his/her apartment key and to have it available to gain access to his/her apartment when needed.
- (c) Furniture and other equipment provided for the unit is not to be moved from the apartment.
- (d) No outdoor construction of any type, including fences or canopies, shall be allowed without written consent of the Director of Housing and Residence Life, and no landscaping or gardening shall be permitted except as determined by the University.
- (e) Residents shall not use padlocks or change locks already in use.
- (f) Items or debris shall not be thrown nor swept from the windows or doors of any apartment. No refuse, loose paper, bottles, etc., shall be permitted to accumulate outside of the apartment.

(Rule 0240-4-2-.07, continued)

- (g) The residents shall not erect an aerial or satellite dish on the premises. Residents shall display no signs, placards or banners of any type in or about the premises without the prior approval of the Director of Housing and Residence Life.
 - (h) The University reserves the right for its representatives to enter the apartment to inspect and perform maintenance; to ensure that University property is being properly used and to see that reasonable standards of cleanliness, safety and sanitation are being observed.
- (4) Visitation policy
- (a) Guests shall not be permitted to remain an unreasonable length of time (seven (7) days) without the prior consent of the Office of Housing and Residence Life. Any individual(s) who is enrolled as a student at East Tennessee State University should be an overnight guest for no more than three (3) consecutive days in any 30-day period.
- (5) Contract Term and Conditions.
- (a) Residents not giving thirty (30) days prior notice in writing shall be charged for the full thirty (30) days rental period from the time of vacating the premises, and the deposit shall be forfeited.
 - (b) The failure or omission by the Office of Housing and Residence Life to terminate the contract for any cause shall not forfeit the right of the Office of Housing and Residence Life to do so later.
- (6) Reservations (Deposit, Cancellation and Refund Policies).

The resident, in addition to paying the rental rate, shall also make a deposit for an apartment as an advance to be used toward payment for any damage to the apartment and equipment assigned to the resident, guest, or agent. The Office of Housing and Residence Life shall refund this deposit, provided the resident performs all obligations to the University, and upon the termination of the housing contract, leaves the premises in acceptable condition. (The kitchen, bathroom, and other facilities must be clean, burned out light bulbs replaced, and all keys returned).

- (7) Miscellaneous.
- (a) Upon termination of the contract, the resident agrees to remove immediately all furniture and/or other personal property from the premises, and hereby appoints, and constitutes the Office of Housing and Residence Life as agent to place any of the property left on the premises in storage to sell or otherwise dispose of at the expense of the resident.
 - (b) The resident agrees to notify the Office of Housing and Residence Life immediately when there is any change in the number of the family of the resident. In the event husband and wife separate for a period exceeding one (1) month, the Office of Housing and Residence Life shall be notified, and the resident shall, without further notice required by law, terminate the tenancy and vacate the premises immediately.
 - (c) The University shall provide custodial service for public areas. Residents will be required to keep porch areas clean in front of their individual apartments. Custodial personnel may not enter apartments unless so authorized by the Office of Housing and Residence Life or its representatives. Residents are prohibited from using custodial personnel for the cleaning or maintenance of their apartment in any capacity whatsoever.

(Rule 0240-4-2-.07, continued)

- (d) Automatic washer and dryers shall not be installed in the apartment; freezers may be permitted, if approved in advance in writing by the Office of Housing and Residence Life.
- (e) Clothes shall be dried only in those areas designated by the Office of Housing and Residence Life.
- (f) No articles shall be hung from the windows or doors or placed on the exterior window sills or railing of porch.
- (g) Since solicitors or other salesmen are not allowed access to the premises except with permission from the University, the occupants are requested to notify the Public Safety/Office of Housing and Residence Life of violations of this rule.
- (h) Residents and occupants shall not pursue any business on the premises.
- (i) Residents shall not use any facilities for heating except those provided by the University, unless prior written consent of the Office of Housing and Residence Life has been obtained.
- (j) Residents shall dispose of all garbage and other waste materials in the dumpsters conveniently located near the apartments.
- (k) Residents are permitted only one move within the family housing area after their initial assignment. This rule does not apply to families who become eligible for larger apartments due to increase in family size.
- (l) Residents may not store boats, boat trailer, hauling trailer or trailers of any kind in family housing areas. Residents must make their own arrangements for storage of these items outside of the housing area or in overflow parking.
- (m) All vehicles must be properly registered and operational. Exceptions will be made for vehicles to be repaired within 30 days. Repairs to vehicles must be accomplished in a safe manner and the area immediately around the repair site must be kept clean.
- (n) Residents of Buccaneer village have one 24-hour reserved parking space per apartment in the vicinity of their apartment.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 29, 1988; effective October 29, 1988. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 17, 2002; effective February 28, 2003.

0240-4-2-.08 MISCELLANEOUS.

- (1) After each academic term begins and routine moves within the residence halls have settled down, a resident in a room by himself/herself will be given the following options:
 - (a) A list of all residents residing in rooms by themselves will be posted in all residence halls. Residents will have seventy-two (72) hours in which to notify the Office of Housing and Residence Life of other residents on the list with whom they would like to room.

(Rule 0240-4-2-.08, continued)

- (b) Residents residing in a room by themselves may sign a private room agreement and pay the extra rent in order to keep the room private.
 - (c) After seventy-two (72) hours, the staff will consolidate all remaining residents.
- (2) Students should plan to check into their room/hall from 9:00 a.m. to 8:00 p.m., either on the first or second day that the halls open. Students who arrive prior to the opening of the residence facility, or who arrive after the specified check-in time, should make their own arrangements for accommodations. Students who do not check in with the hall staff by 6:00 p.m. on the first official day of classes, or who do not notify the Office of Housing and Residence Life that they will be late, will be reassigned.
- (3) Residence hall check-out procedures:
- (a) The room should be clean, i.e., floor swept, trash removed from building.
 - (b) The room key must be returned to the hall staff.
 - (c) The hall staff must complete the "check-out" portion of the Information/Inventory/Assessment (IIA) card, noting the condition of the room in the space provided. Any individual or general damage assessments will be subtracted from the deposit.
 - (d) Residents must sign and date the check-out portion of the back of IIA card after all charges, if any, have been identified. For his/her protection, before signing the IIA card and after the hall staff has checked the resident's room, the resident should line-out the damage column where damages were not indicated by the hall staff.
 - (e) If a resident moves out of University housing during or between semesters for any reason, proper written notification must be given to the Office of Housing and Residence Life. By so doing, the resident may be entitled to a refund of reservation/damage/room clearance deposit and/or rental payments. However, to be eligible, check-out procedures must be followed properly. Notification may be accomplished by letter, or by completion of the Request for Deposit Refund Form available in the Office of Housing and Residence Life.
 - (f) Residents leaving the University during the course of a semester must officially withdraw from the University through the Registrar's Office, Room 101, Burgin E. Dossett Hall. Additionally, notification of leaving must be made directly to the Office of Housing and Residence Life by the resident.
 - (g) All residents leaving University housing must remove their belongings from the residence halls and follow check-out procedures with the hall staff within twenty-four (24) hours of withdrawing during a semester and twenty-four (24) hours after their last class at the end of the semester.
 - (h) Appeals of charges and general assessments will be heard between the hours of 2:00 p.m. and 4:30 p.m. during the last week of each semester and at other times by appointment only.
- (4) Personal belongings left in the room after the resident has withdrawn or after the contract period has expired will result in the resident being charged for that room or charged for packing and storing the belongings, if storage space is available. Belongings stored for more than one (1) year will be considered "abandoned."

(Rule 0240-4-2-.08, continued)

- (5) Items left in rooms after a residence hall has been officially closed, left in storage for more than one (1) year and/or not marked to show ownership will be declared abandoned and disposed of according to the "Uniform Disposition of Unclaimed Property Act" (T.C.A. §66-29-103, et seq).
- (6) Approval must be obtained for all special events and displays held within or adjacent to the residence facilities. Approval may be obtained through the Office of Housing and Residence Life. All signs and other items connected with the special event must be removed and the area cleaned within forty-eight (48) hours after the event.
- (7) Consideration hours are in effect twenty-four hours a day. Additional quiet hours/loud hours may be voted in by the residents in each hall. Consideration hours mean at all times residents should respect each other's rights to a noise free environment and work cooperatively together to ensure the hall environment is conducive to study, sleep and comfort. From 10:00 p.m. to 7:00 a.m. each day will be considered "quiet hours," and hall staff will monitor the halls to ensure that individual rooms and hallways are free of noise.
- (8) Salespersons, commercial advertising persons and/or solicitation of any kind are prohibited within and around the residence halls. Student organizations may request permission to sell in the lobby area only by contacting the Office of Student Life and Leadership.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 17, 2002; effective February 28, 2003.

**RULES
OF
THE TENNESSEE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

INSTITUTIONAL STUDENT HOUSING RULES

**CHAPTER 0240-04-03
THE UNIVERSITY OF MEMPHIS
STUDENT HOUSING RULES**

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0240-04-03-.01 ELIGIBILITY. Students enrolled at the University of Memphis are not required to live in the residence halls. To be eligible for occupancy, an applicant must be accepted as a student at the University, and enrolled for a minimum of six (6) undergraduate or three (3) graduate semester hours by the close of the registration period for which housing is requested. Six (6) and three (3) semester hours are required respectively for summer sessions. Permission for part-time students with fewer hours to live in the residence halls must be requested in writing at the time of filing the application or reservation request form. Such applicants should not assume that their requests have been approved until written acknowledgment is received. An applicant may apply with Residence Life prior to acceptance by the University. A student who ceases to attend classes for any reason is required to withdraw from the University and must vacate the residence halls within twenty-four (24) hours as a condition of withdrawal. All students shall have an equal opportunity to reside in student residence facilities regardless of race, sex, marital status, creed, color, national origin, or handicap; however, separate housing may be provided on the basis of sex.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed February 28, 2000; effective June 28, 2000.

0240-04-03-.02 RESIDENCE HALL CONDUCT AND DISCIPLINARY SANCTIONS.

- (1) All residents are governed by federal, state and local laws, and University standards of behavior outlined in this publication and The University of Memphis Handbook for Students. Individual misconduct which is subject to disciplinary sanctions includes, but is not limited to, the following:
 - (a) Keeping pets other than fish which can be contained in an aquarium having a capacity no greater than twenty (20) gallons. One (1) aquarium per student is permitted. Aquariums may not be left in the halls during semester breaks.
 - (b) Storage, possession or detonation of firearms (including B-B and pellet guns), weapons, ammunition, or explosives of any kind. No one, including students employed by guard or security services, may keep on his/ her person or in his/her room any of these items. Contact the Campus Security Office to arrange storage.
 - (c) Gambling.

(Rule 0240-04-03-.02, continued)

- (d) Residence Hall Suspension and Forfeiture. A resident suspended from the residence halls may not reside, visit, or make any use whatsoever of a residence hall facility or participate in any residence hall activity during the period which the sanction is in effect. The period of suspension may include any time period and/or weekends or holiday periods where the residence halls remain open. A suspended resident will be required to forfeit residence hall fees (including any unused portion thereof). A suspended resident must vacate the hall within forty-eight (48) hours. Residence hall suspension will remain a part of the student's disciplinary record.
- (e) Using a heat-producing cooking appliance in a residence hall room other than a microwave, a coffee maker with an enclosed heating element or a hot-air popcorn maker is not permitted (electric skillets, crockpots, etc. are not to be used in student rooms).
- (f) Installing radio or television antennas outside of student rooms.
- (g) Tampering with locks, propping open locked doors, tampering with fire alarm mechanisms or fire extinguishers. Such actions could result in dismissal from the hall and possible legal action.
- (h) Dropping or throwing objects from windows or hanging objects in or from windows.
- (i) Subletting your room or, at any time, permitting an unauthorized guest in your room.
- (j) The use of the residence hall for business purposes.
- (k) Possession or use of an additional air conditioner is prohibited. Portable electric fans are permitted. Ceiling fans are not permitted.
- (l) Possessing or using any device which produces an open flame or noxious odor, including candles, incense, potpourri or kerosene lamps, or smoking substances that produce substantial odors.
- (m) Using a halogen lamp or other heat-producing device in your room.
- (n) Disturbing other residents by rowdy, boisterous, or disorderly behavior.
- (o) Using any sound producing equipment at such volume or in any manner that disturbs other residents, whether during Quiet Hours established by the hall or at any other time. Sound from such equipment must not be audible outside the resident's room. Abuse may result in confiscation.
- (p) Smoking is prohibited in all residence hall and apartment/townhouse facilities including rooms, common areas, elevators, offices, and mechanical rooms.
- (q) Using or tampering with any door equipped with an alarm mechanism after the mechanism has been engaged except in an emergency, or use of any marked emergency exit at any time other than an emergency.
- (r) Ignoring a fire alarm or failing to evacuate the residence hall premises during a sounding of the fire alarm; University disciplinary action will also be taken.
- (s) Misusing the hall bulletin boards. The bulletin boards are reserved for student and staff use only.
- (t) Property damage to any residence hall facility or equipment/furnishings.

(Rule 0240-04-03-.02, continued)

- (u) Violation of any visitation regulation or posted visitation rule of any residence hall.
 - (v) Engaging in disorderly conduct in any residence hall facility; residents are also responsible for the conduct of their guest(s) in the residence hall.
 - (w) Any conduct which is a violation of a general rule or regulation found in the Handbook for Students. The disciplinary offenses contained in the Code of Student Conduct are incorporated herein by reference.
 - (x) If, at any time, a staff member (Resident Advisor, Area Coordinator, Assistant Area Coordinator, Desk Worker, etc.) in the course of his/her duty requests that a student comply with University and/or residence hall regulations and the student refuses, it is considered a confrontation and may result in suspension from the residence halls.
- (2) Upon determination that a violation has occurred of any regulation, the following disciplinary sanctions may be imposed, either singly or in combination by the appropriate University officials:
- (a) Restitution. A student who has committed an offense against property may be required to reimburse the University, or other owner for damage to or misappropriation of such property. Any such payment in restitution shall be limited to actual cost of repair or replacement. Students in dormitory or residence hall units may be assessed on a pro rata basis for damages in corridors, bathrooms, lounges, and other common areas within or around a facility, either by floor or area or by the entire facility, following a hearing before the designated officials or body of the institution.
 - (b) Warning. The appropriate University official, including residence hall staff members, may notify the student in writing that continuation or repetition of specified conduct may be cause for other disciplinary action.
 - (c) Residence Hall Probation. A resident placed on residence hall probation is deemed not to be in good standing with the residence hall community, and his/her continued residence is conditioned upon adherence to the rules, regulations, and provisions of this code and the Housing Contract. Any resident placed on probation will be notified of the terms and length of the probation. Any conduct in violation of the probation of a similar or more serious nature will result in suspension from the residence halls. Residence hall probation will remain a part of the student's disciplinary record for the time of probation.
 - (d) Residence Hall Suspension and Forfeiture. A resident suspended from the residence halls may not reside, visit, or make any use whatsoever of a residence hall facility or participate in any residence hall activity during the period for which the sanction is in effect. A suspended resident must vacate the hall within forty-eight (48) hours. Residence hall suspension will remain a part of the student's disciplinary record.
 - (e) Students residing in University residence halls or other University housing are expected to abide by the rules and regulations contained in the Handbook for Students and Residence Hall Information Brochure. Infraction of such rules, or interference with the right of others to a peaceful and enjoyable living environment may also subject a student to disciplinary sanctions contained in the Code of Student Conduct found in the Handbook for Students as incorporated herein by reference.
 - (f) Violation of any regulation is considered breach of contract (which may result in dismissal from the residence hall).

(Rule 0240-04-03-.02, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed May 13, 1991; effective August 28, 1991. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed January 16, 2007; effective May 31, 2007. Amendment filed November 12, 2008; effective March 30, 2009.

0240-04-03-.03 RESIDENT RESPONSIBILITIES.

- (1) The following rules are set to preserve the condition of the halls, rooms and their contents, and are the resident's responsibility. Any violations of these rules causing damage to University property will result in appropriate charges to the resident(s) involved.
 - (a) Window screens, window guards, and/or blinds are not to be removed.
 - (b) Water furniture, weight lifting equipment, and any vehicles having internal combustion engines cannot be permitted in the residence halls.
 - (c) Bicycles may be stored in racks located outside the building or in the resident's room with the approval of the roommate. They may not be stored in stairwells and/or access ways.
 - (d) Furnishings or other possessions which would require the displacement or removal of University property cannot be permitted. (No storage is available for either these or personal items in the residence halls.)
 - (e) Public-area furnishings or equipment removed or taken to a resident's room, or other location, constitutes theft of University property.
 - (f) Residents are individually responsible for any room damage or alteration and missing or damaged equipment.
 - (g) Residents of a hall are jointly responsible for the care, cleanliness and protection of the common areas of the building. Floor, hall or area charges may be made when there is justifiable cause as determined by the Director of Residence Life.
 - (h) Residents shall not use any device which shall leave a permanent mark when attaching objects to the wall or ceilings (e.g., nails, screws, staples, thumb tacks, double sided tape, etc.).
 - (i) The loss of a resident's room key must be reported to the Assistant Area Coordinator or Resident Director. The lock will be changed and the student will be charged for re-keying the room.
 - (j) Residents must cooperate and comply with the direction of University officials acting in the performance of their duties; this includes Resident Advisors, Desk-workers, Resident Directors and Professional Staff.
 - (k) Use of sports equipment (racket, golf club/ball, football, Frisbee, etc.) inside the residence hall which could cause damage to either residents or property.
 - (l) Residents may not add additional telephone equipment or remove or alter the existing telephone equipment that is provided in the residence hall room.
 - (m) Residents are responsible for information disseminated at floor meetings, whether they choose to attend or not.

(Rule 0240-04-03-.03, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed May 13, 1991; effective August 28, 1991. Amendment filed January 16, 2007; effective May 31, 2007.

0240-04-03-.04 VISITATION POLICY.

- (1) At the beginning of each academic year there will be a general meeting for each hall's residents, at which time they may select the days and hours for residence hall visitation. Two-thirds of each hall's residence must participate for the selection of the visitation hours to be valid. Failure to provide two-thirds vote will result in going to the maximum visitation allowed by policy.
- (2) Options range from no visitation to a maximum of twelve (12) hours Sunday through Thursday (not to begin before 12:00 noon and not to end later than 12:00 a.m.) and fourteen (14) hours on Friday and Saturday (not to begin before noon and ending no later than 2:00 a.m.). All visitation programs are operated under the supervision and advice of the Residence Life staff and will conform with each hall's quiet hours policy.
- (3) Every visitation option will meet the following criteria:
 - (a) Exact information relative to the first day of visitation for the semester will be posted in each building.
 - (b) A desk sign-in and sign-out procedure is required in all halls with the exception of Carpenter Complex. Residents will use their hall or area lobby desks as check-in points and residents having guests must show identification cards at their check-in point. Unauthorized guests may result in a charge and rent assessed to the resident's account equal to the stay of the guest.
 - (c) Residents will accompany their guests to and from check-in points. Unaccompanied guests and unauthorized persons are permitted only in public areas of residence halls, e.g., lobbies, recreation areas, meeting rooms, etc. Members of the opposite sex found elsewhere in a residence hall or Carpenter Complex unaccompanied by a resident of the building will be considered trespassers. Student trespassers may be subject to action by the University and/or civil authorities.
 - (d) A maximum of five (5) guests per room or apartment or townhouse at any one time is permitted.
 - (e) Residents and their guests will wear clothing suitable for classroom attire while guests are present in their rooms or apartment unit.
 - (f) Room checks may be made at any time during a visitation period.
 - (g) Visiting hours in public areas in residence halls extend from 8:00 a.m. to the close of the visitation period. Women's halls will be secured at the time of closing. The following areas are considered public: first floor lobbies of Mynders, Rawls, Smith, Richardson Towers North and South, and the Carpenter Complex Community Building.
 - (h) A parent of the opposite sex is permitted to visit a student's room at times other than visitation periods provided that the students on the floor are notified and permission is granted by a residence hall staff member. Room visitation by persons of the opposite sex in conjunction with check-in and check-out must be approved by a member of the residence hall staff.

(Rule 0240-04-03-.04, continued)

- (i) Residents and their visitors are subject to the limitations of the visitation options selected by their residence hall or Carpenter Complex. This encompasses posted rules of the residence hall including, but not limited to, starting and ending times, dates, and days of visitation.
- (j) Overnight guests of the same sex are permitted for a maximum of three (3) nights per semester with roommate's approval and must be registered with the appropriate Assistant Area Coordinator. A bed must be available for guests. Disciplinary sanctions will be imposed upon residents who fail to register their guests.
- (k) Residents are responsible for the conduct of their guests at all times. Disorderly conduct or misbehavior by any resident or guest in any housing facility will be subject to disciplinary action. Residents must abide by and are subject to visitation policies and procedures which govern other Residence Life facilities.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed January 16, 2007; effective May 31, 2007. Amendment filed September 20, 2007; effective January 28, 2008. Amendment filed November 12, 2008; effective March 30, 2009.

0240-04-03-.05 CONTRACT TERM AND CONDITIONS.

- (1) Fall assignments/contracts are for the full academic year (fall and spring semesters). There will be no penalty if written cancellation is received prior to the published deadline for any specific contract period. Release from the spring semester portion of the contract must be requested in writing by the date specified in the cancellation and refund policy of the Residence Life and Dining Services Brochure.
- (2) The period of occupancy for each term in which the rental payment covers, with the exception of the extended contract is as follows:
 - (a) Fall Semester: From the official opening day and hour of the residence halls and through twenty-four (24) hours following the resident's final examination, or if applicable 3:00 p.m. on the day of commencement exercises or according to the terms of an extended contract. Fall assignment/contracts are for the full academic year. Release from the spring semester portion of the contract must be in writing by the date specified in the "Cancellation and Deposit Refund Policy" of the Residence Life and Dining Services Information Brochure.
 - (b) Spring Semester: From the official opening day and hour of the residence halls and through twenty-four (24) hours following the resident's final examination or, if applicable, 3:00 p.m. on the day of commencement exercises or according to the terms of an extended contract. All residence halls will be closed during the week designated by the University as Spring Break. Notifications of the Saturday closing and the Sunday reopening hours will be posted on the official bulletin board in each residence hall with the exception of Carpenter Complex and Richardson Towers.
 - (c) Summer Sessions: From the official opening date and hour of the residence halls or the official opening date and hour of check-in for the specific summer term(s) for which housing is requested and extending through twenty-four (24) hours following the resident's final examination or, if applicable, 3:00 p.m. on the day of commencement exercises or according to the terms of an extended contract.

(Rule 0240-04-03-.05, continued)

- (d) Extended Contract: From the official opening day and hour of the extended contract facilities through the official closing date designated by the Department of Residence Life and Dining Services following the resident's final examination for the Spring semester. Notification of the closing date will be included on the extended contract and posted on the official bulletin boards. The housing accommodations will remain open during the times designated as Semester and Spring Breaks.
- (3) Eligibility to remain in residence halls until 3:00 p.m. on the day of commencement exercises is based upon a resident's participation in that graduation program or other requirement of the University which must be certified in writing by the resident's department chairman or faculty advisor.
- (4) When vacating at the end of any term, the resident must surrender the room key to appropriate hall staff.
- (5) There are no facilities for storage of students' personal belongings outside the residents' room during the contract term. Storage is also unavailable for residents' personal belongings between contract terms.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed January 16, 2007; effective May 31, 2007.

0240-04-03-.06 RESERVATIONS (DEPOSIT, CANCELLATION AND REFUND POLICIES).

- (1) Application Procedures.
 - (a) A student must read and understand the Residence Hall Information Brochure or web page and submit the application for housing to the Residence Life and Dining Services Office. Once the Department of Residence Life and Dining Services makes an assignment, the student will be notified in writing. A rental prepayment in the amount of two hundred dollars (\$200.00) must be made in advance for each term according to the deadlines specified by the Department of Residence Life and Dining Services. Failure to make the rental prepayment by the designated deadline may result in the cancellation of the housing assignment and the student will also be responsible for the two hundred dollars (\$200.00) rental prepayment. Students canceling after July 1 for the fall semester or after November 1 for the spring semester will be obligated for the two hundred dollars (\$200.00) rental prepayment even if they apply and receive an assignment after the cancellation deadlines. Payment may be made at the Bursar's Office, by mail to the Bursar's Office, P.O. Box 1000, Department 313, The University of Memphis, Memphis, Tennessee 38148-0313, or on the web at www.memphis.edu/cashnet.
 - (b) If the student fails to check-in or cancels the contract after the refund deadlines, no refund will be made. Once the student checks into the residence hall or is issued a key, the student is responsible for rent as determined in the Rent and Rent Refund Policies section of the Information Brochure.
- (2) Refund Policy
 - (a) Fall rental prepayments will be refunded if: (1) the institution is notified in writing by July 1; (2) the student is prevented from entering the University because of medical reasons confirmed in writing by a licensed physician/a licensed qualified medical professional; or (3) the student is denied admittance to the University. A full refund will be made in

(Rule 0240-04-03-.06, continued)

the case of death. Fall residents wishing to petition for release from their contract for the spring semester must do so in writing by November 1, current students are responsible for a prepayment fee of two hundred dollars (\$200.00) to be made prior to checking in the spring semester. Summer semester cancellation deadline is May 15. Following May, students who cancel summer semester housing will be responsible for a fee of two hundred dollars (\$200.00). Fall semester cancellation deadline is July 1. Following July, students who applied for fall semester will be responsible for a rental prepayment of two hundred dollars (\$200.00). No refunds will be made, other than for the above conditions. All cancellations must be made in writing and submitted by the specified deadline to the Department of Residence Life and Dining Services, 011 Richardson Towers, Memphis, Tennessee 38152.

(3) Rent.

- (a) Rental payments are due in full prior to check-in or you will be placed on an installment plan with an additional installment fee. Rent may be paid in advance to the Bursar's Office, or by mailing to The Bursar's Office, The University of Memphis, P.O. Box 1000, Department 313, Memphis, Tennessee 38148, or online at www.memphis.edu/cashnet. Checks and money orders must be made payable to The University of Memphis. Early payment is recommended to avoid delay at check-in.
- (b) If rent is to be paid by an agency or a University department, authorization for such payment must be received by the Bursar's Office prior to the recipient's occupancy of his room assignment or payment must be made in full or an installment plan must be completed by the resident.
- (c) The listing of a rental rate for housing other than in a properly executed lease agreement is not binding as a contractual term. The rental rate to be collected is that which is designated by the Tennessee Board of Regents. Fees are subject to change without notice.

(4) Refund of Residence Hall Rent.

- (a) Refunds of residence hall rent after registration will be prorated on a weekly calendar basis when the student is forced to withdraw from the residence halls.
 - 1. Because of personal medical reasons confirmed in writing by a licensed physician; or
 - 2. At the request of the institution for other than disciplinary reasons pursuant to Board of Regents Rule 0240-2 6.02 (9) (a) and (9) (d). Full refund will be made in the case of death.
- (b) For reasons other than the above stated, except disciplinary reasons, the following procedures shall apply:
 - 1. Seventy-five (75) percent of fees will be refunded for withdrawal from the residence hall for a period of fourteen (14) calendar days beginning with and including the first official day of classes.
 - 2. Twenty-five percent (25%) of the fees will be refunded to residents withdrawing from the residence halls after the expiration of the seventy-five percent (75%) rent refund period. The twenty-five percent (25%) refund period ends upon expiration of one-fourth (1/4) of the semester for which rent was due.
- (c) No refund will be made to a student dismissed or suspended for disciplinary reasons.

(Rule 0240-04-03-.06, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed August 11, 2004; effective December 29, 2004. Amendment filed January 16, 2007; effective May 31, 2007. Amendments filed November 12, 2008; effective March 30, 2009.

0240-04-03-.07 MISCELLANEOUS.

- (1) Room Change/Consolidation.
 - (a) Shortly after the beginning of each term a time is designated by the University for room changes. Where a resident and his/her chosen roommate were not assigned together, or the resident meets someone with whom he/she prefers to share a room, it may be possible to make assignment adjustments during the room change period. Room changes after the official change period may be permitted, but only in unusual circumstances. If a student moves to a room or building which rents for more than the current room or building, the resident will be required to pay additional rent before the room change paperwork is completed. This also applies to consolidation. Residents participating in unauthorized moves will be required to return to their original assignments.
 - (b) Room changes after the official room change period may be permitted only in unusual circumstances. Residents participating in unauthorized moves will be required to return to their original assignments. Sole occupants of double rooms after room change who do not wish to declare their rooms single and pay the difference in rent, if given the opportunity, will be required to consolidate. Consolidation assignments will be made by the Department of Residence Life and Dining Services. Residents who are required to move to a new room or who will be having a roommate move into their room will be notified in writing when to meet with their assistant area coordinator to complete the necessary paperwork. Failure to adhere to the consolidation assignment may result in being billed for a single room.
 - (c) Students participating in the Freshmen First Program or the Honors Program with a meal plan with declining balance and moving out of the program to another room on campus after check-in will forfeit twenty-five percent (25%) of the cost of their rent for the original room.
- (2) Checking In and Out.
 - (a) Residents claim and vacate their housing accommodations according to directions issued by the Office of Residence Life. At check-in, each resident is issued a key and an inventory form. It is the resident's responsibility to conscientiously examine the contents of the housing unit. The condition of the facility and the absence or presence of its furnishings should be noted on the inventory form. The signed inventory form is to be returned on the day of check-in.
 - (b) The resident should consider the completion and return of the inventory sheet as a protective measure. No resident will be held responsible for conditions, damages, or shortages which existed prior to the time he/she assumed occupancy, provided these items are noted on the inventory sheet at the time of check-in. Failure to return the completed form as indicated above may result in a resident being charged for room deficiencies which occurred prior to check-in.
 - (c) Failure to complete the checkout procedure will result in a fifteen dollar (\$15) improper check-out charge. Failure to personally surrender your room key to the appropriate

(Rule 0240-04-03-.07, continued)

staff member may result in any additional charge for rekeying the room. Residents will also be charged a reasonable cleaning fee when rooms are left excessively dirty after check-out. Residents of buildings with an extended contract who fail to check-out at the end of their contract period will be charged rent for the next semester. Check-out information is distributed during each semester and is also listed in The Housing Hotline.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed January 16, 2007, effective May 31, 2007. Amendments filed November 12, 2008; effective March 30, 2009.

0240-04-03-.08 SPECIAL REGULATIONS APPLICABLE TO STUDENT FAMILY HOUSING.

(1) Eligibility.

- (a) To be eligible for Graduate and Student Family Housing, an individual must meet the following requirements at the time of occupancy:
1. Be accepted as a student at the University of Memphis, and enrolled for a minimum of six (6) undergraduate, or three (3) graduate semester hours of credit at the University of Memphis by the close of the registration period for which housing is requested.
 2. Graduate students registered only for thesis or dissertation credit must submit a written request to the Associate Dean of Students for Residence Life and Dining Services for permission to reside in Graduate and Student Family Housing. A maximum residency of two (2) years may be granted in such situations.
 3. A graduate assistant employed by The University of Memphis must register for a minimum of three (3) credit hours.
 4. The applicant for all two (2) bedroom units must be married, must be living with their spouse during the period of occupancy or a divorced, widowed or single student who is a head of household and living with their dependent child or children. Applicants for all one (1) bedroom units may either be the same as stated for two (2) bedroom units or single Graduate Students or Law Students. All single applicants must live alone and not have roommates or other occupants. (See guest policy.)
 5. The maximum number of family members allowed to reside in units is as follows:
 - (i) 2 Bedroom Units -- No more than two (2) adults and two (2) children
 - (ii) 1 Bedroom Units -- No more than two (2) adults and one (1) child or one (1) adult and two (2) children.
- (b) An apartment may be occupied only by members of the student's immediate family which includes, spouse and/or their children. Any change in family status must be reported to the Assistant Area Coordinator for Graduate and Student Family Housing within five (5) days of the occurrence. This includes, but is not limited to, divorce, separation, or any other situation creating ineligibility. Requests for exceptions may be made in writing to the Associate Dean of Students for Residence Life and Dining Services and will be made on an as available basis with no qualified students on the waiting list. An apartment may only be occupied by members of the student's

(Rule 0240-04-03-.08, continued)

immediate family, which includes spouse and/or their dependent children. Other relatives are not permitted to live with the family as regular residents.

- (c) Guests are permitted, but their stay must be limited to a reasonably short visit.
 - (d) Residents of Graduate and Student Family Housing during the spring term are eligible to retain their apartment during the summer term without registering for summer school, providing:
 - 1. The resident will register as a full-time student the following fall semester; and
 - 2. The resident submits a written request for summer occupancy to the Assistant Area Coordinator of Graduate and Student Family Housing by April 15 preceding the summer term.
 - (e) An applicant requesting occupancy beginning in the summer term must register for a minimum of three (3) credit hours per summer term.
 - (f) Students failing to meet any eligibility requirement at any point during the lease period will be required to vacate their apartment.
- (2) Resident Hall Conduct and Disciplinary Sanctions.
- (a) All residents are governed by federal, state and local laws, and University standards of behavior outlined in the lease, The University of Memphis Handbook for Graduate and Student Family Housing and The University of Memphis Handbook.
 - (b) Individual misconduct which is subject to disciplinary sanctions including loss of housing eligibility includes, but is not limited to the following:
 - 1. The storing, possession, or detonation of firearms, (including B-B, paint ball guns and pellet guns), weapons, ammunition or explosives, including fireworks of any kind, are not permitted on The University of Memphis controlled property. No one, including a student employed by a guard or security service, may keep any of these items.
 - 2. Subletting your apartment or at any time, permitting an unauthorized guest in your apartment;
 - 3. Keeping pets other than fish which can be contained in an aquarium having a capacity no greater than twenty (20) gallons. One (1) aquarium per resident is permitted;
 - 4. The possession or consumption of alcoholic beverages is prohibited on University controlled property. In addition, the use, possession, or distribution of narcotics or illegal substances such as marijuana, LSD, etc., except as permitted by law, is prohibited on University controlled property. Tenants are prohibited from being under the influence of illegal drugs or alcohol while on University owned property or while attending any University sponsored activity.
 - 5. Tampering with locks, fire alarm mechanisms or fire extinguishers;
 - 6. Disturbing other residents by rowdy, boisterous, loud or other disorderly behavior. This includes, but is not limited to, the operations of radios, stereos, televisions, etc. and the use of apartments for the practice of musical instruments which is strictly prohibited;

(Rule 0240-04-03-.08, continued)

7. Property damage to any housing facility or equipment/furnishings. This includes, but is not limited to, the installation of ceiling fans or alteration of existing light fixtures or the planting or digging of the patio area;
 8. Allowing guests to behave in a disorderly manner. (Residents are responsible for the conduct of their guests at all times;
 9. The use of apartment for business purposes;
 10. Any conduct which is a violation of a general rule or regulation found in the Handbook for Students. The disciplinary offenses contained in the Code of Student Conduct are incorporated herein by reference;
- (c) Upon determination that a violation of any regulations has occurred, the following disciplinary sanctions may be imposed, either singly or in combination by the appropriate University officials.
1. Restitution. A student who has committed an offense against property may be required to reimburse the University or other owner for damage to or misappropriation of such property. Any such payment in restitution shall be limited to actual cost of repair or replacement. Students may be assessed on a pro-rata basis for damages in common areas within or around a facility following a hearing before the designated officials or body of the institution.
 2. Warning. The appropriate University official may notify the student in writing that continuation or repetition of specified conduct may be cause for other disciplinary action.
 3. Probation. A resident placed on probation is deemed not to be in good standing with the housing community, and his/her continued residence is conditioned upon adherence to the rules, regulations, and provisions of this code and the Housing Contract. Any resident placed on probation will be notified of the terms and length of the probation. Any conduct in violation of the probation of a similar or more serious nature will result in suspension from the housing. Residence probation will remain a part of the student's disciplinary record.
 4. Suspension and Forfeiture. A resident suspended for housing may not reside, visit, or make any use whatsoever of housing facilities during the period for which the sanction is in effect. A suspended resident will be required to forfeit residence fees (including any unused portion thereof). A suspended resident must vacate the residence within forty-eight (48) hours. Suspension will remain a part of the student's disciplinary record.
 5. Student Handbook Sanctions. Students residing in University housing are expected to abide by the rules and regulations contained in the Handbook for Students and Graduate and Student Family Housing Information Brochure. Infractions of such rules, or interference with the rights of others to a peaceful and enjoyable living environment may also subject a student to disciplinary sanctions contained in the Code of Student Conduct found in the Handbook for Students as incorporated herein by reference.
 6. Dismissal. Violation of any regulation is considered a breach of contract which may result in dismissal from the residence hall.
 7. Any other method of sanction.

(Rule 0240-04-03-.08, continued)

(3) Resident Responsibilities.

- (a) Utilities. Upon assignment the tenant should contact an authorized MLG & W service center to arrange for service. The resident will be billed monthly by MLG & W for electrical and/or gas usage. Water services are provided by the University. The effective date for utility service should not be later than the proposed move-in date. Tenants may not occupy an apartment unit prior to completion of arranging for utility service. It is the responsibility of the tenant to notify MLG & W to discontinue service upon vacating the apartment.
- (b) Telephone. The University of Memphis has its own local telephone service provider. Telephone instruments are not provided. To place an off-campus call, you must dial "9" and then the telephone number. Direct dial long distance service is not provided at Graduate and Student Family Housing. In order to make a long distance call, you must contact either (1) a long distance carrier of your choice and arrange for a long distance access card, or (2) the Department of Telecommunications, 678-2999 and arrange to purchase long distance service from The University of Memphis.
- (c) Keys. Two (2) keys will be issued to each family at check-in. Duplicate keys are not to be obtained off campus. In the event additional keys are necessary or a key is lost, resulting in replacement of key or lock, a work request should be submitted to the manager and the tenant will be assessed for additional key(s), or lock replacement.
- (d) Mail. Before mail delivery can begin, the United States Postal Service requires that mail boxes be labeled with the residents' name. Residents are responsible for this. If assistance is needed, contact the resident manager of the Graduate and Student Family Housing Office for assistance. Upon terminating occupancy, the student should file a change of address form with the Post Office and also leave a forwarding address with the assistant area coordinator of Graduate and Student Family Housing.
- (e) Pest Control. All residents are expected to cooperate in pest control treatment services on a regular basis. The assistant area coordinator for Graduate and Student Family Housing will provide further information upon request to resident.
- (f) Residents are responsible for disposing of trash in the dumpsters located throughout Graduate and Student Family Housing. Residents must not allow garbage to remain in their apartments or on the patio for long periods of time.
- (g) All residences are responsible for keeping all common areas clear and comfortable.
- (h) Residents must abide by all Swimming Pool Regulations and will be responsible for the conduct of their guest(s) and children while using the pool.
- (i) Residents are responsible for the actions of their children within their apartment and in the common housing areas such as the playground. Residents must supervise their children to assure that they comply with all safety regulations. The University will not be responsible for accidents occurring on playground equipment.
- (j) Because the University does not assume any liability for loss, damage or theft to any personal property, residents should take appropriate actions to insure themselves against personal loss or injury.
- (k) Residents and their guests must abide by all University of Memphis Traffic and Parking Regulations.

(Rule 0240-04-03-.08, continued)

- (1) Residents are responsible for damages resulting from the misuse of residence appliances.
 - (m) Residents are responsible for knowledge of and abiding by all the terms and conditions of their lease.
 - (n) Residents are responsible for the patio area adjacent to their apartment. Each tenant is allowed to plant their patios with flowers, gardens or small shrubs so long as upon vacating, patios are returned to their move-in condition.
 - (o) Residents are responsible for the cleanliness of the lawn area with maintenance personnel being responsible for maintaining the lawns.
 - (p) Residents are responsible for maintaining the smoke detector in good working condition. In the event of a malfunction, the resident should report the problem to the Graduate and Student Family Housing staff.
- (4) Application and Assignment Procedures.
- (a) To apply for Graduate and Student Family Housing, an application must be submitted to the Department of Residence Life and Dining Services. Once an assignment has been made, payment of first and last month's rent is due prior to move in or ten (10) working days (whichever is first). A refund of the last month's rent will be granted upon written request submitted prior to the date an assignment is made. The first month's rent is non-refundable.
 - (b) Assignments are made according to the waiting list. Applicants are notified of their assignment by telephone or letter. Applications will remain on file until such time an assignment is made or written cancellation is received. Failure to keep the Department of Residence Life and Dining Services notified of all changes in address and telephone numbers could result in the loss of the applicant's place on the waiting list and subsequent voiding of the application.
 - (c) Requests for transfers from an assigned one-bedroom apartment must be submitted in writing to the Assistant Area Coordinator of Student Family Housing. These requests will be considered when family size necessitates such a move. Upon transfer the student must pay the difference in rent prior to completing the move.
 - (d) A receipt for rent and a proof of marriage should be presented to the resident manager before keys will be issued.
 - (e) At check-in, the assistant area coordinator and the resident will make a joint inspection and inventory.
- (5) Contract Term and Conditions.
- (a) Students are required to sign a ten (10) month housing contract for the academic year (fall and spring semesters). The student may be released from the contract for the spring semester if written notification is provided to the Department of Residence Life and Dining Services prior to November 1 with no penalty. November 1 through January 2, the student is responsible for the last month's rent. If the student remains in housing on the first day of class, the student is responsible for the remainder of the contract (spring semester) rent. A separate contract will be made for the summer semester. Students wishing to remain in housing during the summer session will be required to enter into a summer term contract. Release from the spring semester portion of the contract must be requested in writing by the above-specified date.

(Rule 0240-04-03-.08, continued)

Release from the contract will be made by the University or upon written request from the student if: (1) the student is prevented from entering the University because of medical reasons confirmed in writing by a licensed physician, (2) the student is denied full admittance to the University, (3) first and last month's payment is not received in the appropriate time frame. Full refund will be made in the case of death. No refund will be made other than for the above conditions.

- (b) Each lease must be signed by the student and the Associate Dean of Students for Residence Life and Dining Services or his/her designee.
 - (c) Residents must vacate the apartment no later than the date specified on the vacancy notice. Check-out information will be provided upon receipt of the vacancy notice.
- (6) Late Fee/Non-Payment of Rent/Vacating Notices
- (a) Graduate and Student Family Housing Rent Collection Procedure.
 - 1. As stated in the lease, rent is for a semester and, with the exception of financial aid, is payable in ten (10) equal payments in advance on the first day of each month. If the rent remains unpaid after the tenth (10th) day of the month, a late payment fee of twenty-five dollars (\$25.00) will be added to the unpaid balance. Excessive problems with rental payments may result in the semester rent being payable at the beginning of the semester or in eviction.
 - 2. If the student fails to pay the past due rent and continues to carry outstanding debt, at the end of the next thirty day cycle, they will be notified that eviction proceedings will be initiated if the entire debt is not paid within thirty (30) days.
 - 3. If the debt is continued to be carried at the end of sixty (60) days from original notification, the resident will be notified of the University's intent to initiate eviction proceedings.
 - (b) Vacating Notices. Vacancy forms will be sent to all residents that have a past due rent balance with the University at step two. These vacancy packets include all information needed to vacate the apartment in an appropriate time frame with the Graduate and Student Family Housing staff making appropriate follow-ups to ensure date of vacancy is established and the apartment is inspected upon vacating.
- (7) Miscellaneous.
- (a) Upon termination of the lease for whatever reason, the resident agrees to remove immediately all furniture belonging to and/or other personal property from the premises.
 - (b) A specific appointment must be scheduled with the Assistant Area Coordinator for the purpose of checking out. At check-out time, the resident and Assistant Area Coordinator will make joint inspection of the apartment. Upon vacating, the apartment must be left in satisfactory condition for the next resident. Any expense required to return the apartment to satisfactory condition beyond normal wear and tear may be deducted from the deposit. Any additional expenses will be billed to the resident. University records and access to register for a future term at the University are held when residents neglect to pay damage charges for which they may be billed.
 - (c) Keys must be turned over to the resident manager at the time of check-out.

(Rule 0240-04-03-.08, continued)

- (d) Any change in family status must be reported to the resident manager within five (5) days of the occurrence. This includes, but is not limited to, divorce, separation or any other situation creating ineligibility.
- (e) Residents denied admission or readmission to the University are required to vacate their apartments not more than ten (10) days after notice by the University.
- (f) Residents who withdraw from the University during a term are required to vacate not more than ten (10) days after withdrawal.
- (g) The University will provide maintenance for the building and facilities. Requests for maintenance of a routine nature are to be submitted to the Graduate and Student Family Housing office on maintenance request forms which may be obtained in the Community Building. In the event of emergency maintenance, the Assistant Area Coordinator should be contacted. If he/she cannot be reached, or if after office hours, the Police Services at 678-HELP should be contacted. All emergency calls should be reported to the Assistant Area Coordinator as soon as possible after the call is made.
- (h) Because door to door solicitation is not allowed on the premises of Graduate and Student Family Housing, the residents are requested to notify the Assistant Area Coordinator, the Department of Residence Life and Dining Services or Police Services immediately of any violations of this prohibition. Normal delivery services for laundry, milk, newspapers, etc., are not affected by this policy.
- (i) Residents may not store boats, trailers or other such vehicles on the South campus. Residents owning such items must arrange for their storage or parking outside University property.
- (j) Clotheslines are permitted on the patio area adjacent to each apartment as long as they do not exceed the height of the fence, block access to or from the apartment or restrict access to University equipment such as the air conditioner.
- (k) There is available to the residents a bulletin board in the recreation room of the Community Center for posting information about matters of interest. Only signs and placards approved by the Assistant Area Coordinator may be posted.
- (l) An area in the Community Building is available for resident use. Residents must request and get approval by the resident manager for the use of these facilities forty-eight (48) hours prior to the activity.
- (m) Cable television is available in Graduate and Student Family Housing apartments. Satellite television is prohibited.

Authority: T.C.A. §49-8-203. **Administrative History:** Original rule filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed August 11, 2004; effective December 29, 2004. Amendment ruled January 16, 2007; effective May 31, 2007. Amendments filed November 12, 2008; effective March 30, 2009.

**RULES
OF
THE TENNESSEE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

INSTITUTIONAL STUDENT HOUSING RULES

**CHAPTER 0240-4-4
MIDDLE TENNESSEE STATE UNIVERSITY
STUDENT HOUSING RULES**

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Repeal

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0240-4-4-.01 HOUSING REGULATIONS.

- (1) A residence hall is a densely populated community composed of citizens having divergent interests, habits, and tastes. The University is committed to the concept that residence halls should provide an atmosphere conducive to both living and learning, where, in a spirit of cooperation and consideration for others, students may live, study, and relax together.

Authority: T.C.A. §49-8-203. *Administrative History:* Original rule filed June 11, 1990; effective September 26, 1990. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed July 3, 1996; effective November 28, 1996. Amendment filed November 26, 1997; effective March 30, 1998.

0240-4-4-.02 ELIGIBILITY.

- (1) Full-time students enrolled at the University for the fall or spring semester shall be eligible to reside in the residence halls during their period of enrollment. Part-time students shall be eligible to reside in residence halls on a space available only. Students who drop below full-time during the academic year should not assume that they will be released from the obligations of the license agreement.
- (2) Only full-time juniors, seniors, and graduate students, unless otherwise specified, shall be eligible to reside in J and K Apartments.

Authority: T.C.A. §49-8-203. *Administrative History:* Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. (Formerly 0240-4-4-.01 renumbered as 0240-4-4-.02 filed June 11, 1990; effective September 26, 1990.) Amendment filed February 28, 2000; effective June 28, 2000.

0240-4-4-.03 RESIDENCE HALL CONDUCT AND DISCIPLINARY SANCTIONS.

- (1) Noise and Quiet Hours. The primary aim of Housing and Residence Life is to maintain an atmosphere conducive to the pursuits of resident's academic goals, and to provide an opportunity for uninterrupted study and rest. Courtesy hours are in effect 24 hours a day. Unnecessary noise, from whatever the source, must be discontinued upon request. Quiet hours are in effect from 9 p.m. until 9 a.m. every day. Students who show a disregard for quiet hours may have their license agreement cancelled and/or be restricted from living or visiting in the residence halls. Strict quiet hours will be in effect 24 hours a day for the three day prior to the beginning of final exams and will continue through the end of the exam period.

(Rule 0240-4-4-.03, continued)

- (2) **Noise and quiet hours.** The primary aim of University Housing and Residence Life is to maintain an atmosphere conducive to the pursuits of residents' academic goals, and to provide an opportunity for uninterrupted study and rest. Courtesy hours are in effect 24 hours a day. Unnecessary noise, from whatever source, must be discontinued upon request. Quiet hours are in effect from 9:00 p.m. until 9:00 a.m. everyday. Students who show a disregard for quiet hours may have their license agreement cancelled and/or be restricted from living or visiting in the residence halls. Strict quiet hours will be in effect 24 hours a day for the three days prior to the beginning of final exams and will continue through the end of the exam period.
- (3) **Safety and Maintenance Inspections.** Residents' rooms may be inspected periodically by residence hall staff to determine compliance with safety, health and maintenance standards. Notice will be given prior to these inspections. Residents who fail to comply with safety, health and maintenance standards may be subject to disciplinary action.
- (4) **Use of Security Doors.** Some halls are equipped with security doors which may be used to exit from the residence hall between the hours of 7:00 a.m. and 10:00 p.m. At no time should they be propped open. The safety and security of residents is compromised if these doors are used after 10:00 p.m.
- (5) **Residence Hall Staff.** All residence hall staff members are considered institutional officials and as such are empowered to issue directions to any student, guest, or visitor. Failure to comply with the legitimate directions of a staff member in any residence hall or at any residence hall sponsored event will result in appropriate disciplinary action.
- (6) **Cooking.** Students living in single or family student housing apartment dwellings are encouraged to make full use of the cooking facilities that are provided. Students living in residence halls are permitted to use approved microwave ovens, popcorn makers, and electric coffee pots. As mandated by the University Safety Manual, all other electrical cooking appliances may not be operated in residence hall rooms.
- (7) **Radios, Televisions, and Musical Instruments.** Radios, televisions, and musical instruments may be used in residence halls. However, if the noise disturbs other residents, the volume must be reduced upon request or the use of the items mentioned must be discontinued.
- (8) **Overnight Guests.** Overnight guests of the same sex are permitted if the following conditions are met:
 - (a) The guest is registered with the Residence Hall Director prior to staying overnight.
 - (b) The resident host informs the guest of residence hall regulations and accepts responsibility for the guest's conduct.
 - (c) Permission for a guest to stay more than two (2) consecutive nights must be obtained from the Director of Housing and Residential Life.
- (9) **Prohibited Items.** The following items are prohibited in residence hall rooms or single student apartments: personal air conditioners, ice boxes, unauthorized refrigerators, exterior aerials or antennas, heavy electrical appliances, personal stoves, extension cords, halogen lamps, candles, incense, firearms, explosives, fireworks, flammable liquids, slingshots, paint ball guns, "super soakers," dangerous chemical mixtures, pellet guns, B.B. guns, ammunition (which includes but is not limited to bullets, paint balls, pellets, and B.B.s) propelled missiles, alcoholic beverages, and illegal drugs or paraphernalia.
- (10) **Residence Hall Lobbies.** Residence Hall Lobbies are intended for use by occupants of the hall and their guests. Persons not using the lobby for the intended purpose, or those students creating a disruption, will be asked to leave. Some lobbies may be specifically designated a quiet study areas.

(Rule 0240-4-4-.03, continued)

- (11) Bicycles. Parking bicycles, mopeds, and motorcycles is not permitted in hallways, stairways, outside walkways, fire escapes, or lobbies of the residence halls. Bicycles may be kept in residence hall rooms providing they do not block entrances or exits. Bicycles found improperly parked or secured may be removed by University staff and impounded by the Public Safety Department.
- (12) Roofs and Ledges. Roofs and ledges of residence halls are off limits.
- (13) Firearms, Explosives, Fireworks, and Inflammables. The possession or use of firearms, slingshots, paint ball guns, "super soakers," explosives, fireworks, inflammable fluids, dangerous chemical mixtures, pellet guns, B.B. guns, propelled missiles, or ammunition (which includes but is not limited to bullets, paint balls, pellets, and B.B.s) is prohibited.
- (14) Fire Safety. The sounding of false fire alarms and tampering with fire fighting or safety equipment, including extinguishers, hoses, exit signs, and the alarm system is prohibited. Residents are responsible for safely evacuating the building immediately upon the sounding of an alarm or as otherwise directed by residence hall staff. Students failing to appropriately evacuate the building may be subject to disciplinary action.
- (15) Telephones Service. MTSU residence hall rooms have one touch-tone telephone line with two (2) jacks for which students provide their own telephone sets for telecommunication services. MTSU's responsibility for telephone repair extends only to the telephone line and/or jack and not to problems associated with the use of equipment which may be incompatible with the campus telephone system. This includes, but is not limited to, answering machines that use voice monitoring instead of a timer to control the recording of incoming calls and cordless telephones that may experience static, cross-talk, and wrong numbers dialed. The repair of a student's telephone set is the student's responsibility.
 - (a) Dialing Instructions. Listed below are basic dialing instructions for MTSU residential service. Additional dialing information can be obtained in the Telecommunication Services Handbook for Resident Students, copies of which are available from Telecommunication Services.
 1. Campus calls. MTSU campus calls may be made from the resident's room at any time without charge by dialing the University's 4-digit number.
 2. Local calls. Local calls may be made from the resident's room at any time without charge by dialing "9" and desired 7-digit local number.
 3. Long distance calls. The following long distance services are available from MTSU student residence telephone lines:
 - (i) Star 1 is a long distance dialing service offered by MTSU which enables student residents to make direct dialed long distance calls from their rooms and be billed by the University. There are no sign-up or minimum monthly usage fees for this service. University housing residents sign up for this service by contacting the Office of Telephone Services at 4636 or by coming by Keathley University Center 319 during posting hours.
 - (ii) Residents may use the services of any other long distance carrier if that carrier can provide the student access to their service through a local telephone number or 1-800 number. The access number(s) provided by the carrier must function from the Murfreesboro exchanges. Students using the services of another long distance carrier may not use their MTSU residence telephone number as the billing

(Rule 0240-4-4-.03, continued)

- number. The long distance carrier is responsible for rendering their own bill(s) to the students.
- (iii) Authorization codes. The unauthorized use of code numbers to place long distance telephone calls constitutes a theft of services and is in violation of both state and federal laws. Violations can result in suspension from the University or other disciplinary action. Users of personal long distance authorization card numbers should protect themselves from unauthorized use by keeping their billing numbers confidential. If the card is lost or stolen, the card holder should immediately notify the appropriate long distance card provider.
 - (iv) Collect calls. Long distance service is for outgoing calls only. Under no circumstances are individuals to accept incoming collect calls.
 - (v) Operator assisted calls (0+). Person-to-person, outgoing collect, and billed-to-third-number calls can be placed from University Residence Hall telephone lines by dialing 9 + 0 + area code + number. Charges for calls may be billed to phone company calling cards, some credit cards, third number, and collect.
 - (vi) Prepaid calling cards can be purchased from a vending machine near the Post Office in Keathley University Center. The prepaid calling card allows pre-purchase of \$5 to \$20 of long distance phone calls.
 - (vii) Pay phones are available at selected locations across campus. Locations are listed in the Campus Directory.
4. Telephone line repair. Any problems with the telephone lines should be reported to the appropriate hall director. MTSU's responsibility for telephone repair only extends to the line, not the student-provided instrument. Vandalism to any MTSU telephone equipment will be billed to the appropriate resident(s).
 5. Telephone number changes. Requests for telephone number changes for on campus students should be made to the Assistant Dean of Students after a non-release of directory information form has been filed.
 6. Voice Mail. Voice mail service is available for purchase by all students. Voice mail gives students their own personal voice mailbox to answer incoming calls when they are on another line or unavailable. This mailbox makes it easy to store and record messages with technology that is superior to that of an ordinary answering machine. To request voice mail, a Telecommunication Services order form must be completed and signed. Forms are available online at <http://www.mtsu.edu/~itdtele/students>, in the Telecommunications Building, Room 200, or at the Cope Administration Building, cashier windows.
 7. Caller ID. Caller ID service is available for purchase by resident students. MTSU Telecommunication Services provides the caller ID feature only. It is the responsibility of the student to obtain a telephone that will display caller ID information. To request caller ID, a Telecommunication Services order form must be completed and signed. Forms are available online at <http://www.mtsu.edu/~itdtele/students>, in the Telecommunications Building, Room 200, or at the Cope Administration Building, cashier windows.
 8. Private Telephone Line. Payment for a private telephone line includes caller ID and voice mail at no additional charge. The student is responsible for any long distance

(Rule 0240-4-4-.03, continued)

charges incurred on the private line. If a STAR1 authorization code is used to place long distance calls, the long distance charges will be billed monthly through the STAR1 long distance billing system. To request a private telephone line, a Telecommunication Services form must be completed and signed, and prepayment must be made. Forms are available online at <http://www.mtsu.edu/~itdtele/students>, in the Telecommunications Building, Room 200, or at the Cope Administration Building, cashier windows.

- (16) Non-Electric Pianos and Water Filled Furniture. No non-electric pianos, waterbeds or other water filled furniture, or other heavy objects are permitted in residence halls.
- (17) Students may submit requests for room changes with the Housing Office. Students moving out of or into a residence hall without having written authorization from Housing and Residential Life will be in violation of the housing contract. Changes within the building may be authorized by the area coordinator or designee. All changes are authorized on a space-available basis.
- (18) Soliciting Sales. Soliciting, canvassing, or the use of residence halls as a location for selling is prohibited unless written permission is granted by the Dean of Students.
- (19) Keys. Room or apartment keys are the property of the University and a student may not have duplicate keys made. Students who misplace their key and need access to their room should contact their residence hall front desk to be issued a temporary key. As a security precaution, students who lose their key will have their lock changed and the core replaced and will be charged the appropriate fee. Residents are not permitted to share or loan their keys to other persons.
- (20) Cooking. With the exception of single student apartments, no cooking is allowed in student rooms.
- (21) Insubordination. Any act of insubordination or failure to cooperate with the housing staff is grounds for the immediate termination of this contract.
- (22) Cable. Every room in the residence halls is equipped with basic cable service free of charge. Expanded basic and premium channels may be available at an additional cost and, if available, can be purchased directly from Comcast cable company. A cable ready television is all that is required to activate cable. Cable reception problems should be reported to the hall staff. The cable company reserves the right to discontinue services to residents who fall behind in payment for premium services or who tamper with cable equipment.

Theft of cable services is prohibited. Cable theft is the receipt of cable services without the express authorization of a cable television operator. Theft includes splitting cable wires or attaching a black box that can alter the cable equipment owned by the operator. Such action is prohibited in all residential facilities.
- (23) Smoking. Smoking is prohibited in all public areas (lobbies, hallways, community baths, classrooms, etc.). Smoking is prohibited in residence hall rooms unless the room has been designated as a smoking room by Housing and Residential Life. Each area may have a designated smoking location. Consult with hall staff for specific location.
- (24) Residents must share responsibility for maintaining a safe and secure residential community. Residents should keep their doors and windows locked any time they are out of the room, even for short periods of time. Residents who prop open wing or building doors may be subject to disciplinary action. All visitors to residence halls must enter/exit only from the main entrance/door of the building, unless special permission has been secured from the area coordinator. Residents leaving the building through locked security doors are responsible to ensure that the doors close to the locked position.

(Rule 0240-4-4-.03, continued)

- During holiday periods, doors and windows should be securely locked, and window shades should be closed. Items of value should not be left in a room over a holiday period. Any theft or losses should be reported to the Department of Public Safety. University Housing and Residence Life is not responsible for loss, damage, or theft of personal property. Residents and/or their parents are strongly encouraged to carry appropriate insurance to cover the potential theft, loss or damage of personal property.
- (25) **Computer Labs.** Computer labs are provided and selected areas for the use of on-campus residents. Users will be required to show appropriate identification and are also expected to comply with all computer lab guidelines.
- (26) **Pets.** No pets or animals of any kind are allowed in the Residence Halls or Family Student Housing Apartments, with the exception of fish contained in aquariums of no larger than 10 gallons. Residents may make appropriate arrangements for the care of fish during holiday or other break periods. Housing and Residence Life will not assume responsibility for feeding, cleaning or otherwise maintaining aquariums.
- (27) **Additional Housing Regulations.**
- (a) Commercial articles are not to be sold for private benefit in residence halls. Permission for any items to be sold by student organizations must be granted by the Dean of Students. Residents are requested to report instances of solicitation in residence halls to the Residence Hall Director.
 - (b) Intercoms are not to be used for private conversations. Permission must be secured from a member of the residence hall staff before making an announcement on the intercom.
 - (c) Barbells designed for use with one hand can be approved by the Residence Hall Director providing proper padding is furnished by the individual. A fully equipped weight training room is provided for students in the Murphy Athletic Center.
 - (d) No student may change rooms without the authorization of the Residence Hall Director. This is required to facilitate locating students in the event of any emergency.
 - (e) The use of candles, incense, grills or any other open flame device for any purpose is prohibited in the residence halls.
 - (f) University housing requires all residents to use mattress covers on their beds.
 - (g) There will be no more than a total of five (5) guests in a room at a given time except in cases where guests are members of the resident's immediate family.
 - (h) **Screens.** Window screens are installed for your safety and protection. Students are not permitted to remove or tamper with the screens at any time. Damage, removal, or tampering with window screens in any way will be assessed an appropriate replacement cost.
- (28) **Right of Entry.** The University reserves the right of entry into student's assigned living space for inspection, improvement, repairs, or housekeeping during reasonable hours, or at any time in case of epidemic or other circumstances of any emergency nature posing a threat of life, limb, health, or property.
- (a) **Data Service.** All residence halls have direct data access via Ethernet jacks. All residents using the MTSU data network must adhere to all provisions of the Computer and Network Acceptable Use Policy.
 - 1. Access is provided to enhance the learning environment and experience.

(Rule 0240-4-4-.03, continued)

2. Servers of any type are not allowed in the residence halls. This includes, but is not limited to: web, ftp, telnet, game, peer to peer, and file servers. Servers discovered in operation are subject to disconnection. Distributing copyrighted material without permission is not permitted, and may also result in suspension of network access as well as other sanctions.
3. Internet Protocol (IP) addresses are centrally assigned and may not be changed. To receive this address and other necessary configuration information the network card must be set to obtain address information automatically via Dynamic Host Configuration Protocol (DHCP). Computers attempting to circumvent this registration and assignment process are subject to disconnection.
4. Data network problems should be reported to Housing and Residential Life staff.

(29) Guidelines and Procedures for Housing Contract Violations

- (a) Students who violate residence hall policies, as outlined in both the Student Housing License Agreement and the Student Handbook, may be subject to the disciplinary processes of Housing and Residential Life, as well as other University disciplinary processes. The following guidelines are provided to assist students in understanding and responding to the Housing and Residential Life judicial process, including its use of incident reports, conduct violation referrals, judicial hearings, and judicial hearing forms. The imposition of sanctions for conduct violations resulting from incident reports filed with regard to housing infractions does not preclude additional hearing and sanctioning processes through the University through the University disciplinary process. Individual circumstances can determine varying levels of response, and sanctions can take into account the specific facts of each situation. By signing the MTSU Student Housing Agreement, a student agrees to support the rules and disciplinary procedures governing a living and learning community.
- (b) Responsibility for Administration.
 1. Coordinators or Assistant Area Coordinators in each of their respective areas. Where indicated, cases will be referred to the Associate Director for Personnel and Development. The Associate Director will be responsible for adjudicating all cases referred to her/him and applying the appropriate sanctions.
 2. The director will refer to the Assistant Dean of Student Life all cases which involve violations of general regulations of student conduct outlined in the Student Handbook. The director may elect to refer students to the Assistant Dean of Student Life for multiple violations of housing rules where inappropriate behavior persists or where other circumstances warrant such action.
 3. Cases are adjudicated from an incident report submitted to the area coordinator by a hall staff member, resident of the hall, or their administrator. Cases may also be adjudicated from incident reports provided by the Department of Public Safety. The resident is to schedule a meeting with the appropriate area coordinator as noted on the incident report.
- (c) Preliminary Review.
 1. A student alleged to have acted in violation of Housing Rules may be interviewed by the appropriate Housing official. During this interview, the student will be advised as to what Housing rules have allegedly been violated and will be given an opportunity to explain his or her version of the act or incident, or to otherwise refute the allegations.

(Rule 0240-4-4-.03, continued)

2. The Housing official will review the incident, taking into account the information provided by the student. A determination will be made and the student will be advised as to whether or not a disciplinary conference is warranted.

(d) Disciplinary Conference.

1. Students who are subject to the imposition of sanctions will be accorded conference with the appropriate Housing administrator and/or Judicial Hearing Board. A preliminary conference may be converted to a disciplinary conference at the student's election.
2. The following procedural protections will be afforded the student at and during the disciplinary conference:
 - (i) The student shall be advised of the breach of regulations for which he or she is charged;
 - (ii) The student shall be given an opportunity to call witnesses or present other evidence on his or her behalf.
 - (iii) The student may be accompanied by an advisor of his or her choice.
3. Acknowledgment of Violation. At the conclusion, the student will sign the "Judicial Hearing Disposition form" acknowledging the violation and accepting the sanction imposed. The decision of the hearing officer is final.

- (e) The Housing and Residential Life Judicial board is comprised of residential students selected by residents and administrators. The Judicial Board is charged with serving as an impartial hearing body to effect dispositions of violations of residence hall policies. The Judicial Board meets weekly and is authorized to hear disputes involving community damage charges, as well as minor infractions including noise, trash, and visitation violations. Students may request that these violations be heard by the Judicial Board, or the housing administrator who conducts the preliminary review may refer a case to the Judicial Board. Students who have their cases heard by the Judicial Board will be notified at the preliminary review with regard to the time and location of their hearing. If the student fails to attend the hearing and is unable to provide an acceptable excuse, the hearing may be held in his/her absence.

The Judicial Board has the authority to impose any sanctions except relocation or cancellation of the Housing License Agreement. The decision of the Judicial Board in these cases shall be final. The Judicial Board may recommend relocation or cancellation of the Housing License Agreement to the Director of Housing and Residential Life.

- (f) Multiple Violations. Residents involved in multiple violations of Housing rules will be referred to the Director of Judicial and Leadership Programs and may be assigned additional sanctions or have their Housing agreement cancelled. In addition, the Director of Judicial and Leadership Programs may elect to refer the student to the Assistant Dean of Student Life for disposition pursuant to the University disciplinary process.
- (g) Affect of Non-Cooperation. A student who fails to cooperate, ignores, or otherwise does not respond within twenty-four (24) hours after receiving an incident report will be issued a Failure to Comply Notice. If the student does not respond within another twenty-four (24) hours to make an appointment, the Director of Judicial and Leadership Programs will initiate action for possible cancellation of the Housing agreement and removal of the student from University Housing.

(Rule 0240-4-4-.03, continued)

- (h) Failure to Comply with Sanctions. It is expected that all sanctions will be completed within the time frame given in writing to the student. Failure to comply with sanctions in a timely manner will result in a meeting with the Director of Judicial and Leadership Programs. The Director of Judicial and Leadership Programs may give a written extension if such is deemed appropriate or may impose additional sanctions. The student may be placed on Housing Probation and will be notified that a second failure to comply may result in cancellation of his/her housing license agreement.
- (i) Possible Sanctions. The list below is not intended to be exclusive and individual circumstances may indicate that the imposition of other sanctions would constitute a more appropriate response.
 1. Restitution may be required in situations which involve destruction, damage, or loss of property, or unreimbursed medical expenses resulting from physical injury. When restitution is required, the student or student organizations is obligated by the appropriate housing authority to compensate a party or parties for a loss suffered as a result of the violation(s). any such payment in restitution shall be limited to actual cost of repair, replacement, or financial loss.
 2. Housing Probation. The appropriate housing official may notify the student that continuation or repetition of specified conduct may be cause for cancellation of the housing agreement.
 3. Work Hours. A student may be required to perform specified tasks or services to the University under the supervision of a University official.
 4. Assigned Task. A student may be assigned a task (such as a written paper, project, or presentation) which relates to the offense.
 5. Community Impact Statement. A student may be required to write an explanation of his or her behavior and reflect upon how such behavior negatively affects other residents in the community. The student will also be required to meet with the appropriate Housing official to discuss his or her behavior.
 6. Involuntary reassignment. A student may be involuntarily moved to another residence hall if warranted by his or her behavior.
 7. Cancellation of License Agreement. A student's license agreement is cancelled and the student must vacate his/her place of residence within 48 hours of notification.
- (30) Violators Subject to Discipline. All violators of these rules and regulations shall be subject to appropriate disciplinary action. Additionally, any occupant of a residence unit who fails to comply with the terms or conditions of the Residence Hall Agreement or any rule, regulation, policy, or procedure incorporated herein by reference could have this agreement terminated by the institution and possession of the premises taken after the occupant has been given notice to vacate the premises within twenty-four (24) hours.
- (31) Card Access Systems. All students are expected to carry and swipe their own student identification (ID) card to enter residence hall buildings with an installed card access system. Students who experience difficulty using their ID card to gain entry to a building should contact their residence hall front desk. As a security precaution, students who lose their ID card should report the loss to their residence hall front desk and the ID Office. Residents are not permitted to share or loan their ID card to other persons.

(Rule 0240-4-4-.03, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. (Formerly 0240-4-4-.01 renumbered as 0240-4-4-.03 filed June 11, 1990; effective September 26, 1990.) Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed July 3, 1996; effective November 28, 1996. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed September 6, 2002; effective January 28, 2003. Amendment filed August 11, 2004; effective December 29, 2004. Amendments filed June 28, 2005; effective October 28, 2005. Amendment filed January 16, 2007; effective May 31, 2007.

0240-4-4-.04 RESIDENT RESPONSIBILITY. Rooms and Public Area Damages. Residents are responsible for their rooms and room furnishings. All residents will complete a Room Inventory when they establish occupancy. Damages occurring during their period of occupancy beyond normal wear will be assessed to the individual(s) responsible as will unusual cleaning charges. Furnishings must not be removed from the room or public areas without the authorization of the Hall Director. Pictures and other materials may be posted on walls within student rooms using a non-defacing adhesive. No nails or screws may be driven into any wall. The resident(s) responsible will bear the cost of repair or replacement for damaged or misplaced furnishings. Cost for damages or loss occurring in the public areas of a building will be shared equally by all residents responsible for that area of the building when the damage or loss cannot be attributed to specific individuals. A minimum damage charge of \$1.00 per occurrence will be assessed to each resident.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. (Formerly 0240-4-4-.03 renumbered as 0240-4-4-.04 filed June 11, 1990; effective September 26, 1990. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed February 18, 1999; effective June 28, 1999.

0240-4-4-.05 VISITATION POLICY.

Visitation Policy. In recognition of various and differing preferences of students regarding the visitation of guests of the opposite gender, each residence hall community is given the opportunity to determine visitation hours within the following guidelines:

- (1) Students who wish to reside in a restricted visitation community in which no guests of the opposite gender are allowed at any time may make a request for assignment to a restricted visitation area at the time of their application for housing. Every effort will be made to honor requests for assignment to a restricted visitation area. The restricted visitation status of an area is not subject to change by vote of the residents. Restricted visitation areas may encompass a floor, wing, or individual room, depending on the number of requests received.
- (2) Visitation hours in non-restricted visitation areas will be determined by vote of the residents. Visitation hours may not begin earlier than 12:00 p.m. and may not extend beyond 12:00 a.m. on Fridays and Saturdays. Opposite gender visitors are required to check in at the front desk or other designated area and must be escorted at all times. Visitors are not to loiter in the residence halls nor are they permitted in community restrooms on the floor(s). If escorted at all times by the host, visitors are permitted in TV lounges and study rooms.
- (3) Visitation hours will be established at the beginning of the fall semester by a simple majority of residents voting. Visitation hours chosen will be effective through the end of the academic year (spring semester). Visitation hours prior to the vote will be 12:00 p.m. until 12:00 a.m.

(Rule 0240-4-4-.05, continued)

- (4) Regardless of the specific visitation hours selected by vote of residents in a particular hall, visitors will be permitted in rooms only with the permission of the other occupants of the room. Interference with other occupant's privacy, use and enjoyment of the room will not be allowed.
- (5) Visitation hours during summer sessions will be 12:00 p.m. to 12:00 a.m., Sundays through Thursdays, and 12:00 p.m. through 2:00 a.m. on Saturdays and Sundays. Where possible, requests for restricted visitation assignments and roommate requests will be honored.
- (6) It is each student's responsibility to be aware of the visitation hours/policy for the hall he/she is visiting. Failure to comply with the visitation rules may result in disciplinary action.
- (7) A register will be maintained at each residence hall front desk that has twenty-four (24) hour staff. Residents having guests of the opposite gender are responsible for seeing that their guests provide identification and sign the register when entering and leaving the hall as directed by residence hall staff.
- (8) Each guest must be escorted from the lobby to the room he or she is visiting and from the room back to the lobby by the host or hostess. Guests are not to wander in the residence halls nor are they permitted in community restrooms on the floor(s). If escorted at all times by the host or hostess, guests are permitted in TV lounges and study rooms.
- (9) Room checks may be made any time during visitation by residence hall personnel. Violations of Visitation Guidelines will be reported to the appropriate area coordinator of the participating hall. Disposition of such cases will be treated in the same manner as other violations of University regulations.
- (10) There will be no more than a total of five (5) guests in a room at a given time except in cases where guests are members of the resident's immediate family.
- (11) Residents and guests must be properly attired in apparel suitable for class or street wear.
- (12) Any student who violates visitation policies may lose subsequent visitation privileges, as well as incur other disciplinary action.
- (13) Visitation regulations apply to all guests regardless of gender.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed June 11, 1990; effective September 26, 1990. (Formerly 0240-4-4-.04 renumbered as 0240-4-4-.05 filed June 11, 1990; effective September 26, 1990.) Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed January 16, 2007; effective May 31, 2007.

0240-4-4-.06 HOUSING AGREEMENT TERMS AND CONDITIONS.

- (1) The term of a residence hall housing agreement is for the full academic year (fall and spring semesters).
- (2) Period of Agreement
 - (a) A student who enrolls in the University for the Fall Semester and who signs a housing agreement agrees to reside in on-campus housing for both the Fall Semester and the Spring Semester provided he/she enrolls in the University during both semesters.

- (b) Agreements entered into any time after the actual opening of the Fall Semester or Spring Semester continue in effect until the close of the academic year under the same conditions.
- (3) Please refer to the housing license agreement for applicable policies concerning deposits, cancellations, and refunds. Perspective students should request a copy of the license agreement from Housing and Residential Life.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. (Formerly 0240-4-4-.05 renumbered as 0240-4-4-.06 filed June 11, 1990; effective September 26, 1990.)

0240-4-4-.07 REPEALED.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. (Formerly 0240-4-4-.06 renumbered as 0240-4-4-.07 filed June 11, 1990; effective September 26, 1990.) Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed November 26, 1997; effective March 30, 1998. Repeal filed February 18, 1999; effective June 28, 1999.

0240-4-4-.08 SPECIAL REGULATIONS APPLICABLE TO PARTICULAR HOUSING FACILITIES.

- (1) Student Family Apartments on the campus of Middle Tennessee State University are for the use of full-time students with a spouse and/or a dependent child or children who will reside on campus with the full-time student. A student does not have to attend school during the Summer Sessions, provided the student enrolls full-time the following semester. A one bedroom apartment will be assigned to a family unit no larger than five (5). Please refer to the Family Student Housing Agreement for specific policies regarding use of dwelling, terms of payment, refunds, and termination of occupancy.
- (2) Student's Responsibilities.
 - (a) Aid in Maintenance. Students shall assist and cooperate with the University in the care and maintenance of the premises, and shall report promptly to the Married Housing Office any breakage, damage, or need for repair of the dwelling unit, facilities, or equipment therein. Students shall not adjust or tamper with any mechanical equipment.
 - (b) Alterations by Students. Students shall make no alterations, changes, repairs, remodeling, or painting of the premises. Students shall use no screws or nails on the premises.
 - (c) Entry. The students shall permit the duly authorized agent, employee, or representative of the University to enter without notice any part of the dwelling unit during reasonable hours for the purpose of inventory, maintenance inspections, improvements, or repair to any part of such dwelling unit.
 - (d) Transfer or Subletting Units. Students shall not transfer possession, lease or sublet the premises nor give accommodations to roomers, boarders, or lodgers, and any attempted assignment or subleasing shall be void without the written consent of the University.
 - (e) Rubbish, Garbage, and Waste. Students shall deposit garbage, rubbish, and other waste in a manner prescribed by the University and laws and ordinances covering the use of the premises. At no time are garbage bags or cans permitted in breeze ways. Examples of other items not permitted in breeze ways include, but are not limited to, boxes, furniture, and appliances.
 - (f) Responsibilities.

(Rule 0240-4-4-.08, continued)

1. The student shall be responsible for the care and preservation of all University-owned movable equipment, furniture and furnishings provided in the dwelling. Transfer of furniture between apartments or removal from the complex is prohibited.
 2. Each student agrees to pay the University immediately upon demand, for any and all damages to the premises, including but not limited to damages to exterior or interior walls, ceilings, floors, windows, doors, locks, hardware, plumbing fixtures, cabinets, shrubbery, lawn, appliances, fixtures and furnishings of the unit and its surrounding premises, if such damage is caused by an act or failure to act by the student, guests, or invites of the student.
- (3) Students shall submit to the University, upon request, signed statements or other required documents setting forth the pertinent facts concerning their household composition and student status. The University may reexamine such information periodically for the purpose of determining the right of continued occupancy.
- (4) General Regulations Pertaining to Community Welfare.
- (a) Speed limits on Housing streets shall be observed as posted. Cars and motorcycles shall be parked only in such manner and in such areas as may be designated by the University. There shall be no parking on sidewalks, lawn areas, or breeze ways. Motorcycles may not be stored in any apartment at any time.
 - (b) Construction. No outdoor construction of any kind is allowed without prior written consent of the University.
 - (c) Disease. Students will report immediately to the University any infectious or contagious disease occurring within the apartment housing.
 - (d) Disturbances. Students shall not conduct or permit in their apartments loud parties or activities or in any manner create disturbances which would cause annoyance or discomfort to other residents. Students will not permit the premises to be used for illegal purposes.
 - (e) Fire Hazards. Students shall permit no combustible material to be kept on the premises and shall take every precaution to prevent fires. Fire escapes shall be kept clear of all items and shall be used in case of emergency only. Students will not store or lock anything on or immediately adjacent (within two (2) feet) to electrical meters or conduit from these meters leading into the apartments.
 - (f) Guests. Residents may host overnight guests of the same sex but must contact the Family Housing Office and give locator information about their guest(s). All guests staying more than two (2) consecutive nights must fill out a visitor's card and secure permission from the Family Housing Office. Residents are responsible for the conduct of their guests. Overnight guests of the opposite sex are not permitted unless they are members of the resident's immediate family.
 - (g) Heating. Students shall not use any facilities for heating except those provided without prior written consent of the University.
 - (h) Laundry and Dishwashing Machines. Laundry and dishwashing machines shall not be installed, stored, or used in the apartment in the University's complex.
 - (i) Premises. Students shall maintain premises, including their yard, in a neat and orderly condition. No refuse, loose paper, cans, bottles, etc., shall be permitted to accumulate outside or underneath dwelling units.

(Rule 0240-4-4-.08, continued)

- (j) Signs. Students shall display no signs, placards, or banners of any type in or about the premises.
- (k) Storage. Storage of all household or personal property outside of dwelling units shall be in such manner as prescribed by the University. Students shall not store items in attics, on breezeways, or underneath dwelling units.
- (l) Television Antennas and Radio Aerials. Students shall not connect television antennas, or radio aerials in University housing.
- (m) Pianos and Water Beds. No pianos or water beds or other heavy objects will be permitted in the premises.
- (n) Supervision of Children. Parents, legal guardians, and babysitters are responsible for providing appropriate care and supervision for children in their care and are responsible for the conduct of such children while the children are on Family Student Housing and MTSU campus grounds. Children under 12 years of age must be accompanied by a parent, guardian, or other adult while on the Family Student Housing playground or in the Family Student Housing Center.
- (o) Alcohol and Drugs. No alcoholic beverages, illegal drugs, or drug paraphernalia are permitted on the campus of Middle Tennessee State University. Empty alcohol containers (including but not limited to bottles, cans, and kegs) may not be used for display purposes in any residence hall room or apartment.
- (p) Business. Students shall not pursue any business on the premises.
- (q) Firearms. No firearms of any type may be stored within or adjacent to the apartment housing area.
- (r) Soliciting. Solicitors or other salesmen are not allowed access to the premises except with permission from the University. Students are requested to notify the Family Student Housing Office of violations of this rule.
- (s) Miscellaneous. Students shall not shake, clean or hang any bedclothes, rugs, mops, dust cloths, etc. from windows or on doors and shall not climb on roofs.
- (t) Parking. Parking areas within Family Student Housing are reserved for the residents of Family Student Housing. All FSH residents are required to purchase an appropriate parking decal from Parking and Transportation. In addition, an FSH sticker, available from the FSH office, must be affixed to the parking permit obtained from Parking and Transportation. FSH stickers are limited to two per apartment. Unauthorized vehicles and/or abandoned or immobile vehicles may be cited and/or removed at the owner's expense.
- (u) Removal of Personal Property. In the event a student resident 1) withdraws from classes at the University, 2) has his or her license agreement terminated, or 3) is otherwise relocated (from building to building, from room to room, from side to side, or within the designated area assigned), the University shall have the right to remove the student resident's personal property and store the belongings. Notice will be given to the student resident and shall be deemed appropriate when delivered by hand or sent to the student's University address (campus box or email) and/or permanent address (postal). This notice will take effect three (3) days after any hand-delivery or six (6) days after the date of mailing. Packing and storage shall be at the expense of the student resident, and the University shall not be responsible for any personal property, which is lost, stolen, or damaged during packing or storage. Stored items may be held up to thirty (30) days before disposal.

(Rule 0240-4-4-.08, continued)

- (5) Representations and Waivers. Neither the University nor its agents or employees have made any representations or promises with respect to any part of the premises or dwelling units other than as set forth herein. The failure of the University to insist, in any one or more instances, upon the observance of any of the terms shall not be considered as a waiver or relinquishment of such terms in any other instances, but the same shall continue in full force and effect. The University reserves the right to make such other rules as may be deemed appropriate or necessary for the safety, care, and cleanliness of the premises, and for securing the comfort and convenience of all students.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed July 29, 1986; effective October 29, 1986. (Formerly 0240-4-4-.07 renumbered as 0240-4-4-.08 filed June 11, 1990; effective September 26, 1990.) Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 11, 2004; effective December 29, 2004. Amendment filed January 16, 2007; effective May 31, 2007.

0240-4-4.09 MISCELLANEOUS.

- (1) Housing Assignment. The University reserves the right to make all assignments and to make any assignment changes or transfers considered necessary. Assignments are made by date of application without discrimination by reason of race, age, religion, or national origin. In the event accommodations assigned are destroyed by fire, flood, etc., and the University does not furnish other accommodations, the contract shall terminate and the fee will be refunded on a prorated basis. Special living/learning programs may include specific additional criteria for participation/assignment.
- (2) Check-in. Students may move into assigned living space by reporting to the check-in location during the dates and times specified in their agreement. Unless previous arrangements have been made, anyone who fails to check-in during the specified dates and times will forfeit their original room assignment. Students who fail to check-in to their building and who also fail to enroll in classes by the late registration deadline will forfeit their prepayment and the license agreement will be voided. An enrolled student who fails to check-in to the building, but who has not been granted an approved license agreement release will remain subject to the financial obligations incurred by signing the license agreement.
- (3) Check-out. Each student must check-out, in person, with the Head Resident or his designee at the end of each semester and turn in the room key. His/her room must be clean, and all personal property must be stored or removed.
- (4) Responsibility for Personal Property. The University does not assume any legal obligation to pay for the loss or damage to items of personal property of residents which occurs in its buildings or on its grounds. Students or their parents are encouraged to carry appropriate insurance to cover such losses. Housing and Residential Life assumes no responsibility for property left in rooms after check-out and/or hall closing, and will dispose of any items found in rooms after the occupant has checked out in compliance with the "Uniform Disposition of Unclaimed Property Act", T.C.A. §66-29-103, et. seq. Where applicable, additional charges for cleaning the room or removing abandoned items may be assessed to the occupant's student account.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. (Formerly 0240-4-4-.08 renumbered as 0240-4-4-.09 filed June 11, 1990; effective September 26, 1990.) Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed February 18, 1999; effective June 28, 1999.

**RULES
OF
THE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

INSTITUTIONAL STUDENT HOUSING RULES

**CHAPTER 0240-04-05
TENNESSEE STATE UNIVERSITY
STUDENT HOUSING RULES**

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0240-04-05-.01 ELIGIBILITY.

- (1) All full-time enrolled students are eligible to reside in a University Residence Facility. All full-time, first-time, single freshman students under 21 years of age not residing with their parents or legal guardians, or not commuting to class from their permanent residence are encouraged to reside in University Housing.
- (2) Part-time students may be approved for residence in a University residential facility at the discretion of the University.
- (3) All students requesting University housing must complete and sign a housing application. Upon signing, the applicant agrees to adhere to housing policies and rules. Application for returning students must be received by April 1st. Applications for new students and freshmen must be received by August 1st. the "Meal Card Waiver Application" and supporting documents must be submitted to the Office of Residence Life no later than the seventh day following the last day of regular registration or the seventh day following the receipt of a room assignment for late arrivals.
- (4) All eligible students, with the exception of students who are prohibited by federal or state law from residing in student residence facilities for any reason, shall have an equal opportunity to reside in student resident facilities regardless of race, sex, marital status, creed, color, national origin or physical disabilities, provided that separate units may be provided on the basis of sex.
- (5) No student who is registered as a sex offender pursuant to the Tennessee Sexual Offender and Violent Sexual Offender Registration, Verification and Tracking Act of 2004 and whose victim was a minor shall be eligible to reside in any on-campus student residence facilities, including dormitories and apartments because the University's Main Campus includes a child care facility and is within one thousand feet (1,000') of a public athletic field available for use by the general public.
- (6) Students who meet the April 1 housing deadline but do not preregister for classes must claim their rooms within twenty-four (24) hours of the opening of residence halls and apartments.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed July 14, 1992; effective October 28, 1992.

(Rule 0240-04-05-.01, continued)

Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed August 29, 2000; effective December 29, 2000. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-05-.02 RESIDENCE HALL CONDUCT AND DISCIPLINARY SANCTIONS.

- (1) Students residing in University residence facilities or any form of University housing will be subject to all rules and regulations of the University and the Tennessee Board of Regents including, but not limited to, the Board of Regents Rules of Student Conduct (Chapter 0240-02-03), and all rules and regulations included herein. Violation of University or Tennessee Board of Regents rules and regulations may subject the resident to disciplinary action and the imposition of sanctions related to the resident's status as a student as well as a resident. Alleged violations of the University or Tennessee Board of Regents student disciplinary and/or housing rules and regulations will be heard by the Office of Student Conduct and Mediation Services.
- (2) Conduct in University housing which may subject a resident to sanctions related to his/her status as a resident of University housing shall include, but not be limited to, the following:
 - (a) Failure to cooperate with or comply with directives of residence hall staff members and other University officials acting in the performance of their duties.
 - (b) Possession or consumption or use of alcoholic beverages:
 - (c) Unlawful possession or use of any illegal drug or controlled substance and/or paraphernalia:
 - (d) Gambling in any form;
 - (e) Possession of explosives, fireworks, or flammable materials;
 - (f) Possession of bullets, firearms or other dangerous weapons:
 - (g) Possession or use of any device which produces an open flame or noxious odor or toys of choice, (water guns);
 - (h) Use of electric blankets, hot plates, popcorn poppers, coffee makers, or other heat-producing devices in residence hall rooms. Irons and electric curling irons are exceptions;
 - (i) Possession or use of any cooking appliance other than microwave ovens;
 - (j) Keeping pets of any kind in University housing, with the exception of goldfish and previously authorized official service animals;
 - (k) Permitting the unauthorized housing of a guest, relative or friend;
 - (l) Disorderly conduct or misbehavior by any resident or guest. Residents shall inform guests of University student housing rules and shall be responsible for their conduct;
 - (m) Disturbing other residents by rowdy, boisterous, or disorderly behavior;
 - (n) Using sound producing equipment in any manner which disturbs other residents;
 - (o) Ignoring a fire alarm or refusing to evacuate the premises when an alarm is sounded;

(Rule 0240-04-05-.02, continued)

- (p) Tampering with fire alarm mechanisms, smoke detectors, or fire extinguishers;
 - (q) Propping open stairway doors or exit doors;
 - (r) Dropping, throwing, or hanging objects from windows;
 - (s) Subletting is not allowed;
 - (t) Changing or modifying room locks or installing additional locks;
 - (u) Unauthorized removal and/or property damage to any residence hall facility, equipment, or furnishings;
 - (v) Children are not permitted to reside in the residence halls. The University assumes no responsibility nor does it make provisions for children in the residence halls. Babysitting in residence facilities is not allowed;
 - (w) Violation of any University housing rules and regulations hereinafter provided;
 - (x) Violation of general University rules and regulations published in the Student Handbook. The disciplinary offenses contained in the Code of Student Conduct are incorporated herein by reference (Chapter 0240-03-05);
- (3) Residence Hall Disciplinary Sanctions. Upon determination that a violation of any regulation has occurred, the following disciplinary sanctions may be imposed, either singly or in combination, by the appropriate University official:
- (a) Restitution. A student who has committed an offense against property may be required to reimburse the University or other owner for damage to or misappropriation of such property. Any such payment in restitution shall be determined by the University and limited to actual cost of repair or replacement. Students may be assessed on a pro rata basis for damage to common areas.
 - (b) Impoundment. Any equipment, appliance, or device, the possession or use of which is prohibited in University housing, or any sound producing equipment which used in a manner disturbing to other residents, may be impounded.
 - (c) Warning. The appropriate University official, including residence hall staff members, may notify the student in writing that continuation or repetition of specified conduct may be cause for other disciplinary actions.
 - (d) Residence Hall Probation. A resident placed on residence hall probation is deemed not to be in good standing with residence hall community, and continued residency is conditional upon adherence to the rules, regulations, and provisions of the Code of Conduct and Housing Contract.
 - (e) Residence Hall Suspension and Forfeiture. A student suspended from the residence halls may not reside, visit, or make any use whatsoever of a residence hall facility or participate in any residence hall activity during the period for which the sanction is in effect. A suspended residence hall student will be required to forfeit fees (including any unused portion thereof).
 - (f) The disciplinary sanctions contained in the Code of Student Conduct are incorporated herein by reference. (Chapter 0240-03-05).

(Rule 0240-04-05-.02, continued)

- (g) Violation of any regulation is considered Breach of Contract (which may result in dismissal from the residence hall).

Authority: T.C.A §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed February 18, 1999; effective June 28, 1999. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-05-.03 RESIDENT RESPONSIBILITIES.

- (1) All general University regulations are binding with regard to residential students. Residents shall be responsible for the condition of room and room furnishing(s). Damages shall be reported to the residence facility director.
- (2) Lounges, study rooms, reception lobbies and other common areas are provided for the comfort and conveniences of residents. Furnishings in common areas may not be removed. Students who take these items to their rooms or elsewhere on or off campus, are subject to possible arrest and disciplinary action for theft of state property.
- (3) Any damage to residence life property will not be tolerated. Students guilty of defacing or destroying University property will be charged with the cost of repairs and disciplined according to the offense. If the person(s) who defaces or damages property in a room, common area or apartment is not identified, the cost of repair will be levied against all occupants of the room and floor.
- (4) In attaching objects to room doors, walls, or ceilings, residents shall not use any device which leaves a permanent mark including, but not limited to, nails, screws, staples, thumb tacks, or stickers. White putty (available in the University Bookstore) is the only official recommended material for hanging or attaching objects to walls or doors. Other types of adhesives, such as tape, picture hangers, decals, etc., are not allowed as they are potentially damaging to most surfaces. Plant poles, pole lights, and other items which touch the ceilings are not permitted.
- (5) The resident's room or apartment will be inspected periodically by the residence facility director for cleanliness and, therefore, should be kept clean and orderly at all times. Notice will be given 24 hours prior to these inspections. Any resident unable to maintain these standards may forfeit his/her right to remain in the residence facilities. The following suggestions will help maintain a livable area that is conducive to study or relaxation, will help maintain health standards, and will provide the basis for evaluation of room inspection:
 - (a) Beds should be neatly made with clean linen. Linen should be changed at least once a week.
 - (b) All clothes should be neatly hung in closets with the closet floor neat and orderly.
 - (c) Floors and mirrors should be clean; furniture, wood work and window sills dusted; waste baskets emptied; and, books on shelves in order.
 - (d) Paper and trash should not be placed outside of living quarters and should be placed in the proper containers.
 - (e) Personal hygiene items left unattended in bath or public areas will be discarded.

(Rule 0240-04-05-.03, continued)

- (6) The room/apartment is to be shared equally. Length of stay in the room places no prior claim or right to the room.
- (7) Window blinds or screens shall not be removed.
- (8) Bicycles, motorcycles and mopeds, or other vehicles shall not be stored in rooms, hallways or stairways.
- (9) A charge shall be assessed for leaving an assigned room in such condition as to require undue time for cleaning the premises. Conditions which demand repair, including painting, shall result in a damage assessment against the resident.
- (10) If a resident is not going to be in his/her room or apartment for more than three days, the student should contact his/her resident assistant or facility director to provide a telephone number where he/she can be reached. If the staff does not know of a student's whereabouts after a reasonable period of time, the Director of Residence Life will contact the Vice President for Student Affairs, and the Campus Police Department.
- (11) Personal property should be marked with permanent identification.
- (12) Students should leave expensive clothing, electronic equipment or jewelry at home.
- (13) It is recommended that residents avoid borrowing. It helps to discuss your feelings about borrowing or lending property with your roommate(s) and/or friends to avoid later conflicts.
- (14) It is suggested that students obtain insurance protection against loss, damage or theft of personal property. The University assumes no responsibility and shall not be liable for any damages to or theft of personal property of students, or injury to any student or the occupants of student residence facilities or to guests of such occupants except as authorized by the "Tennessee Claims Commission Act", T.C.A. §9-8-301, et seq. If property is damaged or individuals injured, a claim form must be completed with report of incident and filed with the Tennessee Board of Claims. The State of Tennessee will make the final determination for reimbursement and legality of claim.
- (15) At least one month prior to vacation periods, each resident will be notified by bulletin board notice and through the regular residence facility meetings as to the closing schedule for his/her residence facility. Students may reference the University academic schedule. If for any reason there are hardship cases where a student will not be able to leave at the assigned time, he/she must inform the Residence Director and the Director of Residence Life prior to the closing of the facility.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule file April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed February 18, 1999; effective June 28, 1999.

0240-04-05-.04 VISITATION POLICY.

- (1) The term "residence hall visitation" refers to the visitation of both men and women students, family, and friends in residence facilities common areas and resident rooms during regularly scheduled visitation days and hours. Residents living in the building may not visit after established visitation hours without the consent of their roommate(s). If there is a conflict as a result of the visitor (inclusive of residents in the building), the method of resolution will be at the discretion of the residence facility director.

(Rule 0240-04-05-.04, continued)

- (2) Residents of each residence facility select the specific days and times of visitation for their facility within the maximum parameters contained in rule 0240-04-05-.04(5)(b). Visitation in the residence facility shall not be effective unless or until ratified by the majority of the residents voting and approved by the appropriate residence life officials. Voting shall take place three (3) weeks after the first official day of registration beginning at 9:00 a.m. until 7:00 p.m. the following day.
- (3) Residence facility visitation is a privilege and is not mandatory. The Office of Residence Life has established guidelines for suggestions and recommendations brought to it by residents of the respective residence facilities.
- (4) If for any reason an uninvited guest comes to a student's room during or after the visitation period, the student should contact a staff member of the residence facility immediately.
- (5) Residence hall visitation shall be conducted under the following regulations:
 - (a) Visitation hours may not extend past 10 p.m. Monday through Thursday, or 12 p.m. midnight, Friday and Sunday.
 - (b) Maximum visitation hours are: Freshman - Friday and Saturday from 4 p.m. to 12 midnight, Sunday from 4 p.m. to 10 p.m.; Sophomore, Junior, Senior - Monday through Thursday 4 p.m. to 10 p.m., Friday through Sunday 4 p.m. to 12 midnight.
 - (c) Visitation shall not be scheduled during the weeks of Thanksgiving recess, mid-term or final examination.
 - (d) A parent of the opposite sex is permitted to visit a resident's room at times other than visitation periods provided that other residents on the floor are notified and permission is granted by a residence hall staff member. Room visitation by persons of the opposite sex in conjunction with check-in and check-out must be approved by a member of the residence hall staff.
 - (e) Roommates must consent in writing to visitation in their room.

All guests must leave their Tennessee State University ID Card, driver's license or other satisfactory photo identification at the appropriate residence facility office desk prior to leaving the lobby area. Guests must be escorted from the lobby to the room to be visited and from the room visited back to the lobby by the host or hostess. Non-residents are prohibited from being in the residence halls unescorted by their host or hostess.

Non-resident students in violation of visitation regulations may be subject to disciplinary action by the student affairs deans.

Residents and guests must be in proper attire suitable for class or street wear during visitation.

Non-students found in the residence halls in violation of visitation policy shall be subject to arrest.

Residents shall be responsible for the conduct and behavior of their guests.

A resident found in repeated or gross violation of residence facility visitation regulations which would threaten the health, safety and welfare of others is subject, in the discretion of the appropriate residence life officials, to immediate suspension or

(Rule 0240-04-05-.04, continued)

termination of his/her privilege of living in University residence facilities. Such action shall be followed by the initiation of appropriate disciplinary procedures.

- (f) Room checks may be made at any time during visitation.
 - (g) Overnight guests of the same sex as the resident student are permitted if the following conditions are met:
 - 1. The guest is registered with the residence facility director prior to staying overnight.
 - 2. The residence host informs the guest of residence facility regulations and accepts responsibility for the guest's conduct.
 - 3. Permission for a guest to stay more than two (2) consecutive nights must be obtained from the appropriate residence life official.
 - (h) Children are not allowed to wander in residence facilities unsupervised at any time.
 - (i) Guests shall be defined as those persons not residing in the residence facility of the host student.
- (6) Apartment visitation shall be conducted under the following regulations:
- (a) Visitation hours may not exceed 12 midnight Sunday through Saturday.
 - (b) Non-resident students in violation of visitation regulations may be subject to disciplinary action by the student affairs deans
 - (c) Residents and guests must be in proper attire suitable for class or street wear during visitation.
 - (d) Residents shall be responsible for the conduct and behavior of their guests.
 - (e) Non-students found in apartments in violation of visitation policies may be subject to removal and possible legal action.
 - (f) A resident found in repeated or gross violation of residence facility visitation regulations which would threaten the health, safety or welfare of others is subject, at the discretion of the appropriate residence life official, to suspension or termination of his/her privilege of living in University residence facilities. Such action shall be followed by the initiation of appropriate disciplinary procedures.
 - (g) Room checks may be made at any time during a visitation period.
 - (h) Children are not allowed to wander in residence facilities unsupervised at any time.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed February 18, 1999; effective June 28, 1999. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-05-.05 CONTRACT TERM AND CONDITIONS.

- (1) The term of the Student Housing Agreement shall be from the date of room assignment until the end of the academic year. Fall residents wishing to petition for release from the student housing agreement based upon graduation or transfer for the spring semester must complete a "Void Housing Contract" form and submit it to the Director of Residence Life prior to the Christmas break.
- (2) A resident shall not move out of the residence facility during the term of the housing agreement without the authorization of the residence facility director and the Director of Residence Life.
- (3) A resident who vacates the residence facility prior to the end of the term of the housing agreement shall forfeit all prepaid rent and deposits except in the specific circumstances defined below under "Housing Deposit, Cancellation, and Refund Policies."
- (4) Transfers from one residence facility to another must be authorized by the appropriate residence life officials.
- (5) Room/apartment changes within a residence facility must be authorized by the appropriate residence life official.
- (6) Individual occupants of double rooms shall be required to consolidate in accordance with consolidation assignments by the residence facility director.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed February 18, 1999; effective June 28, 1999.

0240-04-05-.06 HOUSING DEPOSIT, CANCELLATION, AND REFUND POLICIES.

- (1) **Reservation Fee.** A one hundred dollar (\$100) reservation fee is required of all students who apply for University housing. The fee is paid only once and remains on File as long as the student matriculates at the University. This deposit serves as a reservation only. All charges for damages defacement, missing fixtures and/or furnishings will be charged directly to the student's account as they occur and must be paid during the semester of incident. This deposit reserves the living area until the last day of regular registration. The deposit will be refunded when a student graduates, transfers or no longer maintains an active status, provided the following conditions are met:
 - (a) All residence facility fines are paid;
 - (b) The student officially checks out with the residence facility director at the end of each appropriate semester or upon withdrawal; and
 - (c) The student turns in his/her key to the residence facility director.
- (2) A deposit by new and transferring students (freshmen and transferees) only assures a room assignment for twenty-four (24) hours beyond the scheduled date of arrival.
- (3) **Cancellation.** The one hundred dollar (\$100) reservation fee will be forfeited if the resident fails to cancel the contract in writing with the Office of Residence Life fourteen (14) days prior to the first official day of registration. The deposit is also forfeited if the resident fails to fulfill the housing agreement (i.e., assigned space is not occupied by the last day of regular registration unless the Office of Residence Life is notified by the resident of the late arrival; does not register for classes, etc.)

(Rule 0240-04-05-.06, continued)

- (4) Refund of Reservation Fee. Except as provided in paragraph (1) above, the one hundred dollar (\$100) deposit will be refunded only if one (1) or more of the following conditions exist:
 - (a) Residence facility space is not available.
 - (b) The student is prevented from entering the University because of medical reasons, confirmed in writing by a licensed physician.
 - (c) If cancellation is made in writing to the Director of Residence Life fourteen (14) days prior to the first official day of registration.
 - (d) In case of death of the student.
 - (e) No refund shall be made if the resident is withdrawn from the University or the residence facility for disciplinary reasons.

- (5) Refund of Residence Facility Rent.
 - (a) Refunds of residence facility rental fees paid in advance shall be prorated on a weekly calendar basis and the resident's contract or lease shall terminate at the discretion of the institution when the student is forced to withdraw from the residence facility:
 1. Due to personal medical reasons confirmed in writing by a licensed physician; or
 2. At the request of the institution if:
 - (i) The premises or the unit are destroyed or, in the opinion of the institution, unsuitable for occupancy for any reason; or
 - (ii) The institution gives the student written notice of termination at least 30 days prior to the date when such termination will be effective.
 - (b) A full refund shall be made in the event of the resident's death.
 - (c) In the case of withdrawal from the residence facility for other reasons, except disciplinary reasons, 75% of prepaid rent will be refunded for withdrawal from the residence facility for a period of 14 calendar days beginning with and including the first day of registration or with equivalent period for a short-term course, and 25% shall be refunded for a period which extends 25% of the length of the term. (See Fall, Spring and Summer "Class Schedule" booklets.)
 - (d) No refund shall be made if the resident is withdrawn from the University or the residence facility for disciplinary reasons.
 - (e) No refund shall be made if the resident vacates the residence facility prior to the end of the term of the "Student Housing Agreement" without the authorization of the residence facility director and Director of Residence Life.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed February 18, 1999; effective June 28, 1999. Amendment filed February 28, 2000; effective June 28, 2000. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-05-.07 MISCELLANEOUS.

- (1) Solicitations. Except as otherwise permitted by Tennessee Board of Regents rule 0240-01-01 Use of Campus Property and Facilities, solicitation for purely commercial purposes is prohibited on all property owned or used by the University.
- (2) With the exception of university owned apartments, all residence facilities will be closed during Christmas holidays, spring recess, and at the end of the spring and summer semesters. On these occasions students are expected to vacate the residence facilities by twelve (12) o'clock noon the following day after their last examination or class. Students who are not returning to the University in the spring semester should officially check out of the residence facility at the close of the fall semester. The University will not be liable for belongings left in the student's room/apartment during official breaks except as provided by the Tennessee Claims Commission Act, T.C.A. §9-8-301, et seq.
- (3) Long distance calls may not be charged to a resident's room/apartment telephone number.
- (4) All residents must file a health form which has been completed and signed by a licensed physician.
- (5) Residence hall lobbies shall close to guests at 12 midnight. Residence hall lobbies are intended for use by residents of the hall and their guests. Persons not using the lobby for the intended purpose will be required to leave.
- (6) Food kept in residence hall rooms must be in closed containers.
- (7) A refrigerator not to exceed 2.5 cubic feet and 5 amperage draw may be placed in rooms in the residence halls with the exception of apartments.
- (8) Tennessee State University recognizes and respects the rights of its students to have privacy with respect to their persons and their personal belongings. The University also recognizes the responsibility to preserve the wholesome learning and living environment on campus, to provide adequate maintenance and protection of public property, and to protect the health and safety of all persons on campus. These fundamental assumptions are embodied in the following commitments and procedures concerning the entry or search of student rooms or other assigned storage spaces.
 - (a) Room Entrance: The University reserves the right to enter University rooms under any of the following circumstances:
 1. When there exists an immediate threat to the health or safety of the occupants or University property.
 2. With permission of the resident.
 3. With a search warrant.
 4. With permission of the President or designee or the Vice President of Student Affairs or designee when there is sufficient reason to believe University regulations or local, state and federal laws have been violated.
 5. By Physical Plant personnel and their designated agents only for repair, replacement, or inspection of University property.
 6. By residence hall staff member or officials of Residence Life on official business.

(Rule 0240-04-05-.07, continued)

(b) Health and Safety Inspection: A bi-monthly health and safety inspection will be performed. Residents will be notified at least twenty-four (24) hours in advance.

(c) Room Search:

The University reserves the right of entry to rooms by authorized University officials for the purpose of search and seizure if there is reasonable cause to believe that a student is using a residence hall for purposes which are illegal or which would seriously interfere with campus discipline or constitute a hazard. A search will be authorized by the Vice President for Student Affairs or his/her designee. The search will be conducted in the presence of the Vice President for Student Affairs or his/her designee and the Dean of Residence Life or his/her designee and the student if possible. Representative of the Security Department may also be present. The University also has the right to elect the use of a search warrant by campus security or the city police.

A copy of the authorization form will be provided to the student(s) whose room is being searched, and a receipt will be given for any property confiscated. The University assumes no responsibility for the theft, destruction, or loss of confiscated property.

- (9) Under no circumstances are windows/patio doors to be used for entering or leaving the residence facility.
- (10) Open windows, patio and balcony doors are not to be used as a conduit to transmit music and/or noise to the community outside the residence facility.
- (11) The University reserves the right to limit the quantity and type of items displayed in or on room windows so as to maintain an attractive appearance of the building.
- (12) Alcoholic beverage containers, including cans and bottles, will not be visibly displayed, located or be found in the residence hall environs, including rooms, hallways, lounges, lobbies or other areas of the residence hall.
- (13) Emergencies should be reported immediately to resident assistant or residence facility director. Such situations include flooding, malfunctioning of wiring fixtures, plumbing, broken elevators or vandalism.
- (14) Maintenance needs that are not emergencies should be reported to residence facility staff who, in turn will initiate the maintenance request. The problem(s) should be corrected within 30 working days.
- (15) In the Fall, when the heat is turned on, a short adjusting period is necessary before a uniform temperature is obtained throughout residence hall rooms. Residents should notify residence hall staff if their rooms remain cold or too hot for an extended period of time. NOTE: Once heat has been turned on in the Fall, it will remain on until the end of the winter.
- (16) Residence hall common areas, such as lobbies and halls, are cleaned by janitorial staff each morning. Residents should leave these areas as clean as possible during this time. Apartment porches and steps are cleaned by janitorial staff. During check out residents will be required to bag trash and take to trash dumpster.
- (17) For extermination of insects, residents should sign his/her name and room number with any comments on an extermination request sheet which is provided by the resident assistant. Exterminators spray on a regular schedule.

(Rule 0240-04-05-.07, continued)

- (18) Keys and fiber optic access devices ("FOB") are assigned to each resident when checking into his/her assigned residence facility. When a key or FOB is lost, a Lost Key Report is to be filed with the residence facility director within twenty-four (24) hours. Depending on circumstances filed in the report, a decision will be made to issue a duplicate key or FOB, ten dollars (\$10), or re-core the lock, fifty-eight dollars (\$58), at the student's expense. Residence facility keys or FOBs may not be duplicated under any circumstance or be transferred to others. Students should not loan their keys or FOBs to others.
- (19) Quiet hours are established in each residence facility at the beginning of the fall semester and will be posted. Quiet hours are generally in effect from 7 p.m. until 7 a.m. In addition, residents are expected to show consideration for others at all times by avoiding excessive noise ("excessive" defined as disturbing your neighbor). During mid-term and final examination weeks, quiet hours will be in effect 24 hours a day.
- (20) All residence facility staff members are considered institutional officials and as such are empowered to issue directions to any student, guest, or visitor. Failure to comply with the legitimate directions of a staff member will result in appropriate disciplinary action. Residence facility staff members are empowered to deal with behavioral problems of students in any residence facility or at any residence facility-sponsored event.
- (21) Students are advised not to leave the residence facility alone after dark. It is also advisable for students not to stay alone in classrooms, music practice buildings, and other buildings.
- (22) Fire in the residence facility should be reported to the residence director or to his/her assistant if the director is not available. Students should then activate the nearest fire alarm and exit immediately. Residents are advised to become familiar with the location of exits, fire extinguishers and alarms. Tampering with fire alarms or fire extinguishers is a serious matter and may result in disciplinary action. If the fire department responds to a false alarm, the student responsible for the false alarm will be assessed the cost for responding to the alarm.
- (23) Telephone jacks are conveniently located in each room/apartment. Students must provide his/her own telephone. The University will not assume responsibility for any collect calls made to the student. The University will not assume responsibility for personal telephones, hook-ups or malfunctions. Long distance calls may not be charged to a resident's room/apartment. Long distance credit cards are not the responsibility of the University.
- (24) The University provides certain services relative to the health of the student. If the student's illness exceeds the University's ability to provide medical care, the cost of hospitalization must be borne by the student. The University has arranged for a special group hospitalization contract at a minimal cost, and information for purchase may be obtained by contacting the Dean of Students or Health Center staff. The following are suggestions in regard to illness in the residence facility:
 - (a) If the student is in need of medical care (illness or accident) during the night, contact with the campus police should be made by the resident facility staff as soon as possible.
 - (b) The University Health Center is located on the west side of Hankal Hall (north campus) and operates from 8 a.m. to 4:30 p.m. Monday through Friday.
 - (c) In the event a student is hospitalized on an emergency basis or sent home because of illness, the residence facility director should be notified immediately as well as the Dean of Students, Director of Residence Life, and Director of Off-campus Housing.

(Rule 0240-04-05-.07, continued)

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed February 18, 1999; effective June 28, 1999. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-05-.08 MEAL CARD PROGRAM/WAIVER.

- (1) All University students who participate in the residence life program are required to participate in the Meal Card Program, herein referred to as "board." All freshman (29 hours or less) who live in University housing must enroll in the 19 meal per week board plan. Returning students with 30 hours or more may enroll in either the 19 meal per week board plan or the 10 meal per week board plan.
- (2) Any student may opt to qualify for a Meal Card Waiver if he/she is involved in student teaching, nursing clinicals, respiratory therapy, internships, practicums or a cooperative education program. Students for whom meals cannot be provided by the University's food service for special medical dietary reasons may be given special consideration. These exceptions must be approved by the food service director or his designee and the Vice President for Student Affairs.
 - (a) Application for Meal Card Waiver may be obtained from the Office of Residence Life. The applicant is solely responsible for obtaining all information to support the application.
 - (b) Special Note: All applications concerning dietary problems must be reviewed by the cafeteria dietician. Generally, if the cafeteria cannot support the prescribed diet on a daily basis the waiver will be approved.
 - (c) Application and Support Documentation:
 1. Medical: Letter from attending physician and/or prescribed physician's diet is required.
 2. Student teaching, respiratory therapy, internships, practicums, nursing clinicals, training and co-op programs must take place off campus. A copy of the applicant's class schedule authenticated by Admissions and Records, faculty advisor, department head or dean is required.
 - (d) Criteria for Meal Card Waiver:
 1. The Meal Card Waiver Application and supporting documents must be submitted to the Office of Residence Life before the last day of regular registration. Special medical conditions may require additional time to obtain supporting documentation. If so, an extension must be requested from the Office of Residence Life. The student is solely responsible for obtaining all information to support the application.
 2. Any student who has participated in the board plan for at least one day from the official first day of class and who has been granted a Meal Card Waiver is to be charged the prorata weekly rate for each week of participation.
 3. Students residing in University apartments are not required to participate in the meal plan.

(Rule 0240-04-05-.08, continued)

- (e) Falsification of an application to obtain a board waiver could result in initiation of disciplinary action by the University.

Authority: T.C.A. §49-8-203. **Administrative History:** New rule filed February 18, 1999; effective June 28, 1999.

0240-04-05-.09 RESIDENCE FACILITY SAFETY PROCEDURES.

- (1) All residence facilities' front doors will be locked at 12 midnight.
- (2) All roofs and porticos are off limits.
- (3) Room/apartment doors must be locked at all times.
- (4) Room/apartment keys should not be loaned.
- (5) Telephone or room/apartment numbers should not be divulged to strangers.

Authority: T.C.A. §49-8-203. **Administrative History:** New rule filed February 18, 1999; effective June 28, 1999.

**RULES
OF
THE TENNESSEE BOARD OF REGENTS
STATE UNIVERSITY AND COMMUNITY COLLEGE SYSTEM OF TENNESSEE**

INSTITUTIONAL STUDENT HOUSING RULES

**CHAPTER 0240-04-06
TENNESSEE TECHNOLOGICAL UNIVERSITY
STUDENT HOUSING RULES**

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0240-04-06-.01 ELIGIBILITY.

- (1) Unless otherwise designated, University policy requires that all student residence facilities, including residence halls and apartments, shall be limited to occupancy by Tennessee Tech students and Office of Residential Life staff, provided that the apartments may be occupied by spouses and children of Tennessee Tech students if so designated. In addition, student residence facilities may be leased to other persons in connection with programs and activities on campus when such facilities are not occupied or needed by students. All students shall have an equal opportunity to reside in student residence facilities regardless of race, gender, sexual orientation, marital status, creed, color, national origin or disability, provided that separate housing may be provided on the basis of gender or marital status. Tech Village Apartments have been designated as student residence facilities for married students, single students with children, graduate students, students with disabilities, single senior and single junior students, faculty, and staff.
- (2) The University requires all freshman and sophomores to live in residence halls.
- (3) The basis for waivers and exceptions for living in the residence halls are:
 - (a) students who are junior classification or more,
 - (b) students commuting from a parent's or legal guardian's home which is within a fifty (50) mile radius;
 - (c) students living with a brother or sister who are enrolled full-time at the University within a fifty (50) mile radius;
 - (d) students participating in academic internship programs;
 - (e) students with physical and/or emotional disabilities verified by a licensed physician; and
 - (f) emergency release granted by the Office of Residential Life. Please note: The signing of the housing agreement obligates the student to fulfill the terms and conditions of the agreement for the duration of the agreement.
 - (g) married students.

(Rule 0240-04-06-.01, continued)

- (h) a single parent;
 - (i) twenty-one (21) years old by the first day of class of the semester.
- (4) Classification of students will be determined according to the number of semester hours earned as described in the section on General Regulations regarding classification in the University Catalog. This policy is in effect throughout the entire academic year - fall, spring and summer. If a student is classified as a full-time student at the beginning of the semester, the same status will apply for the entire semester.
- (5) A student who does not comply with the University residency requirement, after having been informed, will be assigned a room in one of the University residence halls, is responsible for full payment of rent, and may be subject to disciplinary action for living off-campus without authorization.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261; effective July 1, 1983. New rule filed April 28, 1983; effective July 31, 1983. Amendment filed January 31, 1986; effective April 15, 1986. Amendment filed April 30, 1987; effective July 29, 1987. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed November 26, 1997; effective March 30, 1998. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed August 11, 2004; effective December 29, 2004. Amendment filed January 16, 2007, effective May 31, 2007. Amendments filed September 20, 2007; effective January 28, 2008.

0240-04-06-.02 RESIDENCE HALL CONDUCT AND DISCIPLINARY SANCTIONS.

- (1) Student misconduct related to residence hall or student apartment life which is subject to disciplinary sanction shall include, but not be limited to, any misconduct proscribed by the Tennessee Technological University Student Disciplinary Rules, section 0240-03-06-.02, which is incorporated herein by reference.
- (2) In addition, the following special regulations concerning conduct in residence facilities shall apply, and failure to comply with them shall subject the resident to disciplinary action.
 - (a) All student residence facilities shall be used for private residential purposes only. No student shall permit any objectionable noise or odor to escape from the student residence unit, permit or create a disturbance or disturb any other resident of the unit or the facility.
 - (b) With the exception of fish aquariums not exceeding 20 gallons and approved seeing eye dogs, pets are not permitted in University housing. Fish aquariums may only be used for fish. Furthermore, no pets may be kept in close proximity of the resident's room.
 - (c) Tampering with security devices, fire fighting equipment, smoke detectors and/or fire alarms is prohibited.
- (3) All students who occupy any residence unit shall be subject to the rules, regulations, policies and procedures of the Tennessee Board of Regents and the University related to conduct and student housing, including visitation regulations, the provisions of the Tennessee Board of Regents' policy on student residence regulations and agreements, and the University student handbook and residence and apartment handbook, shall be incorporated by reference into each student agreement.

(Rule 0240-04-06-.02, continued)

- (4) Students and occupants will be held accountable for behavior occurring in their student residence units; including the behavior of any visitors and/or guests.
- (5) All students are expected to scrupulously respect the personal and property rights of all other persons and of the University. The University will make every effort to see that these conditions are maintained by all members of its community.
- (6) University officials reserve the right to enter and inspect residence hall rooms and apartments at any time. Inspections will occur when necessary to protect and maintain the property of the University, to render service or repairs, the health and safety of its students, or whenever necessary to aid in the basis responsibility of the University regarding discipline and maintenance of an educational atmosphere. Additionally, University officials may remove any signs, fixtures, alterations or other objects not in conformity with these Housing Rules, other rules of the institution, or applicable law.
- (7) **Disciplinary Sanctions.** Upon a determination that a student has violated any of the rules, regulations or disciplinary offenses which are set forth in these Student Housing Rules, the disciplinary sanctions listed in the Tennessee Technological University Student Disciplinary Rules, section 0240-03-06-.04(2), which is incorporated herein by reference, may be imposed, either singly or in combination, by the appropriate University officials.
- (8) **Disciplinary Procedures.** Disciplinary action against a student for violating any rule, regulation, or disciplinary offense related to student housing shall be conducted in accordance with the procedures described in the Tennessee Technological University Student Disciplinary Rule, section 0240-03-06-.05, which is incorporated herein by reference.
- (9) The University reserves the right to move a student from room to room, or floor to floor or hall to hall when it is in the best interest of the student the floor or the University.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261 effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed June 28, 2005; effective October 28, 2005.

0240-04-06-.03 RESIDENT RESPONSIBILITIES.

- (1) The University does not maintain insurance on any personal property of students, and all personal property of students on the premises should be at the risk of the students. Therefore, all students are encouraged to obtain personal property insurance, either from parents or an independent insurance agent.
- (2) All students who occupy any student residence unit shall maintain the unit in the same condition and repair as accepted at the commencement of the period of occupancy; and upon termination of such occupancy, shall surrender the premises in the same condition and repair, ordinary wear and tear excepted. No student may make any alterations, additions, or improvements to a student residence unit without the written consent of the Office of Residential Life.
- (3) Each student who occupies any student resident unit agrees to pay the University, immediately upon demand, for any and all damages to the unit, including but not limited to damages to exterior or interior walls, ceilings, floors, windows, doors, locks, hardware, plumbing fixtures, cabinets, shrubbery, lawn, appliances, fixtures, and furnishings of the unit and its surrounding premises, if such damage is caused by any act or failure to act by the student or guests or invites of the student.

(Rule 0240-04-06-.03, continued)

- (4) Failure to check out of the student residence unit by signing the room inventory sheet will result in a charge to the student's account.
- (5) Students in student residence units or apartments may be assessed on a pro-rata basis for damages in public areas or other common areas within or around the facility in which they reside, either by floor or area or by the entire facility, following a hearing by the Director of Residential Life or other appropriate officials of the University. Students must be notified in advance of this mass assessment.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261 effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed August 8, 1995; effective December 29, 1995. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 8, 2003; effective February 27, 2004. Amendment filed June 28, 2005; effective October 28, 2005. Amendment filed September 20, 2007; effective January 28, 2008.

0240-04-06-.04 VISITATION.

- (1) Unless otherwise designated, Residence Hall visitation will be 11:00 am - Midnight Sunday - Thursday, and 11:00 am - 1:00 am Friday and Saturday.
- (2) Residential Life staff members will be available during the entire period of visitation, except during zone coverage, during which time housing personnel will be responsible for a specified area.
- (3) Each guest must be escorted from the lobby to the host/hostess's room and from the room back to the lobby. Guests are not to be unattended at any time inside or outside the room.
- (4) Visitation privileges require a greater responsibility to be shared. The primary responsibility for management of the total visitation program rests with the individual resident. Other assistance can be provided by the Residence Hall Association, the residence hall para-professional staff and residential life administrative/support staff.
- (5) During visitation, proper conduct and decorum are important and expected of both the host/hostess and the guest(s). A guest may be asked to leave the building and/or be prohibited from visiting if found to be violating policies, damaging property, or being a potential harm to themselves or others.

Authority: T.C.A. §4-5-226 and 49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261 effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed July 3, 1996; effective November 28, 1996. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 8, 2003; effective February 27, 2004. Stay of effective date filed February 26, 2004 by The House and Senate Government Operations Committee for paragraphs (1) through (6). The new effective date for these paragraphs is April 27, 2004. Expired by Acts of 2004, Public Chapter 838, §1(c) enacted June 7, 2004; effective June 30, 2004. Amendment filed August 11, 2004; effective December 29, 2004. Repeal and new rule filed June 28, 2005; effective October 28, 2005. Amendment filed October 29, 2009; effective March 31, 2010.

0240-04-06-.05 CONTRACT TERM AND CONDITIONS.

- (1) All student residence license/rental agreements shall be limited to a maximum term of one (1) year, but may be renewable for additional terms at the election of the University.
- (2) The term of any student residence license/rental agreement for a residence hall unit may be for any or all of the regular semesters within the academic year of the University, but shall not include any period between semesters, any holiday or vacation periods or summer periods unless otherwise designated by the University.
- (3) Assignment to or occupancy of a residence hall room does not include vacation periods but will begin and end on the dates of the semester(s) as indicated in the University catalog indicating established hall opening and closing dates. Limited student housing may be available at an additional cost between semesters and must be approved by the Director of Residential Life.
- (4) The term of any student residence license/rental agreement for an apartment unit may be for the fall or spring semester and/or summer term/period, or all of a calendar year, subject to such renewal as may be provided by the University.
- (5) The terms of any student residence license/rental agreement are not modified in any way by the verbal comments of a University employee or student.
- (6) The student residence license/rental agreement when appropriately signed and accepted by the University is for the time period specified in the license/rental agreement.
- (7) The University's acceptance of the license/rental agreement does not guarantee assignments to a particular type of accommodation or final admission to the University. Room assignment is contingent upon final admission to the University.
- (8) The student residence license/rental agreement is not valid unless an advance payment of rent is included at the time of application or this Stipulation is waived by the Director of Residential Life.
- (9) The remainder of the initial semester's payment and payment of subsequent semesters is payable at registration for classes. Payment thereof shall be a condition precedent to the student being an enrolled student for the semester. Any prorated periodic payment which is not paid on or before the tenth day after such payment is due shall be subject to a late penalty fee.
- (10) Rental for student apartment units shall be payable monthly in advance, provided that the University may require advance payment of rental for a period in excess of one (1) month. The first periodic payment shall be payable in advance of the beginning of the semester involved, and payment thereof shall be a condition precedent to the student being an enrolled student for the semester. Any monthly or periodic payment which is not paid on or before the tenth day after such payment is due shall be subject to a late penalty fee. Rental for student apartment units shall be payable monthly in advance at the Business office on the first working day of the month without formal demand being made.
- (11) The rental or fee payable for any student residence unit shall be established by the University at the beginning of any academic term, shall be subject to increase during the term of any agreement by the University at any time upon twenty (20) days notice before the beginning of the next semester in the event such an increase is approved by the Tennessee Board of Regents.

(Rule 0240-04-06-.05, continued)

- (12) In the event any occupant of a multiple occupancy residence hall unit ceases to reside in the unit for any reason the University shall have the right to reassign the remaining occupants to other student residence facility units on campus. When available, and at the student's request, a multiple occupancy student residence unit may be occupied singly at a higher rental rate for a particular semester.
- (13) In the event any student or other occupant of a student residence unit fails to comply with any terms or conditions of the student residence license/rental agreement, including the timely payment of rent, or with any rule, regulations or policy incorporated therein by reference, the University may declare the license/rental agreement terminated, and may enter and take possession of the premises after it has given notice to the student or other occupant to vacate the premises within twenty-four (24) hours.
- (14) Any student or other occupant of a student residence unit who fails to comply with any terms or conditions of the student residence license/rental agreement, or who fails to make timely payment of all rental due or for damages caused to the premises, shall be liable to the University for all expenses, including collection costs and reasonable attorney's fees, incurred by the University in the enforcement or collection of the obligation involved.
- (15) Students must occupy the student residence unit assigned by the Office of Residential Life during the time period specified by the license/rental agreement. Any change in assignment must be approved by the Office of residential Life. No student shall assign the agreement of any residence unit or sublet the unit, and any attempted assignment or sublease shall be void without the written consent of the Office of Residential Life. The University reserves the right to make all assignments and to make any assignment changes considered advisable or necessary. Furthermore, the University reserves the right to refuse an application for university student residence halls or apartments.
- (16) The University shall not be liable for any damages or injuries to any student or to the occupant of student residence facilities, or to guests or invitees of such occupants, resulting from any act or failure to act by the student or any accident occurring in or about the facility, except as authorized by and allowed pursuant to T.C.A. §9-8-301. Each student who occupies any student residence unit agrees to indemnify and hold the University harmless from and against all claims, damages or causes of action whatsoever, asserted by any person arising out of or in any way connected with the use of the premises by the student.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261 effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed October 8, 2003; effective February 27, 2004. Amendment filed October 29, 2009; effective March 31, 2010.

0240-04-06-.06 RESERVATIONS (DEPOSIT, CANCELLATION AND REFUND POLICIES).

- (1) Student Apartment Agreements.
 - (a) Any student apartment license agreement shall terminate at the discretion of the University in the event of any of the following:
 - 1. the Premises or the units are destroyed or, in the opinion of the University, unsuitable for occupancy for any reason;

(Rule 0240-04-06-.06, continued)

2. the occupant thereof ceases to remain a student in good standing during any regular term within the period of the license agreement;
 3. the student or other occupant violates any covenant, term or condition of the license agreement and any other rule or regulation incorporated into this agreement by reference; or
 4. the University gives the student or other occupant written notice of termination at least thirty (30) days prior to the date when such termination will be effective.
- (b) All Student Apartment Agreements are for six (6) months unless permission is granted by the Director of Residential Life prior to application approval.
- (c) A student may be released from this residence hall agreement and receive a refund of his/her prepayment before the effective date of the contract by submitting written notification of cancellation to the Office of Residential Life by July 1st for the fall semester and/or academic year agreements, December 1st for the spring semester only agreements, and by May 1st for the summer semester agreements for the initial semester the residence hall agreement becomes effective. Additionally, a student may be granted a release from this residence hall agreement by submitting written notification of cancellation to the Office of Residential Life prior to the first official day of hall opening for the initial semester the agreement becomes effective, or by withdrawal from the University or graduation. Releases granted after the established cancellation dates and prior to the first official day of hall opening for the initial semester the agreement becomes effective will result in a forfeiture of your prepayment. Students are advised to review current University policy requiring students to live in University housing to determine eligibility to live off-campus.
1. Written cancellation is received in the Office of Residential Life prior to the establishment of an official check-in date.
- (d) Refund of apartment rent. Refund of the apartment rent will be made under the following conditions:
1. Refunds of apartment rent after move-in will be prorated on a daily basis and a thirty (30) day notice will be waived when the student is forced to withdraw from the apartment:
 - (i) because of personal medical reasons confirmed in writing by a licensed physician; or
 - (ii) at the request of the institution for other than disciplinary reasons.
 2. Refund of rent paid in excess of thirty (30) days required notice will be at a prorated amount.
 3. A full month's refund will be made in the event of the death of the student.
- (2) Student Residence Hall Agreement
- (a) Any student residence hall license agreement shall terminate at the discretion of the University in the event of any of the following:
1. the Premises or the unit are destroyed or, in the opinion of the University, unsuitable for occupancy for any reason;

(Rule 0240-04-06-.06, continued)

2. the occupant thereof ceases to remain a student in good standing during any regular academic term within the period of the license agreement.
 3. the student or other occupant violates any covenant, term or condition of the license agreement and any other rule or regulation incorporated into this agreement by reference; or
 4. the institution gives the student or other occupant written notice of termination at least thirty (30) days prior to the date when such termination will be effective.
- (b) A student may be released from this residence hall agreement before the effective date of the agreement by submitting written notification of cancellation to the Office of Residential Life, as long as the student has not checked in to his/her room, and it is prior to the first day of classes of the initial semester of the agreement, or by withdrawing from the University. Students are advised to review current University policy requiring students to live in University housing to determine eligibility to live off campus.
- (c) A student who has met his or her residency requirement, but due to restrictions of his or her current binding license agreement is ineligible to be released, can request a buy-out. The student must have not taken possession of his or her room for the period of buy-out is being requested. Requests must be submitted in writing to the Office of Residential Life. The buy-out will be calculated at fifty percent (50%) of the current rental rate.
- (d) A student may be released from this residence hall license agreement after the effective date of the license agreement by:
1. withdrawal or graduation from the University;
 2. Leaving the University at the end of a semester to participate in one of the University's academic internship programs; or
 3. An emergency release granted by the Office of Residential Life.
- (e) Refund of advance payment. Refund of the advance payment will be made under the following conditions:
1. Written cancellation is received in the Office of Residential Life by July 1st for the fall semester and or academic year agreements, December 1st for the spring semester only agreements and by May 1st for either summer semester for the initial semester/session the residence hall license agreement becomes effective;
 2. the student is prevented from entering the University because of medical reasons confirmed in writing by a licensed physician;
 3. residence hall space is not available; or
 4. in case of the death of the student.
- (f) Refund of residence hall rent.
1. Refunds of residence hall rent after registration will be prorated on a weekly calendar basis when the student is forced to withdraw from the residence hall:

(Rule 0240-04-06-.06, continued)

- (i) because of personal medical reasons confirmed in writing by a licensed physician; or
 - (ii) at the request of the institution for other than disciplinary reasons.
2. Full refund will be made in case of death.
 3. Withdrawals from the University for other reasons, except disciplinary and medical reasons, will be subject to a policy whereby 75% of the rent will be refunded for a period of fourteen (14) calendar days beginning with and inclusive of the first official day of classes. Twenty-five percent of the rent will be refunded following expiration of the 75% period, for a period of time extending 25% of the time period covered by the term.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261 effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed July 14, 1992; effective October 28, 1992. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed July 3, 1996; effective November 28, 1996. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed August 29, 2000; effective December 29, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 8, 2003; effective February 27, 2004. Amendment filed August 11, 2004; effective December 29, 2004. Amendments filed September 20, 2007; effective January 28, 2008. Amendments filed October 29, 2009; effective March 31, 2010.

0240-04-06-.07 MISCELLANEOUS.

- (1) Appliances approved for residence hall use are television sets, computer, radios with self-contained antennas, VCR's, electric razors, irons with auto shut-off feature, coffee makers, hot air popcorn poppers, crock-pots, clocks, hair dryers, lamps, heating pads, electric blankets, approved microwave ovens, and fans are permitted in rooms provided their use does not disturb other residents and their state of repair is not a fire hazard. If an electrical problem develops and becomes persistent, the University will have no alternative but to request the removal of the item or items.
- (2) If a student owns his/her own refrigerator and/or microwave and would like to use either unit in the residence hall, the unit must be inspected and approved by a member of the Residence Hall Staff. Approved specifications will be published in the residence hall guidelines handbook that is available upon request and/or online.
- (3) In the event any student apartment unit is occupied by two (2) or more students, the unit shall be subject to the same conditions as student dormitory and residence hall units at the University.
- (4) All overnight guests of the same gender in residence halls must be registered with the residence hall staff. Length of stay is limited to one (1) day within a seven (7) day period. The roommate must be absent from the room during the guest's stay, and the roommate's consent must be obtained prior to the period of stay.
- (5) All overnight guests in student apartments must be registered with the apartments' office staff. Length of stay is limited to one (1) week per month.
- (6) Personal washer and dryer units are not authorized for individual apartment or room use.
- (7) Personal air conditioner and/or heater units are not authorized for individual apartment or room use.

(Rule 0240-04-06-.07, continued)

- (8) Weapons of any kind, including but not limited to, actual weapons, martial arts weapons, toy weapons, air guns, paint guns, knives (over 4 inches), etc., are not allowed in any campus location.
- (9) All open flame items, such as kerosene lamps, candles and incense, are prohibited in residence halls.
- (10) The construction or renting of loft beds is permitted, but must follow guidelines noted under Guidelines for Successful Living – Residential Life Policies and Procedures.
- (11) Parties of six or more people including residents are not allowed in students' residence hall rooms.
- (12) Open lobby hours are defined as 24 hours per day, seven days per week.
- (13) Bouncing of basketballs, skate boarding, use of paint pall guns, Frisbee throwing, throwing darts, roller blades, golf, use of archery equipment, water sports, playing catch or any other similar activities or games inside or in close proximity to the halls and respective parking lots are prohibited.
- (14) Cohabitation in University residence halls is not permitted.
- (15) Quiet hours for residence halls are 10:00 p.m. to 10:00 a.m. during which all noise must be contained within individual student rooms. At all other times, courtesy hours are in effect.
- (16) Smoking and other tobacco usage will be prohibited in any and all residential facilities or within fifty (50) feet of any point of entry of a residential facility on campus.

Authority: T.C.A. §49-8-203. **Administrative History:** Repeal of all rules by Public Chapter 261 effective July 1, 1983. New rule filed April 28, 1983; effective July 13, 1983. Amendment filed November 3, 1989; effective February 28, 1990. Amendment filed April 23, 1993; effective July 28, 1993. Amendment filed May 18, 1994; effective September 28, 1994. Amendment filed July 3, 1996; effective November 28, 1996. Amendment filed February 28, 2000; effective June 28, 2000. Amendment filed January 11, 2002; effective May 31, 2002. Amendment filed October 17, 2002; effective February 28, 2003. Amendment filed October 8, 2003; effective February 27, 2004. Amendment filed August 11, 2004; effective December 29, 2004. Amendment filed September 20, 2007; effective January 28, 2008. Amendments filed October 29, 2009; effective March 31, 2010.



TENNESSEE BOARD OF REGENTS

MEETING: Quarterly Board Meeting

SUBJECT: Approval of the Minutes from the March 11, 2014 Special Called Meeting of the Finance and Business Operations Committee

DATE: March 28, 2014

PRESENTER: Dale Sims

ACTION REQUIRED: Roll Call Vote

STAFF'S RECOMMENDATION: Approval

BACKGROUND INFORMATION:

The Board will review and consider for approval the minutes of the March 11, 2014 special called meeting of the Finance and Business Operations Committee which includes minutes from the March 6, 2014 Ad Hoc Committee on Capital Outlay and Capital Maintenance and mandatory and incidental fee requests which would become effective Fall 2014.

**REPORT OF THE
COMMITTEE ON FINANCE AND BUSINESS OPERATIONS
SPECIAL CALLED MEETING**

March 11, 2014

The Committee on Finance and Business Operations met in a special called session on March 11, 2014, at 1 p.m. Central Daylight Time.

A quorum was present and the meeting was called to order by Chairman Farris.

The first agenda item was the review and consideration for approval the minutes of the March 6, 2014, meeting of the Ad Hoc Committee on Capital Outlay and Capital Maintenance. Regent Thomas made a motion to approve the minutes with a second by Regent Griscom. The minutes were approved by voice vote and are included as an attachment to the official copy of this report.

The final agenda item was consideration of staff recommendations for mandatory and incidental fee requests which would become effective Fall 2014. Before calling on Vice

Chancellor Sims, Regent Farris noted that the Committee directs staff to gather and report information about the level of consultation between institutional leaders and students on proposed changes in mandatory fees. The Committee's goal is to ensure students are aware of proposed mandatory fee changes and have an opportunity to provide meaningful input prior to the submission of fee requests to the Board. The Board has not prescribed a specific method for this consultation, leaving it to presidents to design the most appropriate method given their campus culture & traditions. This year, like in past years, there are several cases where the level of student consultation appears very narrow in scope and does not appear to provide the type of meaningful consultation desired by the Board. To ensure our goal of meaningful consultation is met, the Committee needs a better understanding of the normal processes used on campuses to expose students to mandatory fee requests. With that knowledge the Committee would be in a better position to know whether we need to take any other action to achieve this goal. I am asking that staff gather and report to the Committee a description of

the procedure used on each campus to ensure student consultation on mandatory fee requests. Support for this effort was voiced by several members of the Committee.

Regent Farris then recognized Vice Chancellor Sims who summarized the items recommended by staff. After discussion among Committee members, Regent Thomas moved to approve the staff recommendations with a second by Regent Griscom. The motion passed unanimously by roll call vote. A list of the approved fees is included as an attachment to the official copy of this report.

There being no further business to come before the Committee, the meeting adjourned.

Respectfully submitted,

COMMITTEE ON FINANCE
AND BUSINESS OPERATIONS

John Farris, Chair

REPORT OF THE
AD HOC COMMITTEE ON CAPITAL OUTLAY
AND CAPITAL MAINTENANCE

March 6, 2014

The Ad Hoc Committee on Capital Outlay and Capital Maintenance met telephonically on March 6, 2013 at 2:30 p.m. A quorum was present.

Regent Farris recognized Vice Chancellor David Gregory to present the FY 2014/2015 Capital Budget Request Disclosure Amendment. Vice Chancellor Gregory stated that the Capital Budget Request is comprised of three components - capital outlay, capital maintenance and disclosed projects. He stated that the TBR institutions are given a second opportunity in March to provide disclosed projects as an amendment to the 2014/2015 Capital Budget Request that was approved at the September 2013 Board meeting. He explained that disclosed projects are not ranked and these are projects that are funded by other sources including plant funds, gifts, grants, student fees, and TSSBA funding. A list of

disclosed projects is provided each year to give Board and legislative members a “heads up” of projects that the institutions may want to accomplish in the next year. Vice Chancellor Gregory also stated that the projects in the disclosure amendment are submitted prior to the State budget being approved and would ordinarily be included as an amendment to the budget.

Vice Chancellor asked Executive Director Dick Tracy to discuss some of the larger projects listed on the disclosure list. Mr. Tracy stated that the 2014/2015 Capital Budget Request had a list of seventeen (17) disclosed projects in the amount of \$30,690,000. The disclosure amendment has fifty-nine (59) projects in the amount of \$284,905,000. Mr. Tracy also stated that the last eight (8) projects listed on the disclosure amendment will require funding with TSSBA funds and some of these projects would require an increase in student fees to repay the debt service.

There was a discussion on projects being funded using institutional plant funds. Vice Chancellor Dale Sims advised the Committee that he would prepare a report to explain plant funds and

how funds are accumulated into this source of funding. He also addressed a question from Regent Duckett regarding the UoM's projects that required student fee increases and the support of the UoM's leadership. Vice Chancellor Sims reported that the UoM's commitment to fund projects requiring fee increases was signed by the VP for Finance and that the TBR would circle back with the institution to ensure the interim president's position and commitment for the fee increases.

A motion was made by Regent Duckett to approve amending the FY 2014-2015 Capital Budget Request to include the Disclosure Amendment as presented subject to verification of UoM's leadership commitment to increased student fees for their proposed disclosed projects. The motion was seconded by Regent Thomas. A roll call vote was taken and the report was approved unanimously.

Regent Farris recognized Vice Chancellor David Gregory again to present three informational items. Mr. Gregory advised the Committee that TBR received a recommendation for funding the first two capital outlay projects, Volunteer State Community

College's Humanities Building and Columbia State Community College's Williamson County Center Relocation, and TBR is recommended to receive funding for 20 capital maintenance projects totaling \$22,560,000.

Vice Chancellor Gregory also advised that he anticipated that TSU may request a project substitution for their existing Library Addition and Renovation project on the capital outlay list. Currently, TSU's master plan is in process and will help determine the most current priority of the institution.

Vice Chancellor Gregory also advised the Committee that the TCAT master plan is in progress and is scheduled to be presented at the June Board meeting.

There was no other business to come before the Committee and the meeting was adjourned at 3:00 p.m.

Respectfully submitted,

AD HOC COMMITTEE ON CAPITAL
OUTLAY AND CAPITAL MAINTENANCE

John Farris, Chairman



TENNESSEE BOARD OF REGENTS

MEETING:	Quarterly Board Meeting
SUBJECT:	Additional Recommendations on Mandatory & Incidental Fees
DATE:	March 28, 2014
PRESENTER:	Dale Sims
ACTION REQUIRED:	Roll Call Vote
STAFF'S RECOMMENDATION:	Approval

BACKGROUND INFORMATION:

At the March 11, 2014 special called meeting of the Finance and Business Operations Committee staff recommended deferring action on several fee requests until additional information was obtained. At this time, staff has developed recommendations on the following two deferred items:

- ChSCC Reclassify application fee from non-mandatory to mandatory
- WSCC Establish Enrollment Services

Both of the above requests envisioned eliminating application fees based on the belief that the existence of these fees was a barrier to prospective students applying for admission at community colleges. Both also requested that revenue lost from elimination of application fees be replaced by either increases in existing fees or creation of a new fee type. During their first meeting, members of the Committee on Finance and Business Operations expressed concern that the current proposals took different approaches to replacing the revenue lost from such an action. If elimination of these fees was pursued, the Committee desired that a uniform approach be taken in replacing lost funds. During this time, staff was made aware of a desire from additional community colleges to take this same action. Based on these circumstances, Dr. Nichols was ask to work with the community college presidents to establish a uniform method for replacing lost application fee revenues, a model that would be used by any institution that requested this action now or in the future. After multiple discussions, it is recommended by Dr. Nichols and the community college presidents that institutions requesting to eliminate application fees be permitted to do so and replace lost revenues with an increase in campus access fees. **Attachment A** presents institutions requesting the elimination of application fees together with the increase in campus access fees required to offset the loss of application fee revenues.

Staff continues to work with institutions on several other proposals and will submit those to the Board at a later date.

Campus Access Fee

Institution	Application Fee Revenue (1)	Current Fee	Proposed Fee Increase	Total Proposed Fee	Revenue Generated (2)
Chattanooga State	\$ 133,000	\$9 hr, max at 5 hr	1.40 hr max at 5 hr	10.40 hr, max at 5	\$ 133,000
Cleveland State	\$ 42,000	\$ 5	\$ 7	\$ 12	\$ 42,952
Columbia State	\$ -	\$ -	\$ -	\$ -	\$ -
Dyersburg State	\$ 26,500	\$ 15	\$ 4	\$ 19	\$ 25,700
Jackson State	\$ 28,200	\$ 12	\$ 4	\$ 16	\$ 33,100
Motlow State	\$ -	\$ -	\$ -	\$ -	\$ -
Nashville State	\$ -	\$ -	\$ -	\$ -	\$ -
Northeast State	\$ 40,000	\$ 5	\$ 3	\$ 8	\$ 42,000
Pellissippi State	\$ 200,000	\$ 5	\$ 8	\$ 13	\$ 200,000
Roane State	\$ 110,475	\$ 7	\$ 9	\$ 16	\$ 111,500
Southwest	\$ -	\$ -	\$ -	\$ -	\$ -
Volunteer State	\$ -	\$ -	\$ -	\$ -	\$ -
Walters State	\$ 61,700	\$ 7	\$ 4.50	\$ 11.50	\$ 62,600

(1) October Revised Budget FY 2013-14

(2) Revenue amounts computed by TBR staff.



TENNESSEE BOARD OF REGENTS

MEETING: March Quarterly Board Meeting

SUBJECT: Approval of the Agreement Between Volunteer State Community College and Nashville State Community College Regarding Primary Service Areas

DATE: March 28, 2014

PRESENTER: Vice Chancellor Warren Nichols

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approve

BACKGROUND INFORMATION:

On March 26, 1999, the Tennessee Board of Regents established Primary and Extended Service Areas for Volunteer State Community College and Nashville State Community College.

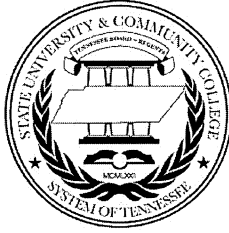
In July 2007, Volunteer State Community College (VSCC) and Nashville State Community College (NSCC) reached an agreement regarding conducting certain operations within their respective Primary Service Areas entitled "Revised Services Area Agreement for Volunteer State Community College and Nashville State Technical Community College" (the 2007 Agreement).

In recognition of changes in circumstances since the 2007 Agreement, the parties now wish to terminate that agreement and enter a new agreement concerning certain operations inside each other's Primary Service Area.

The primary changes between the July 2007 Agreement and the proposed 2014 Agreement are:

- The elimination of program restrictions currently in place.
- Permit either college, within current TBR policies and procedures, to create, develop, or occupy a community college site, center, or campus within their respective Primary Service Areas without objection from the other.

Attached are copies of the 2007 Service Agreement and the Proposed 2014 Service Agreement.



TENNESSEE BOARD OF REGENTS

AGREEMENT BETWEEN VOLUNTEER STATE COMMUNITY COLLEGE AND NASHVILLE STATE COMMUNITY COLLEGE REGARDING PRIMARY SERVICE AREAS

Background

On March 26, 1999, the Tennessee Board of Regents established Primary and Extended Service Areas for Volunteer State Community College and Nashville State Community Colleges.

In July 2007, Volunteer State Community College (VSCC) and Nashville State Community College (NSCC) reached an agreement regarding conducting certain operations within their respective Primary Service Areas entitled “Revised Services Area Agreement for Volunteer State Community College and Nashville State Technical Community College” (the 2007 Agreement).

In recognition of changes in circumstances since the 2007 Agreement, the parties now wish to terminate that agreement and enter a new agreement concerning certain operations inside each other’s Primary Service Area.

Agreement

1. **Termination of Prior Agreement.** The 2007 Agreement is terminated effective upon the approval of this agreement by the Board of Regents.
2. **Primary Service Areas.**
 - a. The Primary Service Area of NSCC includes the counties of Cheatham, Dickson, Houston, Humphreys, Montgomery and Stewart counties plus that area of Davidson County southwest of a line extending along White’s Creek Pike (U.S. 431) from the Robertson County line southeast to Briley Parkway and then east and south along Briley Parkway to Lebanon Pike (U.S. 70) and east to Wilson County.
 - b. The Primary Service Area of VSCC includes the counties of Robertson, Sumner, Wilson, Trousdale, Macon, Smith, Jackson, Clay, Putnam, Overton, Pickett, and that

portion of Davidson County that is northeast of a line extending along White's Creek Pike (U.S. 431) from the Robertson County line southeast to Briley Parkway and then east and south along Briley Parkway to Lebanon Pike (U.S. 70) and east to Wilson County.

- c. Each party may, within current TBR policies and procedures, create, develop, or occupy a community college site, center, or campus within their respective Primary Service Areas without objection from the other.
3. **Metro Davidson County Schools.** Partnerships with Metro Nashville-Davidson County schools shall follow Primary Service Area lines except Metro schools may request to partner across service areas based on the career programs offered at specific schools.
4. **Business/Industry Training.** Credit and non-credit training delivered to business/industry will be subject to current policies regarding Primary Service Areas. Neither institution will market its services to specific companies outside of its Primary Service Area.
5. **Humphreys County Center for Higher Education.** NSCC shall assume responsibility as lead institution for the Humphreys County Center for Higher Education in Waverly. NSCC shall ensure continuation of an appropriate level of service to the population served by the Center.
6. **Cookeville Advanced Technology Center.** NSCC shall retain responsibility for the Cookeville Advanced Technology Center (the Center).
 - a. NSCC will contract with Tennessee Technological University (TTU) for maintenance and upkeep of the Center's facility.
 - b. Through the Center, NSCC will offer Engineering Technology and other technical certificates and A.A.S. degrees needed to service area business and industry and the general population. This includes the general education courses required for these technical programs, consistent with the current agreements and limitations.
 - c. NSCC will not offer the A.A. or A. S. degrees in Cookeville.
 - d. NSCC will continue to serve as the lead institution for programming in the Center.
 - e. NSCC will be responsible for programming decisions at the Center, giving paramount consideration to the training needs of the Cookeville community.
 - i. An Advisory Committee chaired by the Center Director and including broad community representation will advise the Center Director on curriculum, recruitment, etc.
 - ii. A Program Administration Committee, chaired by the Center Director and including representatives from VSCC, TTU and the TTC-Livingston will recommend programming to the Center Director.
 - iii. The final decisions regarding programming at the Center shall be made by NSCC, subject to the applicable TBR Policies and Guidelines.

7. **Effective Date and Term.** This agreement shall be effective upon the date it is approved by the Board of Regents and shall remain in effect until it is terminated by the mutual agreement of the parties or by action of the Board of Regents.

APPROVED AND AGREED TO BY:

NASHVILLE STATE COMMUNITY COLLEGE

VOLUNTEER STATE COMMUNITY COLLEGE

By: _____
Dr. George Van Allen Date
President

By: _____
Dr. Jerry Faulkner Date
President

TENNESSEE BOARD OF REGENTS

By: _____
Dr. Warren Nichols Date
Vice-Chancellor for Community Colleges

By: _____
Chancellor John G. Morgan Date

TENNESSEE BOARD OF REGENTS
REVISED SERVICE AREA AGREEMENT FOR VOLUNTEER STATE COMMUNITY COLLEGE
AND NASHVILLE STATE TECHNICAL COMMUNITY COLLEGE

Background

A high level of sensitivity surrounds the issue of an institution's primary service area and any changes in service area can disrupt the work of the institution and its ability to meet the needs of the population it serves. A decision concerning the primary and extended service areas of the proposed Nashville State Technical Community College (NSCC) and Volunteer State Community College (VSCC) therefore requires thoughtful examination and discussion. This proposal focuses on the goal of expanding the current mission of Nashville State Technical Community College (NSCC) to include transfer degrees. It is based on the principles of:

- Delivering high quality higher education programs and services efficiently, minimizing duplication of expensive and low-enrollment programs.
- Clarifying geographic areas of responsibility for business/industry training and for public school partnerships.
- Recognizing that the two institutions serve a single metropolitan area and common media market.
- Protecting the current financial interests of both Nashville State Technical Community College and Volunteer State Community College.
- Maintaining TBR's authority to establish the service areas of its institutions.

Primary Service Areas

- The Primary Service Areas of both VSCC and NSCC will remain unchanged following expansion of the NSCC mission.

The primary service area of Nashville State Technical Community College includes the counties of Cheatham, Dickson, Houston, Humphreys, Montgomery, and Stewart counties plus that area of Davidson County southwest of a line extending along Whites Creek Pike (U.S. 431) from the Robertson County line southeast to Briley Parkway and then east and south along Briley Parkway to Lebanon Pike (U.S. 70) and east to Wilson County.

The primary service area of Volunteer State Community College includes that portion of Davidson County that is northeast of a line extending along Whites Creek Pike (U.S. 431) from the Robertson County line southeast to Briley Parkway and then east and south along Briley Parkway to Lebanon Pike (U.S. 70) and east to Wilson County.

- Responsibility for partnerships with Metro-Davidson County schools will follow Primary Service Area lines. However, Metro schools may initiate relationships with either institution based on the career programs offered at specific schools.
- Credit and noncredit training delivered to business/industry will be subject to current policies regarding service areas. Neither institution will market its services to specific companies outside of their Primary Service Area.

Extended Service Areas

Program restrictions between Nashville State Technical Community College and Volunteer State Community College will be voided, with the following exceptions:

- **Allied Health programs currently offered at the respective institutions may continue without duplication throughout the combined Primary Service Areas of both institutions.**
- **Fire Science and Paramedic and Emergency Medical Services programs offered at VSCC may continue without duplication throughout the combined Primary Service Areas of both institutions.**
- **Computer Networking Technology Program (CISCO) offered at Nashville State Technical Community College may continue without duplication throughout the combined Primary Service Areas of both institutions.**

The domiciled institution will offer all general education courses required by students enrolled in these programs.

- NSCC will assume responsibility as lead institution for the Humphreys County Center for Higher Education in Waverly. NSCC will ensure continuation of an appropriate level of service to the population served through the Center.
- Putnam County remains part of the VSCC Primary Service Area. However, NSCC will retain responsibility for the Advanced Technology Center in Cookeville. Following the opening of the Center in fall 2002:
 - Tennessee Technological University will be the custodian of the building and will contract with NSCC to provide maintenance and upkeep of the physical facility.
 - NSCC will offer Engineering Technology and other technical certificates and A.A.S. degrees needed to serve area business/industry and the general population. This includes the general education courses required for these technical programs, consistent with the current agreements and limitations.
 - NSCC will not offer the A.A. or A.S. degree in Cookeville.
 - NSCC will continue to serve as the lead institution for programming in the Cookeville Advanced Technology Center for a period of at least five years.

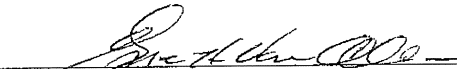
NSCC will have responsibility for programming decisions in the building and the training needs of the Cookeville community will be paramount in making program decisions.

An **Advisory Committee** chaired by the Center Director and including broad community representation will advise the Center Director on curriculum, recruitment, and other issues germane to the Center.

A **Program Administration Committee** chaired by the Center Director and including representatives from VSCC, TTU, and the TTC-Livingston will recommend programming to the Center Director if there is space available in the facility.

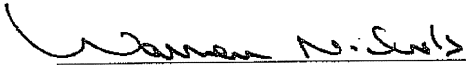
Revised 6/2007

We the undersigned agree to fully support the position on this issue as approved by the Tennessee Board of Regents at the June 2007 quarterly meeting.



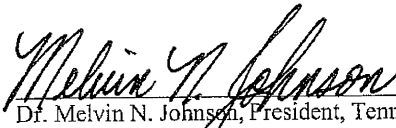
Dr. George Van Allen, President
Nashville State Technical Community College

7/27/07
Date



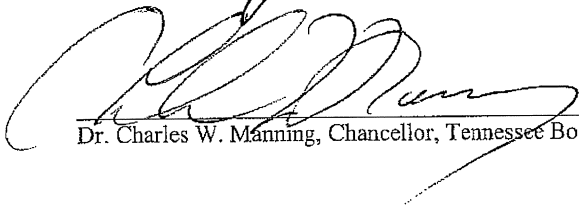
Dr. Warren Nichols, President, Volunteer State Community College

7/30/07
Date



Dr. Melvin N. Johnson, President, Tennessee State University

7-30-07
Date



Dr. Charles W. Manning, Chancellor, Tennessee Board of Regents

7/29/08 approved
Date
The Tennessee Board of
Regents June, 2007



TENNESSEE BOARD OF REGENTS

MEETING: TBR Quarterly Meeting

SUBJECT: Pellissippi State Community College
Naming of an existing Building

DATE: March 28, 2014

PRESENTER: Chancellor John G. Morgan

ACTION REQUIRED: Voice Vote

STAFF'S RECOMMENDATION: Approve

BACKGROUND INFORMATION:

On January 21, 2014, Dr. Anthony Wise, President of Pellissippi State Community College, submitted a request to name the Strawberry Plains Campus building the "Jenny and Randy Boyd Building."

Jenny and Randy Boyd are great supporters of Pellissippi State Community College. They have made major contributions exceeding \$1 million to the new East Knox County campus. In addition to the work Randy has done with the KnoxAchieves program, a program designed to increase access to the community colleges serving the Knoxville area, he is also the largest donor of the TNAchieves program that has been modeled after the KnoxAchieves program. Truly the Boyd's have a passion for supporting higher education not only in the Knoxville area, but all across the state of Tennessee.

The Pellissippi State Community College naming committee met on November 7, 2013. They voted to approve this naming and the request is in compliance with TBR Policy 4:02:05:01 - Naming Buildings and Facilities and Building Plaques.



TENNESSEE BOARD OF REGENTS

Office of the Chancellor

1415 Murfreesboro Road, Suite 340 | Nashville, TN 37217-2833 | Phone 615.366.4403 | Fax 615.366.3922 | www.tbr.edu

February 18, 2014

Dr. L. Anthony Wise, President
Pellissippi State Community College
10915 Hardin Valley Road
P.O. Box 22990
Knoxville, TN 37933-0990

Dear President Wise:

This letter is to confirm receipt of your January 21, 2014, request that the Strawberry Plains Campus building be named the "Jenny and Randy Boyd Building." This item will be placed on the agenda for the March 28th Board meeting under New Business.

Sincerely,

John G. Morgan
Chancellor

jgm/kf

C: Dr. Mike North
Dean, Campus of Strawberry Plains



Tennessee Board of Regents

1415 Murfreesboro Road – Suite 664 – Nashville, Tennessee 37217-2833
Telephone (615) 366-4430 FAX (615) 366-0784

MEMORANDUM

TO: Chancellor John Morgan

FROM: Vice Chancellor David Gregory *DG*

SUBJECT: Pellissippi State Community College Building Naming

DATE: February 18, 2014

On January 21, 2014, Dr. Anthony Wise, President of Pellissippi State Community College, submitted a request to name the Strawberry Plains Campus building the “Jenny and Randy Boyd Building.” This was submitted in accordance with the TBR Policy 4:02:05:01 Naming Buildings and Facilities and Building Plaques. Enclosed you will find the report of the naming committee along with a copy of Dr. Wise’s recommendation.

Jenny and Randy Boyd are great supporters of Pellissippi State Community College. They have made major contributions exceeding \$1 million to the new East Knox County campus. In addition to the work Randy has done with the KnoxAchieves program, a program designed to increase access to the community colleges serving the Knoxville area, he is also the largest donor of the TNAchieves program that has been modeled after the KnoxAchieves program. Truly the Boyd’s have a passion for supporting higher education not only in the Knoxville area, but all across the state of Tennessee.

The naming committee met and approved this naming on November 7, 2013. The request is in compliance with TBR Policy 4:02:05:01, Naming Buildings and Facilities and Building Plaques.

It is my recommendation to you that this request be approved and placed on the March quarterly board agenda for further consideration.

Attachments

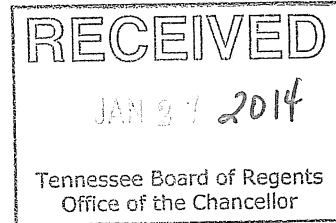


**PELLISSIPPI STATE
COMMUNITY COLLEGE**

OFFICE OF THE PRESIDENT

January 21, 2014

Chancellor John Morgan
Tennessee Board of Regents
1415 Murfreesboro Road, Suite 350
Nashville, TN 37217-2833



Dear Chancellor Morgan:

It is my pleasure to recommend to you and the Tennessee Board of Regents that we name the Strawberry Plains Campus building of Pellissippi State Community College the "Jenny and Randy Boyd Building." In accordance with Pellissippi State and Tennessee Board of Regents policy, this request is made upon the recommendation of the Pellissippi State Strawberry Plains Campus building naming committee.

Randy Boyd is the Chairman, CEO, majority shareholder and founder of Radio Systems Corporation which was established in 1991. Radio Systems is headquartered in Knoxville and has over 600 associates worldwide. The company produces more than 4,000 technology based pet products under brand names such as Invisible Fence, PetSafe, SportDOG, and Premier.

Randy and Jenny Boyd's financial contribution to the Pellissippi State Foundation has exceeded \$1 million. The Boyds made the contribution to our new East Knox County campus because they saw the potential to re-purpose a long-unused facility and to improve access to educational opportunities for thousands of students. The Boyds say their hope is the donation will not only allow more students to further their education, but also encourage others in the community to support the expansion of educational opportunities for citizens of East Tennessee. While this level of financial support is impressive, Randy's passion for community colleges and education in general never ceases to amaze me.

Another example of this passion is his participation in TnAchieves. TnAchieves began as KnoxAchieves in 2008 as an initiative to increase access to the community colleges serving the greater Knoxville region. Because of its success, KnoxAchieves was charged with the task of expanding the program statewide. TnAchieves is a last dollar scholarship and mentoring program designed to provide an opportunity for Tennessee public high school graduates to receive up to \$3,000 annually for community college tuition. Randy is not only TnAchieves' largest donor; he chairs its board and travels extensively throughout the state to secure additional donations to underwrite its expansion.

I am enclosing the letter of recommendation from the chair of the committee and a copy of the TBR policy 4:02:05:01 Naming Buildings and Facilities and Building Plaques. Please contact me if you need additional information.

Sincerely,

L. Anthony Wise, Jr.
President

TO: Dr. Anthony Wise, President, Pellissippi State Community College
FROM: Dr. Mike North, Campus Dean-Strawberry Plains
DATE: November 7, 2013
RE: Naming Committee – Strawberry Plains Campus Building

The naming committee for the Strawberry Plains Campus building met on Thursday, November 7, 2013 at 2:00 p.m. Members present included:

Catherine Adaska - Staff
Ashley Lawhorn - Student
Candice Dendy - Faculty
Terry Gibson – Faculty
Mike North, Staff

The meeting was convened by Mike North. The committee reviewed the Tennessee Board of Regents policy 4-02-05-01 (Naming Buildings and Facilities & Building Places). We discussed a recommendation for the naming of the Strawberry Plains Campus building, documented the suggestions that were made during the meeting, and provided justification for the building name.

It is recommended by the committee by the way of a unanimous vote that the Strawberry Plains Campus building be named the Jenny and Randy Boyd building.

Finally, with regard to justification for Mr. and Mrs. Boyd, their significant monetary contribution to Pellissippi State and their support for higher education in Knoxville as well as the state of Tennessee are examples of why the Strawberry Plains Campus building should be named after the Boyds.

Thank you for the opportunity to serve Pellissippi State.