

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
APRIL 2018 MEETING

1:00-3:30pm EST
Friday
April 27, 2018

East Tennessee Room
D.P. Culp University Center
412 J.L. Seehorn Road
Johnson City, TN

ORDER OF BUSINESS

- I. Call to Order
- II. Roll Call
- III. [Approval of the Minutes of February 23, 2018](#) Tab 1
- IV. [Consent Agenda \(5 minutes\)](#) Tab 2
 - A. [Minutes from the February 23, 2018 and March 29, 2018 Finance and Administration Committee](#)
 - B. [Minutes from the February 23, 2018 Academic and Student Affairs Committee](#)
 - C. [Minutes from the February 23, 2018 Audit Committee](#)
 - D. [Policies from the Academic and Student Affairs Committee](#)
 - E. [Policies from the Finance and Administration Committee](#)
 - F. [President Emeritus Report and Continuation](#)
 - G. [Capital Projects](#)
- V. [Student Trustee Selection Policy \(5 minutes\)](#) Tab 3
- VI. [Selection of the Student Trustee \(5 minutes\)](#)
- VII. [Resolution for Trustee Farnor \(5 minutes\)](#)
- VIII. [Report from the Finance and Administration Committee \(20 minutes\)](#) Tab 4
 - A. [2018-19 Salary Increase Proposal](#)
 - B. [Tuition and Fees 2018-19](#)
 - C. [Approval of the University Budget 2018-19](#)
- IX. [Report from the Academic and Student Affairs Committee \(20 minutes\)](#) Tab 5
 - A. [Promotion and Tenure of Faculty Members](#)
 - B. [Bachelor of Science in Rehabilitative Health Sciences](#)
 - C. [Renaming of the Clemmer College of Education](#)
 - D. [Use of Campus Property and Facilities Policy](#)
- X. [Report from the Audit Committee \(5 minutes\)](#)

- XI. [Adobe Partnership](#) (10 minutes)..... Tab 6
- XII. President’s Report (30 minutes)
- XIII. Other Business
- XIV. Executive Session
 - A. Discuss pending legal action (if necessary)
- XV. Adjournment

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018
ITEM: Approval of the Minutes of February 23, 2018
RECOMMENDED ACTION: Approve
PRESENTED BY: Nathan Dugger, Deputy Secretary

MOTION: I move that the Board of Trustees approve the Minutes of the February 23, 2018 Board of Trustees meeting as outlined in the meeting materials

RESOLVED: The reading of the minutes of the February 23, 2018 meeting of the Board of Trustees is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

MINUTES

February 23, 2018
Johnson City, Tennessee

The quarterly meeting of the East Tennessee State University Board of Trustees was held at 1:15 p.m. on Friday, February 23, 2018, in the East Tennessee Room of the D.P. Culp University Center on ETSU's main campus in Johnson City, Tennessee. The meeting was also livestreamed for those who could not be in attendance.

I. Call to Order

Chair Scott Niswonger called the meeting to order.

In his opening remarks, Chair Niswonger welcomed everyone to the fifth meeting of the ETSU Board of Trustees. Chair Niswonger also noted that new student enrollment has increased by 10 percent while the university also realized the highest freshman retention rate in its history. Applications for the Fall 2018 semester are encouraging, with significant increases in transfer applications, he said. He noted that ETSU put forth a significant effort to have enrolled 357 Tennessee Promise students in Fall 2017. He said it demonstrates willingness to partner with other institutions and a commitment to student success. Next, Chair Niswonger recognized faculty and staff working at ETSU's Olympic Training Site, which opened at ETSU in 2012. Six athletes who have trained at the site were currently in South Korea competing in the Olympics, he said.

II. Roll Call

Secretary David Linville called the roll, and the following Trustees were in attendance:

Fred Alsop
Janet Ayers
Nathan Farnor
David Golden
Dorothy Grisham
Linda Latimer
Scott Niswonger
Jim Powell
Ron Ramsey

Following the official roll call, Chair Niswonger presented an agenda amendment to include on the agenda a report of the Executive Committee and to ratify a decision that committee would be putting forth. Trustee Powell made a motion to amend the agenda as proposed. Trustee Ayers seconded the motion, which unanimously passed. The item became the new Item VIII on the agenda.

III. Approval of the Minutes of November 10, 2017

Trustee Grisham made a motion to accept the minutes of the November 10, 2017, Board of Trustees meeting. It was seconded by Trustee Ramsey and unanimously approved.

IV. Consent Agenda

Items included on the consent agenda are:

- A. Minutes from the Nov. 10, 2017, Finance and Administration Committee
- B. Minutes from the Nov. 10, 2017, Academic and Student Affairs Committee
- C. Minutes from the Nov. 10, 2017, Audit Committee
- D. Policies from the Finance and Administration Committee
- E. Policies from the Academic and Student Affairs Committee

Chair Niswonger asked if there were any items that any trustee wanted to pull for separate consideration. There were none. Trustee Alsop made a motion for the adoption of the consent agenda. It was seconded by Trustee Latimer and unanimously approved.

V. Report from the Finance and Administration Committee

With Committee Chair Steve DeCarlo absent, Trustee Ramsey presented the report noting three items:

- (1) Approval of the anti-nepotism policy to send to full Board of Trustees;
- (2) Discussion of salaries and fee increases related to the budget process (contingent on the governor's budget passing and the Tennessee Higher Education Commission's binding limit); and
- (3) Reviewed quarterly reports of agreements over \$250,000

VI. Report from the Academic and Student Affairs Committee

Committee Chair Latimer reported that the committee approved a number of items that were in the full board's consent agenda, heard a number of informational items on topics such as quality assurance and had a very robust discussion about research opportunities related to the merger. Additionally, one of the action items regarding a tenure appointment would be heard by the full board shortly, she said.

VII. Report from the Audit Committee

Committee Chair Golden reported that the Audit Committee met that morning and reviewed audit services rendered. He noted that the audit plan is on schedule with a slight modification. He also noted that the committee was briefed on an investigation into a Parking Services issue in which \$1,325 was stolen by an attendant entering false data into the system. The committee also reviewed the recommendation log provided by Internal Audit.

VIII. Executive Committee Report

Chair Niswonger explained that the Board of Trustees had received an appeal from a tenured faculty member who was dismissed on June 8, 2017. He said the petition for an appeal went to the Executive Committee, which addressed it during an executive session on Aug. 1, 2017. After that meeting, committee members requested additional information from both the university and the faculty member appealing the dismissal. The Executive Committee then met again on February 21, 2018, to further discuss the issue. At that time, the Executive Committee members voted unanimously to deny the petition for appeal. Chair Niswonger explained neither a motion nor a second are required by the full board, but the full board must ratify the Executive Committee's decision. Prior to taking a voice vote, Chair Niswonger asked if anyone wished to abstain from the vote. Trustee Alsop said he wished to abstain. All of the other trustees voted in favor of ratifying the Executive Committee's decision.

IX. Tenure Appointment with the Rank of Professor in the Department of Educational Leadership and Policy Analysis (Dr. Brian Noland)

Dr. Bert Bach presented the agenda item, noting that ETSU policy stipulates recommendations for or against tenure come from the department for which the individual is assigned. He said the recommendation to grant tenure to Dr. Brian Noland emerged from the ELPA department in a letter from Dr. Bill Flora and was also recommended by the dean. The recommendation received a unanimous vote of active department members in support of Dr. Noland receiving tenure. Supporters cited his experience and his work in the department as well as his membership on regional, statewide and national professional organizations. The Board of Trustees policy enumerates a number of steps candidates for tenure must normally meet (including time in rank and time for full-time teaching), however there have been a number of precedents in which tenure has been awarded without those things for individuals with a distinctively strong resume. Dr. Bach said the recommendation also has his support and noted that Dr. Noland was not aware of the proposal until he had told him it was forthcoming. A motion was not required. All trustees voted unanimously in a voice vote to approve the tenure and rank of Dr. Noland. Following the vote, Dr. Noland thanked them for the honor, noting that it is a dream for many to be elevated to the rank of professor.

X. Schedule for Future Board of Trustees Meetings

Secretary Linville told trustees that the calendar has been set through April 27, 2018, but needed to be agreed upon past that. He said the proposed dates provided in the meeting materials were based on the ability to coordinate with trustees' schedules. Trustee Alsop made a motion to accept the schedule as proposed. It was seconded by Trustee Latimer and unanimously approved.

XI. Impact of Tennessee Promise

Dr. Mike Hoff provided an overall review of the features of Tennessee Promise, noting it is a last dollar scholarship program that offers tuition-free assistance with five semesters of eligibility. The program also provides participants with mentors that impact completion abilities. Participants have to be recent high school graduates and must be enrolled full

time. They must complete eight hours of community service per semester and also maintain satisfactory academic practice.

In sharing additional slides, Dr. Hoff showed that students are not being weeded out through the steps of Tennessee Promise, which is a good thing. He also noted that Tennessee is leading the nation in FAFSA applications and pointed out that the bulk of students dropping out of ETSU are non-Promise students. The university's dropped out/stopped out rate improved by 4 percent in a single Tennessee Promise cohort, which is also impressive, Dr. Hoff said.

According to Dr. Hoff's data, 59 students who started at community college in Fall of 2015 enrolled at ETSU in Fall 2016. Of those, 81 percent were retained into Fall 2017. A total of 311 Tennessee Promise students from 2015 enrolled at ETSU in Fall 2017. An additional 46 Promise students enrolled in Fall 2017 and, that same semester, a total of 357 enrolled at ETSU from the Fall 2016 cohort. Promise students are, for the most part, enrolling after the second year at community college. That is important because it speaks to credit accumulation, which, in studies, is the one thing that, once a student starts college, determines whether they are going to make it, according to Dr. Hoff.

The average age of a Tennessee Promise student at ETSU is 19.8 years. Fifty-five percent are female; 92.7 percent are white and 97 percent are attending full time. The most common majors include pre-programs, psychology, social work, computer science and more. Fifty-four percent come from Sullivan, Washington, Knox, Hamblen and Hawkins counties. In terms of what institutions they come from, 68 percent come from one of the following schools: Northeast State, Walters State, Mississippi State or Roane State. Now, Dr. Hoff said, the institution needs to reach from a little bit farther away.

In summary, Dr. Hoff said Tennessee Promise is having a positive impact on students' persistence, but he noted that more needs to be done regarding the diversity of incoming Tennessee Promise cohorts. He also noted that ETSU has been able to support those Promise students seeking a four-year degree and that these students tend to enroll full time.

XII. President's Report

Dr. Noland noted that the April meeting of the Board of Trustees will have different dynamics as the trustees work to approve items including tuition, fees, tenure and promotion. He said a lot of things are going on across the campus and he welcomed members' thoughts on building communication and engagement between the board and the institution. He made note of continuing plans to schedule a formal retreat.

Next, Dr. Noland addressed the discussion that occurred earlier that day in the Academic and Student Affairs Committee regarding the structure of research at ETSU. He called it a "critical time" at ETSU, noting that timeframes are tight and work around the merger is occurring at a rapid pace. He said ETSU is ready to move at that pace, but said

communication goes two ways. He said things are a little chaotic at Ballad and believes ETSU could benefit from the chance to frame a vision together. He said leadership will provide deliverables to the Board that outline the vision for the institution as it relates to research. He called it a “once in a generation opportunity” for funds upwards of \$80-100 million to flow to the institution and its faculty and staff to address public health issues in this region.

Dr. Noland then turned his attention to providing a construction update for the trustees, telling them that the April meeting of the Board of Trustees will be the last to take place in the East Tennessee Room because it will cease to exist after that with the renovation project at the Culp Center set to begin. He also noted that the last academic building built on the campus was constructed more than 20 years ago, and the last academic classroom building that opened on campus was the Mini-Dome. He said a lot of “making up” would be done in the next two years. Lamb Hall will be renovated and an addition constructed. That process is in the design phase. Last fall, ETSU broke ground on the Martin Arts Center, which will open next year. Renovations to the Culp include the relocation of more than 200 people who work inside the Culp Center. He commended the staff for keeping first the goal of serving students throughout that process of determining where to locate. In terms of the Millennium Centre, Dr. Noland said we remain in active conversations with the city and that work is being led on our end by Dr. David Collins in a consultant capacity. He said the hope is to move the university’s computer science program there. Dr. Noland added that Building 60 on the VA campus will be completed this summer. In total, there is \$250 million in capital construction going on at ETSU, the largest volume of construction to move through at one time in the history of the university.

Next, Dr. Noland provided an update on fraternities moving to campus. He said leadership is working to put a plan together to present to the Board of Trustees that presents the opportunity to move fraternities to campus. It’s a proposal he believes will strengthen the Greek system and university as a whole.

Dr. Noland then shifted gears to note his desire to have the term “interim” removed from the titles of senior staff members Dr. B.J. King and Mr. Jeremy Ross. There were no objections from the board, so Dr. Noland said that within the next couple of weeks the “interim” would be removed to make them permanent in their roles. Also on the topic of staff, Dr. Noland thanked Mr. Scott Carter, athletics director, for his work to position a contract extension for men’s basketball Head Coach Steve Forbes. He also noted that women’s basketball Head Coach Brittney Ezell won her 200th career game last evening. Additionally, the university is actively searching for a new soccer coach as well as deans for the libraries and Graduate Studies.

Work is being led by Dr. Richard Sander to create a white paper regarding ETSU’s Title IX plans and will be completed by the April deadline for the Board of Trustees.

Dr. Noland thanked Drs. Bill Kirkwood and Angela Lewis. In the past couple of months, the university was awarded a TIE (Talent, Innovation, Equity) grant from the Tennessee Higher Education Commission for a summer bridge program for African American students.

Dr. Noland then updated trustees on the legislative session, noting that the budget process at the university has been closely linked with the session, where budget hearings have gone well and it is a strong year for higher education. The governor has recommended a salary enhancement, funding for the formula and funding for deferred maintenance. Two pieces of legislation related to ETSU still are in discussion. One is a request for a supplemental budget appropriation of \$500,000 for the university's Center for Prescription Drug Abuse Prevention and Treatment. The other is related to the ETSU Bill Gatton College of Pharmacy and a request for \$2.5 million to address tuition discontinuity in the state. The \$2.5 million would be for a financial aid program to help equalize that discontinuity. Dr. Noland also noted that legislators are looking at restructuring the University of Tennessee's Board of Trustees, a process that we are on the outside of but certainly watching. He thanked Ms. Bridget Baird, ETSU government relations, for her efforts this session.

Next, Dr. Noland noted that he and his wife, Donna, host students a lot at Shelbridge and this week, he was able to talk with some graduating students about their favorite memories of their time at ETSU and what makes them want to come back. He said it was amazing to see how much several of the students had grown during their time here at ETSU. He thanked many of the trustees, including Trustee Ayers, for the things that they do to help make scholarships available to these students.

In closing, Dr. Noland shared the story of faculty member Dr. Chris Dula, who has not missed a day of work despite having brain cancer. He said Dr. Dula passes along the gift of learning that was conveyed to him and cares about his students in ways that can't be conveyed. Chair Niswonger thanked Dr. Noland and said he felt it was always good to end meetings with stories that bring us back to why we are here.

XIII. Other Business

None.

XIV. Adjournment

Chair Niswonger adjourned the meeting.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

CONSENT AGENDA ITEMS

DATE: April 23, 2018
ITEM: Consent Agenda
RECOMMENDED ACTION: Approve
PRESENTED BY: David Linville, Secretary

The Consent Agenda items presented to the Board of Trustees are routine in nature, noncontroversial, or have been approved by a board committee unanimously. The Board votes on all items by a single motion.

Full information about each item on the consent agenda is provided in the meeting materials.

As stipulated in the Bylaws, any Trustee may remove an item from the consent agenda by notifying the Secretary prior to the meeting. Before calling for a motion to approve the consent agenda, the Chair or Vice Chair (or the applicable senior Trustee in their absence) shall announce any items that have been removed from the consent agenda and ask if there are other items to be removed.

Requests for clarification or other questions about an item on the consent agenda must be presented to the Secretary before the meeting. An item will not be removed from the consent agenda solely for clarification or other questions.

Motion: I move for the adoption of the Consent Agenda.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
FINANCE AND ADMINISTRATION COMMITTEE

MINUTES

February 23, 2018
Johnson City, Tennessee

The East Tennessee State University Board of Trustees Finance and Administration Committee held a meeting at 10 a.m. on Friday, February 23, 2018 in the Surgery Conference Room on the second floor of Carl A. Jones Hall on the Quillen VA Medical Center campus.

I. Call to Order

Trustee Ron Ramsey (serving in Committee Chairman Steven DeCarlo's absence) called the meeting to order at 10 a.m.

II. Roll Call

Secretary Dr. David Linville led the roll call. Committee members in attendance were:

Nathan Farnor
Dorothy Grisham
Ron Ramsey
Jim Powell

Others in attendance were Dr. David Linville, board secretary; Dr. B.J. King, acting chief financial officer; Rusty Lewis, chief financial officer, College of Medicine; Sue Taylor, finance and administration, College of Medicine; Margaret Pate, budget and financial planning; Karen Glover, financial services; Dr. Karen King, information technology; Dr. Lauren Collier, THEC; Joe Smith, university relations (taking minutes).

III. Approval of Committee Meeting Minutes from November 10, 2017

The minutes from the Finance and Administration Committee Meeting on November 10, 2017 were presented for approval. Trustee Powell made a motion for approval and Trustee Grisham seconded the motion. Motion passed.

IV. Employment Policies

Secretary Linville presented an employment policy related to anti-nepotism and explained it was a standard policy that is based on review of statutes and guidelines from the State of Tennessee. It was written by ETSU human resources staff, reviewed by the Acting Chief Operating Officer, and it is in compliance with state

code as well as previous policies. Trustee Grisham made a motion for approval and Trustee Powell seconded the motion. Motion passed.

V. **Discussion of Mandatory and Non-Mandatory Fees for 2018-19**

Dr. B.J. King introduced guests in attendance at the meeting who provide leadership for financial services on the main campus and at the College of Medicine (see item II). Dr. King discussed how the Board of Trustees will be asked to approve tuition and fees at the April meeting and that, historically, this is ahead of the timeline that has been followed in the past. This will allow students upon leaving campus at the end of the spring semester to have an idea of what tuition and fees will be for the fall 2018 semester. The major caveat with this is that the proposed tuition and fees will be contingent on the approval of Governor Haslam's budget, and will also be dependent on THEC maintaining the 3 percent binding limit for maintenance and mandatory fees that was proposed at its November meeting.

In addition to outcomes funding, the budget has a salary component of 2.5 percent of which only 60 percent is funded through the Governor's budget. A 1.75 percent tuition increase will be needed to fund the 2.5 percent salary increase. The operating funds money in Governor Haslam's proposed budget is approximately \$1,708,000. This is slightly less than the previous year, but, as Dr. King noted, last year's salary increase was 3 percent. The 1.75 percent tuition increase will provide funding for the salary increase but will not address any operational increases, which means that additional fee increases will be needed.

For the 2018-19 year, ETSU will be looking at a maintenance and mandatory fee increase of 3 percent compared to the prior year increase of 3.97 percent. The maintenance fee increase proposed is 2.74 percent and would generate approximately \$3.3 million in general fund revenue, with \$1.2 million going to the unfunded salary pool and an additional \$1.2 million for increases in scholarships. The 2018-19 budget is based on an enrollment decrease of 100 students in light of the decline in the number of high school students. This decrease of 100 students translates to a projected loss of \$760,000.

The budget includes two requests as part of the mandatory fees. Administration is proposing an increase to the newly implemented facilities fee from \$40 to \$64 which will provide an additional \$600,000 for student classrooms and common space renovations. A \$12 increase for the technology access fee is also being sought that would generate approximately \$300,000 in revenue. Dr. Karen King reported this will be used to support bandwidth costs, storage, backup for student network access and other technology improvements. Maintenance fee increase proposed is \$198 per academic year and the mandatory fee increase proposed is \$72 per academic year for a total increase of \$270.

The Quillen College of Medicine is proposing a 2 percent increase and the Gatton College of Pharmacy is proposing a 3 percent increase. Both academic units will also participate in the increases to the mandatory fees.

Dr. B.J. King said that several ETSU representatives had appeared before the House and Senate education committees and that staff are continuing to address questions regarding the proposed budgets.

In terms of non-mandatory fee requests which support specific course, lab and program fees, the 2018-19 proposed budget calls for an increase of \$1.1 million. The largest non-mandatory fee increase is the health science course fee to support student experiences in and outside of the classroom, student engagement, and the renovation of Building 60. The \$10 course fee increase will generate approximately \$671,000

A pass-through item for the budget is an increase in the food service plan, which was included in the contract with the food service provider. Services will continue in the Culp Center while the renovations are taking place. An increase in housing rates is not being sought. Deliberation of budget hearings are currently occurring on the ETSU campus with the Budget Advisory and Strategic Planning Committee (BASPC). The BASPC committee will meet soon to complete prioritizing budget requests in alignment with strategic goals.

VI. Discussion of Salary Increase for 2018-19

Dr. King noted that the 2.5 percent salary increase could be used either as an across-the-board increase or based on the current equity plan. The current plan is to provide across-the-board increases with a minimum increase of \$500.

VII. Quarterly Reports of Agreements \$250,000 or Greater

Dr. King discussed an RFP currently in process that will provide improved data on prospective students. Another RFP is open that will assist Intercollegiate Athletics with sponsorships and advertising.

VIII. Other Business

There were no other business matters discussed.

IX. Adjournment

The meeting adjourned at 11:02 a.m.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
FINANCE AND ADMINISTRATION COMMITTEE

MINUTES

March 29, 2018
Johnson City, Tennessee

The East Tennessee State University Board of Trustees Finance and Administration Committee held a special called meeting at 3 p.m. on Thursday, March 29, 2018, in the President's Conference Room in Burgin Dossett Hall on ETSU's main campus in Johnson City, Tennessee.

I. Call to Order

Mr. Steven DeCarlo, chair of the Finance and Administration Committee, called the meeting to order.

II. Roll Call

Secretary Dr. David Linville called the roll. Committee members in attendance were:

Steven DeCarlo, chair (via video conference)

Jim Powell (via telephone)

Nathan Farnor

Absent were Trustees Dorothy Grisham and Ron Ramsey.

Secretary Linville noted to Chairman DeCarlo that he did not detect a physical quorum, however a quorum did exist by the inclusion of those members participating by electronic means. In accordance with Tennessee Code § 8-44-108 section (b) (2), Secretary Linville offered up to the committee the following circumstances which necessitate the reason for holding this meeting:

- It is necessary for the Executive Committee of the Board to meet in order to review the appeal filed with the Board.
- The prompt necessity of this committee's meeting did not provide adequate time for this committee's membership to make necessary arrangements to be physically present for a quorum.

For these reasons, Secretary Linville contended that participation by a quorum of the committee members by electronic or other means of communication is necessary, and then asked that a motion be made and a roll call vote be taken for a determination on the necessity of holding the meeting. Trustee Powell made a motion recognizing the necessity of the meeting. It was seconded by Trustee Farnor and unanimously approved via a roll call vote.

Secretary Dr. David Linville noted that, because some committee members were calling in for the meeting, he was required to ask each member if they can hear the meeting clearly on

the phone and if anyone is present in the room. Trustees DeCarlo and Powell both confirmed they could hear the meeting and were alone in their respective offices.

Others in attendance included: Dr. B.J. King, Dr. Brian Noland, Mr. Nathan Dugger, Ms. Kristen Swing, Ms. Margaret Pate, Ms. Kathy Glover, Ms. Amanda Mowell, Ms. Sue Taylor, Ms. Sherry Armitage, and Mr. Zach Vance (of the Johnson City Press).

III. Approval of Salary Increase for 2018-19

Dr. B.J. King explained that the Governor's proposed budget contains a 2.5 percent salary increase, with the governor providing approximately \$1.8 million of that cost and ETSU having to contribute approximately \$1.2 million. The university's contribution of \$1.2 million equates to a tuition increase of 1.75 percent.

For reference, Dr. King noted that the university had a 3 percent salary pool last year that was used for a 2 percent across-the-board increase and the other 1 percent went to an equity pool for increases based on market equity research. This year, Dr. King said executive leadership has decided to use the entire 2.5 percent for across-the-board raises (with a \$500 floor). Meanwhile, she said, a Human Resources consultant is helping the university look for a compensation plan that will allow leaders to do something different next year.

Trustee Powell moved that the Finance and Administration Committee recommend the adoption by the full Board of Trustees of the proposed salary increase for 2018-19 as it was presented, contingent on the approval of the Governor's budget and the approval of the THEC binding fee limit in May. It was seconded by Trustee Farnor and unanimously passed via roll call vote.

IV. Approval of Mandatory and Non-Mandatory Fees for 2018-19

Dr. B.J. King shared that, last year, ETSU approved a maintenance fee increase of 3.17 percent and a total maintenance and mandatory fee increase of 3.97 percent, which was in line with THEC's binding limit of 4 percent. She warned that this legislative session is not yet complete, but said the university is anticipating receiving the funding outlined in the Governor's budget in January as well as a THEC binding limit of 3 percent. She reminded trustees that anything they approve today to move forward to the full Board of Trustees is contingent on the Governor's budget as it was presented in January and THEC establishing and confirming the 3 percent binding limit at its meeting in May. Worst-case scenario, she said, is that the full Board of Trustees approves something in April and then THEC reduces its binding limit. In that case, she said, there would need to be called meetings of the committee and full board to reduce the budget for this year.

The proposed total tuition and mandatory fees increase for 2018-19 is 2.91 percent, with 2.7 percent of that in maintenance fees and the remainder in mandatory fees, which will go toward a facilities fee (approximately two-thirds) and a technology access fee (approximately one-third). Dr. King said the 2.74 percent in maintenance fees should equal approximately \$3.3 million in revenue to go to the general fund. It will be used for salary increases and anticipated scholarship increase while also accommodating a projected 100-student enrollment decline and a small inflationary factor.

The Quillen College of Medicine is proposing a 2 percent increase and the Bill Gatton College of Pharmacy is proposing a 3 percent increase, Dr. King also noted.

Offering some context, Dr. Brian Noland explained that the university will have to have a 1.75 percent fee increase for mandated salary increases and said the remaining balance is nominal. He said the university is taking a conservative approach to fees as well as the proposed budget. He also emphasized the historic timing of the process this year, noting that it is the first time in modern history that students will have a sense of the next year's tuition and fees before departing for the summer.

Dr. King next addressed the mandatory fee requests, noting again that these generate revenue for the facilities fee and technology access fee. She said Mr. Jeremy Ross would be present, hopefully in September, to talk about last year's facilities fee and what it was used for. She said last year was the first time for the facilities fee. The technology fee, she added, will go toward bandwidth costs, storage costs and access controls on the network.

On Page 9 of the materials, Dr. King noted that it should be labeled Non-mandatory fees and said these are fees related to specific courses. On Page 10, Dr. King noted a fee in Business and Technology that had changed. It is a fee related to a one-hour course for international students. On Page 11, Dr. King noted the Global Sports Leadership cohort fee, saying that it was presented last year but would not start until this fall so it was put into the materials just for clarity.

Trustee Powell moved that the Finance and Administration Committee recommend to the full Board of Trustees the adoption of the proposed mandatory and non-mandatory fees for 2018-19 as presented, contingent on the approval of the Governor's budget and the approval of the THEC binding fee limit in May. It was seconded by Trustee Farnor and unanimously passed via roll call vote.

V. 2018-19 Budget Proposals

Dr. King said the Governor's total increase for the entire university is \$5.5 million, with \$500,000 of that related to an insurance increase. That leaves \$5 million, of which \$3.4 million is designated for the salary pool and leaving a \$1.7 million operating increase from the Governor. The Governor also included \$8.6 million in five maintenance projects at ETSU. The proposed humanities building, she noted, was not funded this year. Trustee Powell asked what the Governor provided for maintenance projects last year and Dr. King said it was around \$9.4 million. She said the \$8.6 million is not bad and that she believed ETSU came out well on maintenance projects this year.

In terms of the new locally governed institutions (LGIs), the University of Memphis had the largest appropriation followed by MTSU and then ETSU. Dr. King said ETSU has been very pleased with what Gov. Bill Haslam has given over the last few years. She noted that we are the first institution to have meetings on tuitions and fees and added that ETSU is decreasing its tuition-and-fees increase by over 1 percent this year over last year. She also said we are coming in more in line with our peers with average tuition and mandatory fees.

Dr. King summarized that the budget is balanced and within available resources; tuition increases continue to trend low and are in line with peers; there are compensation increases; and approximately \$5 million in appropriations (net of health insurance). She said budget hearings started within colleges in the fall, reached the VP level in December and hearings with the VPs took place in January and February. A diverse committee is now going through the budget review process, she added.

In discussing main campus unrestricted funds, Dr. King noted that the university's \$260 million budget is funded by tuition and fees to the tune of \$150 million. State appropriations make up a little over \$65 million; grants and contracts account for approximately \$5.4 million; sales and services represent almost \$12 million; auxiliaries are \$25.6 million and other sources found \$1.4 million. She noted that the materials show revenues going up and expenditures going down, however this relates to carry-forward funds and encumbrances. She assured the trustees that the revenues and expenditures are almost identical and the budget is balanced. Dr. King shared a slide showing revenue by source. The slide showed that 53 percent of the university's revenue budget – the largest source of revenue – comes from maintenance and required fees. In terms of non-mandatory fees, the largest contributor is specialized course fees. In sales and services, the number one contributor of revenue is athletics. For grants and contracts, the largest revenue source is local due to the funding received for the operation of University School. In auxiliaries, housing is the largest source of funds but food service is growing.

In a slide regarding the allocation of new net funding on the main campus, Dr. King explained that \$2.5 million will go to a salary pool while other funds will be used for new positions as well as travel and operating expenses. There is \$4.1 million in total allocation in new funding on the main campus -- \$3 million will be put into salary increases and \$1.1 million will go into new positions and new operating monies.

Dr. King said instruction is 40 percent of ETSU's budget and scholarships are approximately 13 percent of the budget. As far as natural classification, salary and benefits are the largest portion of expenditures.

Chair DeCarlo asked how many positions would be funded through the \$733,000 allocated. Dr. King said, in total, we are asking for 10.5 new positions however four of them are being self-funded by one college. So, that means the \$733,000 is to fund 6.5 positions, including salaries and benefits.

At the Quillen College of Medicine, both the revenues and expenditures are at \$61 million, representing a \$2.5 million increase in revenue. Dr. King said this is in line with last year's proposal, adding that the medical school is increasing expenditures in instructional areas. She said MEAC provides \$39 million to the unit, representing approximately 39 percent of the total budget. State appropriations for Quillen are \$3.4 million. Like the main campus, the number one expenditure at Quillen is instruction (salary/benefits by natural classification). Tuition and fees will go up 2 percent.

In Family Medicine, revenue is going up about \$500,000 and the budget is balanced. State appropriations are about 44 percent of the Family Medicine budget. Family Medicine is very dependent on clinic and residency revenues, Dr. King noted.

At the College of Pharmacy, there is a proposed 3 percent tuition increase, which equates to another \$300,000 in revenue. The budget is balanced. The pharmacy school does not receive a state appropriation and is almost entirely dependent on tuition and fees.

Summarizing, Dr. King said there has been a thorough budget hearing process; we are recommending low tuition increases with stable state appropriation revenue; investments are being made in employees through a salary increase; and the state has continued investing in campus infrastructure for maintenance projects.

Trustee Powell asked whether pharmacy could help with revenues by following a method similar to medicine with private practice. Dr. Noland pointed out that practice plan options at Quillen College of Medicine are structured around them seeing patients and the nature of independent pharmacists in a clinic setting is different. From a revenue perspective, Dr. Noland said clinical operations for Gatton are possible but he hesitated to say they'd lead to revenue like that at the medical school. Secretary Linville also pointed out the work ETSU's Academic Health Sciences Center is doing with the national Aligned Institutional Mission project from with the Association of Academic Health Centers. He said ETSU and the University of Kansas are the only two universities in the country to be a part of the project, which is taking a deep dive into the clinical operations across the health sciences at ETSU. He said the project will help identify opportunities and synergies that exist to improve the bottom line.

Chair DeCarlo asked about the status of the pharmacy school tuition issue related to the UT pharmacy school. Dr. Noland said the issue traces its roots to changes at UT that now allow an Alabama resident to pay less to attend UT than a Tennessee taxpayer pays to attend Gatton College of Pharmacy. A bill is currently proposed in the state legislature to provide \$2.5 million in scholarships and Dr. Noland said that while he recognizes this is a longer conversation, he is hopeful that the legislation will generate discussion.

In conclusion, Chair DeCarlo said this committee would discuss this again on April 27 prior to the full Board of Trustees meeting that afternoon where it will be presented to the full board.

VI. Other Business

None

IX. Adjournment

Chair DeCarlo adjourned the meeting.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
ACADEMIC AND STUDENT AFFAIRS COMMITTEE

MINUTES

February 23, 2018
Johnson City, Tennessee

The East Tennessee State University Board of Trustees Academic and Student Affairs Committee held a meeting at 10 a.m. on Friday, Feb. 23, 2018, in the Pediatrics Conference Room in Carl Jones Hall on ETSU's VA Medical Center campus in Mountain Home, Tennessee.

XV. Call to Order

Dr. Linda Lattimer, chair of the Academic and Student Affairs Committee, called the meeting to order.

XVI. Roll Call

Deputy Secretary Mr. Nathan Dugger called the roll. Committee members in attendance were:

Dr. Linda Lattimer, chair
David Golden
Fred Alsop
Janet Ayers

Others in attendance included: Dr. Bill Flora, Dr. Judith Slagle, Mr. Ed Kelly, Mr. Troy Perdue, Dr. Dennis Depew, Dr. Bill Duncan, Ms. Pamela Ritter, Chairman Scott Niswonger, Ms. Lisa Williams, President Brian Noland, Dr. Wilsie Bishop, vice president for Health Affairs; Dr. Mike Hoff, associate vice president of Planning and Decision Support and chief planning officer; Dr. Bert Bach, provost and vice president of Academic Affairs; and Kristen Swing, University Relations (taking minutes). Several of the remaining Board of Trustees members arrived later in the meeting as well as Dr. Lauren Collier from THEC.

XVII. Approval of Committee Minutes from November 10, 2017

Trustee Fred Alsop made a motion to approve the minutes of the Nov. 10, 2017, meeting. It was seconded by Trustee Ayers and unanimously approved.

XVIII. Tenure Appointment with the Rank of Professor in the Department of Educational Leadership and Policy Analysis (Dr. Brian Noland)

This item was taken later in the meeting due to Dr. Noland not yet being present at the start of the meeting. It was addressed following Item V.(E). Dr. Bert Bach noted

that ETSU policy stipulates recommendations for or against tenure come from the department for which the individual is assigned. He said the recommendation to grant tenure to Dr. Brian Noland emerged from the ELPA department in a letter from Dr. Bill Flora and was also recommended by the dean. The recommendation received a unanimous vote of active department members in support of Dr. Noland receiving tenure. Supporters cited his experience and his work in the department as well as his membership on regional, statewide and national professional organizations. The Board of Trustees policy enumerates a number of steps candidates for tenure must normally meet (including time in rank and time for full-time teaching), however there have been a number of precedents in which tenure has been awarded without those things for individuals with a distinctively strong resume. Dr. Bach said the recommendation also has his support and noted that Dr. Noland was not aware of the proposal until he had told him it was forthcoming. Dr. Flora said this was a discussion that began in the department with a prior chair, noting that they had put a lot of time and thought into vetting the possibility. He called Dr. Noland an “incredible resource” for the students in the department. Trustee Alsop moved that the Board of Trustees adopt the resolution, approving tenure at the rank of professor for Dr. Brian Noland. It was seconded by Trustees Ayers and Golden and unanimously approved. Dr. Noland thanked the group and said he was speechless, honored and humbled.

XIX. Academic and Student Policies

A. Non-Student Minors Policy

Ms. Lisa Williams with University Counsel presented on behalf of Dr. Jeff Howard, who was unable to attend the meeting at the last minute. Ms. Williams explained that the university has various camps, daycares, etc., that involve minors on campus. The new policy addresses every minor on campus that is not an enrolled student. Trustee Golden made a motion that the Board of Trustees adopt the resolution, approving the Non-Student Minors Policy. It was seconded by Trustee Ayers and unanimously approved.

B. Deferral of Admission to Graduate Program

Dr. Bert Bach explained that normally when a person is approved into a program, they matriculate in that specific term. This policy assists those who wish to defer matriculation to a subsequent term. A student has to present and, if approved, it would allow for up to a year deferral. Trustee Alsop asked about the timing on page 32 of the meeting materials where it states that students can ask for deferral up until the day before a term starts but faculty has a week to decide whether or not to approve the request. Dr. Bach said there was some discussion about it, but it was felt this timeline was the best way to accommodate the students. Trustee Golden made a motion that the Board of Trustees adopt the resolution, approving the Deferral of Admission to Graduate Program policy. The motion was seconded by Trustee Alsop and unanimously approved.

C. Proposed Amendment to Definition of Faculty and Types of Appointments (Professor of Practice)

Dr. Bert Bach presented a recommendation to approve the addition of a new type of employee, a Professor of Practice. The non-tenurable and non-promotable position could be full time or part time. Professors of Practice will be highly

accomplished individuals who have made major contributions to fields related to academic departments or colleges. Trustee Alsop asked whether someone holding that position will be eligible to be on graduate faculty. A procedural manual developed later will deal with the details of how it works, Dr. Bach said. Trustee Alsop also asked if such an individual can serve on promotion and tenure committees. Dr. Bach said that would be decided on a departmental basis. Trustee Golden moved that the Board of Trustees adopt the resolution, adopting the proposed amendment. It was seconded by Trustee Alsop and unanimously approved.

D. Proposed Revision of Dual Enrollment Provision in the Policy on Undergraduate Admissions

Dr. Bach presented two proposed changes to the dual enrollment provision: (1) Change eligibility GPA from 3.2 to 3.0, which he said is consistent with other institutions as well as exception request approvals, and (2) Increase the number of hours a student may take from seven to 11, with 11 being the maximum they can take as a part-time student. Trustee Golden asked whether the university was seeing success with dual enrollment students with a 3.0 GPA. Dr. Bach said yes. Trustee Ayers said that the Ayers Foundation really pushes dual enrollment and noted that they find that if you expect more, the students do better. She said it was nothing but a net positive. Dr. Bach said the goal is to grow dual enrollment in a purposeful way and noted the development of a specific program that is in the process of being rolled out. President Noland also noted the financial element to the change, noting that dual-enrollment students are earning credit hours for a fraction of the cost. Trustee Ayers moved that the Board of Trustees adopt the resolution, approving the revision of the Admissions Policy pertaining to dual-enrollment eligibility and guidelines. It was seconded by Trustee Golden and unanimously approved.

E. Undergraduate Advisement

Dr. Bert Bach explained that this is a proposal relative to establishing criteria for which mandatory advisement will apply. It attempts to clearly communicate to students and their parents what the expectations are relative to advisement. It would require mandatory advisement for all students who take fewer than 60 hours and all new students to ETSU. It would also be required for a readmitted student during his or her first term back at ETSU. Additionally, there would be required advising for students who have chosen an academic focus area as well as all students in “pre” programs. The policy also allows departments to require advising regardless of the number of hours a student has. Trustee Alsop asked Dr. Bach to talk about what has been done to “beef up” the advisement program at ETSU. Dr. Bach pointed out that ETSU had become part of the Student Success Collaboration, a very intrusive advisement program with a robust electronic platform for enhancing student success. He also noted that additional professional advisors were hired three years ago. Trustee Alsop moved that the Board of Trustees adopt the resolution, approving the Undergraduate Advisement Policy. It was seconded by Trustee Golden and unanimously approved.

XX. Notification of Status Pertaining to Development of ETSU Campus Access Policy as it Relates to Public Speaking Areas

Mr. Troy Perdue with University Counsel presented on this information item when Dr. Joe Sherlin was unable to attend at the last minute. Mr. Perdue noted that, as of January 1, there was a new statute related to free speech on campus. With that in mind, a review of ETSU's policies was conducted and, except for a few minor things, the university was already in compliance with the statute. Mr. Perdue said the review is an opportunity to look at ETSU policy and determine what could be done better. The policy presented provides information regarding procedures for reservation of Public Speaking Areas based on affiliated and non-affiliated users. It is also being updated to support effective and safe management of those spaces and expands the list of prohibited items. The proposed policy still has to have an internal review.

XXI. ETSU Honors Programs and Their Impact

Dr. Judith Slagle, dean of the Honors College, presented information about Honors Programs. She said the Honors College at ETSU is the only one of its kind in the state. The Honors Program was started in 1992 and the Honors College was created in 2005. It now includes five programs, each with a distinct honors curriculum. The five programs are: University Honors Scholars (premier scholarship); Midway Honors Scholars (transfer students); Fine and Performing Arts Scholars; Honors-in-Discipline Programs (26 programs with approximately 240 students); and Presidential Honors (community service scholars), which was established in 2017. Dr. Slagle said there are approximately 440 Honors Program students, but the Honors College serves approximately 900 students because it also houses Undergraduate Research. The average ACT score of an Honors College student is 29 (compared to the national average of 21 and the state average of 19.8). Well over one-third of the students have substantial financial need. Dr. Slagle noted that seven of the last 10 SGA presidents were Honors students. In terms of Undergraduate Research, \$45,000 is granted annually for student research, supplies, travel, etc. Most Honors College students are in-state students, with a lot coming from Knox County of late. An estimated 43 percent go on to graduate and professional schools while 39 percent go straight into the workforce. Dr. Slagle noted that Honors students are leaders who are committed to service and serve as student recruiters. The Honors College also has a high retention rate.

XXII. THEC Quality Assurance Funding Results and Overall Impact to ETSU

Dr. Mike Hoff presented, noting that quality assurance – how ETSU maintains quality – is very important and Quality Assurance Funding tries to ensure that. He noted that, at one point, ETSU received all 100 points but this year received an 86. Each point, he said, is worth \$31,000. The overall QAF had a \$2.6 million impact at ETSU. He said Tennessee State University was the most improved while Tennessee Tech University went down the most in QAF. In the category of General Education, which measures whether students are able to demonstrate critical thinking, ETSU was awarded all 15 available points. In Major Field Assessment, or the ability to demonstrate knowledge/skills in a given field, ETSU earned 14 out of 15 available points. In Academic Programs, a category scored by peers and designed to provide

incentives for institutions to achieve and maintain program excellence and accreditation, ETSU scored a 20 out of 25. The university netted all 10 available points in the category of Institutional Satisfaction Surveys, as evaluated by surveys of undergraduate students, recent graduates and faculty. ETSU also received the maximum 10 points for Adult Learner Success. In the Focus Populations category, or the number of graduates from select populations, ETSU scored 19 out of 25 points. Dr. Hoff said the university selected populations of importance at ETSU including: low-income students, health programs, males, STEM undergraduate degrees and veterans. Dr. Hoff noted next steps in each of the categories, pointing out that we are not yet where we want to be in terms of QAF. Trustee Golden asked Dr. Hoff to go into more detail regarding the STEM undergraduate degrees population and what the university is doing to improve that. Dr. Hoff said there has been talk about an expansion of programs in the fields that are STEM. Trustee Golden cited a University of Georgia study on the needs of the 21st century, noting that there is a real need for teachers at the high school level who teach these STEM courses. He said the STEM pipeline is broken and wondered what could be done within the College of Education to produce high school STEM teachers.

XXIII. Academic Action Notifications for the Period of August 1, 2017, through December 1, 2017

Dr. Bert Bach apprised the committee of select academic actions taken by the university that do not require the committee's approval, but are still important for them to be aware of as a committee.

XXIV. Research and Economic Development at ETSU Infrastructure and Organization

Dr. Bert Bach said he had been working for the past few months with Drs. Bill Duncan and Dennis Depew in assessing current infrastructure and what needs to be in place for potential expansion. He said the goal is to develop scalable infrastructure to support and grow research, pointing out uncertainties such as the research fund proposed by Gov. Haslam and the merger of the two health systems in the region. They worked under four assumptions: (1) ETSU already has senior leadership for an expanded role in research and economic development; (2) an expanded/scalable organization will be required; (3) it is imperative that our Research Foundation is central to expansion and will require new and expanded membership with external individuals playing a role; and (4) ETSU will revise its organization. In terms of the expanded role of the Research Fund, Dr. Bach said two new committees are proposed as well as an expanded role for Dr. Duncan to serve as the president of the Foundation and Dr. Depew to serve as the chair of a new Economic Development Council.

Dr. Bill Duncan noted that the university is not starting from scratch and already has robust research. He said reorganizing the Research Foundation and creating the two subcommittees would ensure a coordinated effort and link effort to economic development. He also addressed the creation of the Ballard Collaborative Research Institute to address money that may come from the newly merged health care system. The infrastructure would allow ETSU to work collaboratively with Ballard Health

System to address population health issues in the region. The focus would be on translational research (bench to bedside and back to bench). The collaboration with Ballad Health would provide a robust database, with 100,000 discharges per year, and thus, could help improve health outcomes and find ways to reduce costs. To address the research agenda, the university will need to recruit clinical faculty in several areas and those individuals will need experience working with a large database. Dr. Duncan envisions teams of interdisciplinary researchers.

Dr. Dennis Depew said this is an opportunity to engage external stakeholders and an opportunity to help drive the ETSU/Ballad Health initiative in positive ways. Trustee Alsop asked whether faculty members would be a part of the proposed committees and Dr. Depew said yes. Trustee Alsop then noted that it seems Ballad Health System is asking ETSU to identify things where we can really be strong. Dr. Duncan affirmed that is the case, citing existing areas of strength at ETSU such as the Center for Prescription Drug Abuse Prevention and Treatment and the Center for Inflammation, Infectious Disease and Immunity. Other areas being considered as focus areas include: neuroscience; diabetes and obesity; and maternal and child health. He said the question becomes, what could we do that will set us apart from other collaborations across the country. We need a signature collaboration, he said.

Chair Niswonger said he wanted to focus on the commercialization piece, noting that the Perdue Research Foundation turned out 27 start-up companies last year alone. The commercialization piece, he added, is where jobs get created. The merger and creation of this Research Foundation provide the biggest possibility within this region in the 45 years he has been here, he said. He believes it will take a paid professional who has done this before to make it a success and said that the plan just presented is missing that piece of a commercialization officer who would work with all parties to create the best bang for the buck.

Dr. Depew said he serves on the Angel Roundtable Board, which has invested in four companies, none of which are located here. He said having the ability to drive the business pipeline will require a different way of thinking. Trustee Golden cited a Boston consulting group's study from April 2017, which indicates that by 2018, China will spend twice as much as the United States on research and development. He said universities can accelerate product innovation, but agreed that the thing missing is that entrepreneurial spark to relentlessly engage the market.

Trustee Linda Latimer said ETSU has everything going for it to be a huge benefactor of the recent merger, noting that time is the only thing not on ETSU's side right now. She said Ballad Health has to give \$175 million to research over the next 10 years but noted that other institutions are acting swiftly in hopes of getting some of those funds. She concurred that there is a need to hire someone who puts ETSU first in relation to the merger and also noted that three of the 11 Ballad Health board members are also on the ETSU Board of Trustees. She said the region needs real innovation, adding that the university has less than a year to create a presentation on five areas of research and it is up to ETSU to bring ideas that will make Ballad Health money. She

encouraged leadership to get 25 great ideas catalogued as soon as possible, pointing out that there is an extraordinarily short timeline. Trustee Golden noted that however fast the university thinks it is running on this, it is going too slow and needs to think deeply about changing the cadence.

Chair Niswonger referred to it as a three-legged stool with (1) real research doctors, (2) the academics piece and (3) a commercialization officer that can bring corporate dollars in. Several trustees also noted the significance of hiring the right person for the new MEAC CEO position. Trustee Golden said everything ETSU needs is sitting on the table and failure is not an option.

President Noland said it was his hope that the document presented would spur conversation and said the institution needed the direction and guidance of its trustees. He asked what they envisioned as the next steps, to which Trustee Golden requested a Gantt chart be put together. He said to start making blocks of the 30 most important things and which are dependent on ones previous. He also said the Board could delegate to its executive committee if that helped prevent issues related to timetables and acting quickly. Trustee Ayers encouraged everyone to remember that this is a primary rural community and the uniqueness of this region should not be forgotten. Trustee Golden again said to make the chart and 30-40 next steps. He added that expertise can be rented and also encouraged President Noland to always assume what you are bringing is good enough and not to wait on approval to schedule your next steps.

XXV. Adjournment

The meeting was adjourned.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
AUDIT COMMITTEE

MINUTES

The East Tennessee State University Board of Trustees Audit Committee met at 9 a.m. on Friday, February 23, 2018 in the Department of Surgery Conference Room in Carl Jones Hall on the Quillen VA Medical Center campus.

I. **Call to Order**

Mr. David Golden, chair of the Audit Committee and vice chair of the Board of Trustees, called the meeting to order at 9:11 a.m.

II. **Roll Call**

Board of Trustees Secretary Dr. David Linville led the roll call. Trustees in attendance were:

Dorothy Grisham
Ron Ramsey
David Golden

Guests at the meeting were Dr. David Linville; Becky Lewis, chief internal auditor; Martha Stirling, internal auditor; Logan Greer, internal auditor; Dr. Brian Noland, ETSU president; Kristen Swing, director of communications; Dr. Lauren Collier, Tennessee Higher Education Commission; and Joe Smith, executive assistant to the president for University Relations (taking minutes).

III. **Approval of Minutes of the Audit Committee from November 10, 2017**

The minutes of the November 10, 2017 meeting of the Audit Committee were presented. Trustee Golden made a recommendation for approval, and Trustee Ramsey seconded the motion. Motion passed.

IV. **Revisions to the FY 2017-18 Audit Plan**

Rebecca Lewis requested the addition of four investigations to the Audit Plan for 2017-18. Two of the audits have been completed and will be discussed later during the meeting. An audit of presidential expenses was added to the current year audit plan since Internal Audit is reviewing the expenses each quarter. In addition, Martha Stirling from the Internal Audit staff has been selected as a track coordinator for the 2018 ACUA Annual Conference. An audit of football expenditures has been added following the announcement that the head coach is retiring. In the future, any time a head coach retires or leaves the program, an audit of expenditures will take place.

Trustee Ramsey made a motion for approval of the revised plan and Trustee Golden seconded the motion. Motion passed.

V. **Audits and Investigations Performed**

Ms. Lewis provided an overview of the audits and internal investigations completed during the time period of November 1, 2017 – January 31, 2018.

WETS-FM Radio FY 2017: A financial statement audit for WETS-FM radio was performed to determine the fair presentation of the financial statements for FY 2017 as required by the Corporation for Public Broadcast (CPB). There were no findings or questioned costs or issues. The audit report for WETS-FM radio was issued with an unmodified opinion. The financial statements appeared to fairly present, in all material respects, the financial position of the radio station as of June 30, 2017, and the audit objectives were met.

A memorandum of investigation was issued on the following audits:

Child Study Center: The investigation revealed cash received by the Child Study Center for its Pride Picnic was not deposited intact, expenses were paid directly from the cash receipts, and records related to the picnic revenue and expenditures were not maintained. In the future, the center will follow university policies and procedures related to picnic revenue and related expenses.

Parking Services: An investigation revealed that an employee (Technician) in Parking Services sometimes removed charges for parking fines and permits from the TickeTrak system when the individuals paid in cash. The Technician would then keep the cash for personal use. Based on the investigation performed, questioned costs totaled \$1,325. The Technician admitted in a signed statement to theft of between \$440 and \$460 and has agreed to make payment arrangements to the university for this amount. Since multiple individuals who accept payments in Parking Services work from the same cash drawer and use the same user ID in TickeTrak, it is possible that the Technician was not the only one involved in the theft. A review of subsequent transactions, however, revealed that theft has not occurred since the Technician's resignation. Management is taking appropriate steps to strengthen the internal control in order to help prevent future incidences from occurring. Ms. Lewis noted that ETSU Public Safety had been contacted regarding this investigation.

A heat map summarizing completed audits from November 1, 2017 – January 31, 2018 was reviewed.

VI. **Recommendation Log**

Ms. Lewis presented the recommendation log that shows the status of audit recommendations from previous audits. All actions taken by management seem to be progressing in a timely fashion or are not yet due. Updates about the PCI questionnaire discussed at the previous Audit Committee meeting have been received

and are progressing toward an August completion date. One follow-up matter has been completed since the last meeting and appropriate actions have taken place. Two ongoing investigations will be discussed in executive session.

VII. Other Business

Trustee Golden asked if there were any other business items to discuss. Given that none were announced, the public portion of the committee meeting adjourned and committee members moved into executive session.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
ACADEMIC AND STUDENT AFFAIRS COMMITTEE

ACTION ITEM

DATE: April 27, 2018

ITEM: Academic and Student Policies

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Bert Bach
Provost and Vice President for Academic Affairs

As provided by the FOCUS Act, the ETSU Board of Trustees sets policies and guidelines for the operation of the University. The authority, purpose, duties, and responsibilities of the Board and Trustees are delineated in TCA § 49-8-101. The distinctions between the duties of the Board and the responsibilities of the administration and faculty are clearly delineated in the enabling legislation. The Board of Trustees is responsible for setting policy with regard to academic, business and finance, governance and organization, personnel, and student matters and for providing guidelines on the implementation of those policies. The ETSU President serves as executive head for the administration and faculty of ETSU and does not serve on Board of Trustees. The administration and faculty are responsible for carrying out ETSU's mission within the parameters of policies and guidelines and in accordance with the coordinating responsibilities of THEC.

For consideration today are four (4) policies. These policies have been reviewed by the Faculty Senate leadership to confirm that no substantive changes have been made. Additionally, the policies were vetted and subsequently approved by the Academic Council or University Council.

MOTION: I move that the Committee recommend adoption of the following policies by the Board of Trustees:

- A. Non-Instructional Assignment Policy**
- B. Executive Administrative Officer and Academic Dean Emeritus Policy**
- C. Faculty Emeritus Policy**
- D. Student Free Speech Policy**



Faculty Non-Instructional Assignments	
Responsible Official: Vice President for Academic Affairs, Vice President for Health Affairs	Responsible Office: Vice President for Academic Affairs, Vice President for Health Affairs

Policy Purpose

This policy clarifies provisions by which the Vice President for Academic Affairs or the Vice President for Health Affairs may approve a full-time non-instructional assignment (NIA).

Policy Statement

To be eligible for an NIA, an applicant must:

- be a tenured member of the full-time faculty at the rank of assistant professor, associate professor, or professor,
- have completed five years in a professorial appointment at the university, and
- have demonstrated significant scholarly, creative, or teaching performance in the applicant’s discipline.

Full-time NIAs shall be for one semester at full pay or an academic year at one-half pay. Full benefits will be continued for the duration of the assignment.

For each semester of full-time NIA a faculty member must provide a minimum of one semester of continued employment at ETSU following the assignment. A recipient may apply again seven (7) years after completion of a previous NIA.

Published materials, exhibits, or performances resulting from the assignment shall include acknowledgement of East Tennessee State University.

Definitions

N/A

Policy History

Effective Date:

Revision Date:

Procedure (s)

Allocations of full-time NIAs should reflect ETSU's mission, goals and needs. The purposes of NIAs include enhancing scholarship and the university's academic excellence, contributing to the professional growth and renewal of the faculty, strengthening the curriculum, and improving teaching in ways that cannot be accomplished under the constraints of regular workload assignments.

Step 1: The faculty member completes the application (see Related Form link below). The proposal must include:

- a. A statement of goals and objectives for the NIA compatible with the statement of purposes for the faculty member's academic program;
- b. Anticipated schedule of progress during the assignment;
- c. A plan for presenting results, outcomes, product, etc. of the NIA to the university community
- d. A résumé of the applicant's professional career;
- e. Proof of acceptance by cooperating universities, approval by granting agencies, etc. (if applicable); and
- f. Endorsement by the department chair.

Step 2: The department chair submits the endorsed application, including a plan for instructional replacement, to the appropriate college office by November 1 for the following fall semester, or April 1 for the following spring semester.

Step 3: The dean recommends or does not recommend to the appropriate vice president by December 15 or May 15.

Step 4: The appropriate vice president either approves or denies the NIA.

Step 5: Upon completion of the assignment, the faculty member will submit a written report of the assignment activity to the department chair and college/school dean and forward copies to the appropriate vice president. The report shall include the degree to which the objectives of the proposal were accomplished and evidence of work completed or in progress (as appropriate).

Step 6: The faculty member will present the results, outcomes, product, etc. of the NIA to the university community as described in the application.

Procedure History

Effective Date:

Revision Date:

Related Form(s)

[Non-Instructional Assignment Application](#)

Scope and Applicability

	Governance	
✓	Academic	Faculty
	Students	
✓	Employment	Benefits
	Information Technology	
	Environmental Health and Safety	
	Business and Finance	
	Facilities and Operations	
	Communications & Marketing	
	Advancement	



Executive Administrative Officer and Academic Dean Emeritus

Responsible Official: President

Responsible Office: Human Resources

Policy Purpose

The purpose of this policy is to establish the criteria for awarding [executive administrative officer](#) or [academic dean](#) emeritus status at East Tennessee State University.

Policy Statement

East Tennessee State University may honor select executive administrative officers and academic deans, upon retirement from the University, by the granting of emeritus status. To be awarded emeritus status the officer or dean must have served the University for at least 10 years in the respective position. These individuals will be granted certain rights and privileges in recognition of their honored role in the University community and their ongoing potential for contributions to the intellectual and cultural life of the University.

Emeritus executive administrators and deans shall be entitled to library use, faculty/staff parking permit, reduced rates for athletic events, and other privileges which do not exert undue financial burdens on the University.

Authority:

N/A

Definitions

N/A

Policy History

Effective Date:

Revision Date:

Procedure (s)

Executive Administrative Officer

When an executive administrative officer's written notice of retirement is received at the Office of Human Resources, that office will notify the individual of his or her eligibility for emeritus status. The retiring executive administrator will be asked if he/she wishes to participate in the emeritus procedure.

Within one month of receiving the retirement notice from the Office of Human Resources, the President will charge the Executive Team to review the CV and any other supporting documentation submitted by the candidate. Candidates will be nominated for emeritus status by majority vote of the Executive Committee. The Executive Team will forward a nomination and review materials to the President who will make the final decision.

Upon approval by the President, the candidate will be notified and he/she may use the title (e.g., Vice President Emeritus (Emerita) following the executive administrative officer's name.

Academic Dean

When a dean's written notice of retirement is received at the Office of Human Resources, that office will notify the appropriate Vice President of the dean's eligibility for emeritus status. The retiring dean will be asked if he/she wishes to participate in the emeritus procedure.

Within one month of receiving the retirement notice from the Office of Human Resources, the Vice President for Academic Affairs or Health Affairs will convene the college or school's associate and assistant deans and chairs to review the CV and any other supporting documentation submitted by the candidate. Candidates will be nominated for emeritus status by majority vote. The appropriate Vice President will submit the nomination and materials to the President who will make the final decision.

Upon approval by the President, candidate will be notified and he/she may use the title Dean Emeritus (Emerita) following the dean's name and preceding the college's name (i.e., Jane Smith, Dean Emerita, College of Arts and Sciences).

Procedure History

Effective Date:

Revision Date:

Related Form(s)

N/A

Scope and Applicability

This policy pertains to students transferring credits to ETSU, faculty, and advisors.

	Governance	
X	Academic	
	Students	
X	Employment	
	Information Technology	
	Environmental Health and Safety	
	Business and Finance	
	Facilities and Operations	
	Communications & Marketing	
	Advancement	



Faculty Emeritus	
Responsible Official: President	Responsible Office: Human Resources

Policy Purpose

The purpose of this policy is to establish the criteria for awarding faculty emeritus status at East Tennessee State University.

Policy Statement

East Tennessee State University may honor faculty upon retirement from the University, by the granting of emeritus status. To be awarded emeritus status the faculty must have served the University for at least 10 years. These individuals will be granted certain rights and privileges in recognition of their honored role in the University community and their ongoing potential for contributions to the intellectual and cultural life of the University. The emeritus status will become effective July 1 of each year, and public recognition of this status will occur annually.

Emeritus faculty shall be privileged to maintain an identification card entitling them to certain University privileges. These will include library use, faculty parking permit, reduced rates for athletic events and other privileges which do not exert undue financial burdens on the University. In addition, dean emeriti may request the use of available office or laboratory space or may apply, upon approval, for University grants under the same rules as other faculty.

Authority:

N/A

Definitions

N/A

Policy History

Effective Date:

Revision Date:

Procedure (s)

- I. Notice of Eligibility

When faculty member's written notice of retirement is received at the Office of Human Resources, that office will notify the individual and respective department of eligibility for emeritus status. The retiring faculty member be asked if he/she wishes to participate in the emeritus procedure.

II. Nominations

Within one month of receiving the retirement notice from the Office of Human Resources, the department chair will convene the department's faculty to review the qualifications of the emeritus faculty candidate as present in a curriculum vitae or other supporting documentation. Candidates will be nominated for emeritus status by majority vote. Those nominated will have materials submitted by respective Deans and the Vice President for Academic Affairs or Health Affairs, and then sent to the Office of the President where final decision will be made.

III. Presidential Decision

The President will have access to the nomination and assessment materials, as well as assessment materials, as well as decisions of approval by the appropriate Vice President.

IV. Title of emeritus status

The title (e.g., Faculty Emeritus (Emerita) will, on approval, follow the faculty member's name.

Procedure History

Effective Date:

Revision Date:

Related Form(s)

NA

Scope and Applicability

	Governance	
X	Academic	
	Students	
X	Employment	
	Information Technology	
	Environmental Health and Safety	

	Business and Finance	
	Facilities and Operations	
	Communications & Marketing	
	Advancement	



University Free Speech	
Responsible Official: Vice President for Student Affairs	Responsible Office: Student Affairs

Policy Purpose

The policy affirms ETSU’s legal obligations regarding free speech that are consistent with federal and state constitutional mandates and present jurisprudence

Policy Statement

- I. Students have a fundamental constitutional right to free speech.
- II. ETSU is committed to giving students the broadest possible latitude to speak, write, listen, challenge, learn, and discuss any issue, subject to measures that do not violate the First Amendment of the United States Constitution or Article I, Section 19 of the Tennessee Constitution, such as constitutional time, place, and manner restrictions or reasonable and viewpoint-neutral restrictions in nonpublic forums.
- III. ETSU is committed to maintaining a campus as a marketplace of ideas for all students and all faculty in which the free exchange of ideas is not to be suppressed because the ideas put forth are thought by some or even by most members of the institution’s community to be offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed.
- IV. It is for ETSU students and faculty to make judgments about ideas for themselves, and to act on those judgments not by seeking to suppress free speech, but by openly and vigorously contesting the ideas that they oppose.
- V. It is not ETSU’s duty to attempt to shield individuals from free speech, including ideas and opinions they find offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed.
- VI. Although ETSU greatly values civility and mutual respect, concerns about civility and mutual respect shall never be used as a justification for closing off the discussion of ideas, however offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed those ideas may be to some.
- VII. Although all are free to state their own views about and contest the views expressed on campus, and to state their own views about and contest speakers who are invited to express their views on the ETSU campus, they may not substantially obstruct or otherwise substantially interfere with the freedom of others to express views they reject or even loathe. To this end, ETSU has a responsibility to promote a lively and fearless freedom of debate and deliberation and protect that freedom.

- VIII. ETSU is committed to providing an atmosphere that is most conducive to speculation, experimentation, and creation by all, who must always remain free to inquire, to study and to evaluate, and to gain new understanding.
- IX. The primary responsibility of faculty is to engage in an honest, courageous, and persistent effort to search out and communicate the truth that lies in the areas of their competence.
- X. Although faculty are free in the classroom to discuss subjects within areas of their competence, faculty shall be cautious in expressing personal views in the classroom and shall be careful not to introduce controversial matters that have no relationship to the subject taught, and especially matters in which they have no special competence or training and in which, therefore, faculty's views cannot claim the authority accorded statements they make about subjects within areas of their competence; provided that no faculty will face adverse employment action for classroom speech, unless it is not reasonably germane to the subject matter of the class as broadly construed, and compromises a substantial portion of classroom instruction.
- XI. ETSU maintains the generally accessible open, outdoor areas of its campus as traditional public forums for free speech by students.
- XII. ETSU does not restrict students' free speech only to particular areas of the campus.
- XIII. ETSU does not deny student activity fee funding to a student organization based on the viewpoints that the student organization advocates.
- XIV. ETSU does not impose requirements that prohibit spontaneous outdoor assemblies or outdoor distribution of literature, though ETSU may maintain a policy that grants members of the college or university community the right to reserve certain outdoor spaces in advance.
- XV. ETSU must not charge students security fees based on the content of their speech, the content of the speech of guest speakers invited by students, or the anticipated reaction or opposition of listeners to speech.
- XVI. ETSU allows all students and all faculty to invite guest speakers to campus to engage in free speech regardless of the views of guest speakers.
- XVII. ETSU does not disinvite a speaker invited by a student organization, or faculty member because the speaker's anticipated speech may be considered offensive, unwise, immoral, indecent, disagreeable, conservative, liberal, traditional, radical, or wrong-headed by students, faculty, staff, administrators, government officials, or members of the public.

Authority: T.C.A. Title 49- Chapter 7 Section 6

Definitions

N/A

Policy History

Effective Date:

Revision Date:

Procedure (s)

N/A

Procedure History

Effective Date:

Revision Date:

Related Form(s)

N/A

Scope and Applicability

Check those that apply to this policy and identify proposed sub-category.

	Governance	
X	Academic	
X	Students	
	Employment	
	Information Technology	
	Health and Safety	
	Business and Finance	
	Facilities and Operations	
	Advancement	

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Policies for Approval

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: David Linville
Secretary of the Board

The following administrative policies for Employment have been revised to reflect current operations of the university and foundation with the establishment of an institutional board of trustees. The university's policies are now being presented in a format which provides for separate policy and procedures within the same document.

- Passenger Van Policy
- Hazardous Materials Transportation Policy

MOTION: I move that the Board of Trustees adopt the policies as outlined in the meeting materials.

RESOLVED: Upon the recommendation of the Finance and Administration Committee, the Board of Trustees adopts the Passenger Van Policy and Hazardous Materials Transportation Policy as outlined in the meeting materials.



Passenger Van Policy	
Responsible Official: VP for Business and Finance	Responsible Office: Division of Business and Finance

Policy Purpose

The purpose of this policy is to establish the safe use and operation of university owned, or rented, borrowed, or leased 12-passenger or 15-passenger vans.

Policy Statement

All drivers who operate a university owned, or a rented, borrowed, or leased 12-passenger or 15-passenger van must comply with all State of Tennessee laws, the laws of other jurisdictions in which the vehicle is operated, and university policies, procedures, rules, and instructions.

All ETSU employees and approved student drivers of an ETSU owned 12-passenger or 15-passenger van must

- Be at least 21 years of age
- Possess a valid drivers' license
- Successfully complete the FLI Learning Systems, Inc. course provided by Environmental Health and Safety and pass the associated exam
- Follow the posted speed limit
- Adhere to state vehicle laws
- Ensure that they are well rested and attentive
- Always slow down if the roads are wet or icy
- Exercise care and driving techniques that allow for safe adjustments to the handling characteristics specific to loaded 15-passenger vans

All drivers of 12-passenger and 15-passenger vans owned by Enterprise Rent-a-Car must be at least 25 years of age.

Drivers must:

- Perform an inspection of the 12-passenger or 15-passenger van prior to operation per the FLI training. University owned, or rented, borrowed, or leased vehicles are not to be operated if there are mechanical or equipment concerns which affect the safe operation of the vehicle.
- Ensure that all seat belts are in place and operational.
- Ensure they have current state insurance information in the van.

- Not operate a van with luggage or other items placed above the bottom of any window frame in the vehicle. All luggage will be stored in the rear luggage area. No luggage will be placed in the passenger or driver’s area. No luggage will be placed on the roof of the vehicle.

All employees and passengers in an ETSU owned or a rented, borrowed, or leased 12-passenger or 15-passenger van must wear a seat belt.

Maximum occupants for:

- 12-passenger vans: 12 including the driver
- 15-passenger vans: 15 including the driver

The Tennessee Board of Education “prohibits use of a 15-passenger van to transport students to and from school or a school-related activity.” Minors may be transported in the vans, but not in conjunction with a primary or secondary school (such as University School).

Only university owned and approved trailers may be towed by a 12-passenger or 15-passenger van.

All department heads, directors, assistant directors, associate directors, or supervisors who are responsible for ETSU owned 12-passenger and 15-passenger vans must have their vans inspected by Free Service Tire Company every 12 months. The full vehicle safety inspection must be requested. Inspection documentation must be sent to vansafety@etsu.edu on an annual basis.

It is the responsibility of the Purchasing Department to notify the Environmental Health & Safety Office (439-6028) of any purchase of new 12-passenger or 15-passenger vans.

Definitions

N/A

Policy History

Effective Date:
Revision Date:

**Procedure (s)
Procedure History**

Effective Date:
Revision Date:

Related Form(s)

Scope and Applicability

Check those that apply to this policy and identify proposed sub-category.

	Governance	
	Academic	
	Students	
	Employment	
	Information Technology	
X	Environmental Health and Safety	
X	Business and Finance	
X	Facilities and Operations	
	Communications & Marketing	
	Advancement	



Hazardous Materials Transportation Policy	
Responsible Official: Associate Vice President for Facilities Management, Planning and Construction	Responsible Office: Facilities Management, Planning and Construction

Policy Purpose

The purpose of this policy is to define how ETSU will comply with all applicable regulatory requirements imposed by the U.S. Department of Transportation (DOT) and International Air Transportation Association (IATA) regarding hazardous materials and dangerous goods transportation-related activities.

Policy Statement

The ETSU Environmental Health & Safety Office will manage and facilitate the Hazardous Materials Transportation program and assist all ETSU departments in compliance with these requirements.

1. All hazardous materials must be prepared and shipped according to DOT Hazardous Materials (HazMat) or IATA Dangerous Goods Regulations.
2. Any faculty, staff and students involved in shipping, receiving and/or transporting hazardous materials/dangerous goods are considered ETSU HazMat employees and must obtain training commensurate with their duties.
3. ETSU must test and certify HazMat employees before shipping hazardous materials.
4. When necessary, security plans will be developed and implemented in accordance with 49 CFR Part 172 Subpart 1.
5. All radioactive material shipped to ETSU must come through the campus Radiation Safety Office. Radioactive material shipped by or from ETSU must be coordinated by the Radiation Safety Office.
6. All infectious substances, select agents or dry ice must be shipped in accordance with the ETSU Environmental Health & Safety Office [Guide to Shipping Biological Materials](#).

Authority: U.S. Department of Transportation (DOT)
 International Air Transportation Association (IATA)
 49 CFR Parts 171-177, Hazardous Materials Transportation Act (HMTA)
 Hazardous Materials Transportation Uniform Safety Act of 1990 (HMTUSA)

IATA Dangerous Goods Regulations (DGR)
Federal Aviation Association (FAA)

Policy History

Effective Date:

Revision Date:

Procedure (s)

As part of the program, ETSU faculty, staff and students who are involved in transportation-related activities will be informed about hazardous materials/dangerous goods transportation regulations. At ETSU, examples of hazardous material include acids and bases, flammable solvents, compressed gas, dry ice, most laboratory samples and chemicals, radioactive material, as well as certain cleaners, pesticides and paint. Any package that arrives with a diamond-shaped DOT label is a hazardous material.

A. Hazardous Materials Transportation Regulation

The U.S. Department of Transportation (DOT) regulates both surface and air shipment of hazardous materials shipped within the United States. These regulations set out the responsibilities for institutions and individuals involved the transportation-related activities of hazardous materials and dangerous goods, which include the following hazard classes:

Hazard Class or Division	Label Name	Label Design or Section Reference
1.1	EXPLOSIVES 1.1	172.411
1.2	EXPLOSIVES 1.2	172.411
1.3	EXPLOSIVES 1.3	172.411
1.4	EXPLOSIVES 1.4	172.411
1.5	EXPLOSIVES 1.5	172.411
1.6	EXPLOSIVES 1.6	172.411
2.1	FLAMMABLE GAS	172.417
2.2	NONFLAMMABLE GAS	172.415
2.3	POISON GAS	172.416
3.0	FLAMMABLE LIQUID (none)	172.419
4.1	FLAMMABLE SOLID	172.420

4.2	SPONTANEOUSLY COMBUSTIBLE	172.422
4.3	DANGEROUS WHEN WET	172.423
5.1	OXIDIZER	172.426
5.2	ORGANIC PEROXIDE	172.427
6.1 (material poisonous by inhalation (see §171.8 of this subchapter))	POISON INHALATION HAZARD	172.429
6.1 (other than material poisonous by inhalation)	POISON	172.430
6.1 (inhalation hazard, Zone A or B)	POISON INHALATION HAZARD	172.429
6.1 (other than inhalation hazard, Zone A or B)	POISON	172.430
6.2	INFECTIOUS SUBSTANCE ¹	172.432
7 (see §172.403)	RADIOACTIVE WHITE-I	172.436
7	RADIOACTIVE YELLOW-II	172.438
7	RADIOACTIVE YELLOW-III	172.440
7 (fissile radioactive material; see §172.402)	FISSILE	172.441
7 (empty packages, see §173.428 of this subchapter)	EMPTY	172.450
8	CORROSIVE	172.442
9	CLASS 9	172.446

In addition, the regulations specify: proper classification, packaging, labeling, security assessment, and documentation of all shipments. The regulations require training for anyone who prepares, offers, or receives materials for shipment and establishes penalties and fines for non-compliance. Failure to comply with the regulations may not only result in substantial fines and penalties for the University, but the individual(s) causing the violation can also be held personally liable.

B. Responsibilities

The regulations stipulate that ETSU as a HazMat employer is ultimately responsible for compliance; however, this program sets forth individual responsibilities as follows:

1. The Environmental Health & Safety Office will provide technical information, oversight, training and emergency response and will be responsible for:

a. Coordinating and facilitating DOT training opportunities for all campus shippers.

b. Testing and certifying individuals to ship hazardous materials; and

c. Auditing all campus shipping centers for compliance.

2. Department heads must identify all faculty, staff and students who require training and ensure that they are trained before being allowed to ship, transport, and/or receive hazardous materials.

3. All faculty, staff and students must properly handle, classify, package, label, and document all shipments of hazardous material and must not ship materials for which they are not trained and certified.

C. Classification and Identification

The shipper is responsible for all aspects of the classification and identification of hazardous materials being shipped. The DOT regulations set forth the procedures and criteria for determining the proper shipping name and the hazard class for hazardous materials.

Some materials are so hazardous that they are specifically designated as "forbidden" in the Hazardous Materials Table in 49 CFR 172.101 and may not be offered for transportation or transported in commerce. Some require special review and approval. Others are designated as "forbidden" from transportation by specific modes such as air transportation. 49 CFR 173.21 extends the "forbidden" designation beyond those materials listed by name in the Hazardous Materials Table to additional general categories, including materials (other than materials classed as explosives) that will detonate in a fire; combinations of materials that are likely to cause a dangerous evolution of heat, create flammable or poisonous gases or vapors, or produce corrosive materials; and packages that give off a flammable gas or vapor likely to create a flammable mixture with air in a transport vehicle.

The Hazardous Materials Table and List of Dangerous Goods are key elements and primary guides to offerors, carriers, and enforcement personnel in determining compliance with the regulations. For each entry, they specify the proper shipping name, hazard class or division, identification number, packing group and required hazard warning labels. Furthermore, they identify modal-specific rules, such as quantity limitation requirements for transportation by passenger aircraft.

D. Packaging

The shipper is responsible for all aspects of the packing of hazardous materials. The packaging required for hazardous material is the first line of defense in ensuring that the material is not released during transportation. The regulations specify various performance levels for packaging for hazardous materials, based on the nature and level

of hazards posed by the specific material to be packaged therein. An inadequately packaged hazardous material may not be offered for transportation, accepted or transported. All packaging must be designed to ensure that under normal conditions of transportation there will be no release of contents, and that the effectiveness of the packaging will not be substantially reduced by temperature changes. Packaging used to transport liquids by aircraft must be able to withstand significant changes in ambient pressure.

In the case of combination packaging, the inner packaging containing a liquid must be packaged so that the closures are properly installed and tight, are upright, and the outer packaging must be marked to show the proper orientation. All inner packaging must be adequately secured and cushioned within the outer packaging to prevent breakage or leakage and to control movement within the outer packaging under conditions normally incident to transportation. Substances that may react dangerously with each other may not be placed in the same package.

The Hazardous Material Table and List of Dangerous Goods specify the packaging requirements for each shipping name in the tables. For each entry, they specify the packaging authorizations, per-package quantity limitations for passenger and cargo aircraft, and special provisions. These packing instructions must be followed.

E. Documentation, Marking, and Labeling

The shipper is responsible for all necessary marking and labeling of each package of hazardous material being shipped. Essential elements of hazard warning information are required to be communicated through shipping documents, package marking and labels, placards on transport vehicles and bulk packaging, written emergency response information, and emergency response telephone numbers to be used in the event of an emergency involving the hazardous material.

Shipping papers can be in the form of a bill of lading, freight bill, hazardous waste manifest, or other shipping document. The "shipper's certification" on the shipping paper is a positive endorsement that the offeror is required to provide when tendering a shipment of hazardous materials to a carrier for transportation. The person signing the certification must be trained in appropriate areas of the Hazardous Material Regulations (e.g., classification, description, packaging, marking and labeling) pertaining to the shipment. At a minimum, a properly prepared shipping paper clearly identifies a hazardous material by its proper shipping name, hazard class or division number, identification number, packing group (if any), and total quantity. Additional hazard warning and handling information, such as "POISON" and "CARGO AIRCRAFT ONLY," must be entered on the shipping paper. This information is intended to enhance safety by informing HazMat employees of the presence of hazardous materials and prompting them to ensure that the required actions, such as placarding and segregation of incompatible materials, are accomplished. Emergency responders in responding to incidents and accidents involving hazardous materials use this same information.

Package markings and labels convey information on packages, such as proper shipping name, identification number, and hazard class of a hazardous material. This information readily identifies that a package contains a hazardous material. Carrier personnel and other persons use hazard warning labels and package marking to ensure that the hazardous materials are properly segregated and stowed. This ensures compliance with loading and stowage requirements designed to prevent potentially dangerous situations that may occur with adjacent stowage of incompatible hazardous materials, or to prevent contamination of foodstuffs, feed or other edible materials. For example, the regulations generally prohibit the loading of Class 8 (corrosive) material above or next to Division 4.1 (flammable solid) materials or Division 5.1 (oxidizing) materials.

In addition, emergency responders can use the information provide by package markings and hazard warning labels when shipping papers are destroyed or otherwise not immediately available. Hazardous materials marking must be durable, in English, and unobscured by other information appearing on the package. Hazard warning labels must conform to the size and color specifications, be placed on the package near the marked proper shipping name, be clearly visible, and be unobscured by other information.

Hazard warning placards and identification numbers are displayed on the outside of motor vehicles, freight containers, and bulk packaging loaded with hazardous materials. They provide a readily visible warning that hazardous materials are present. The information they provide can be critical to emergency responders in mitigating the impacts of a hazardous materials incident or accident.

Emergency response information and an emergency response telephone number must be provided by the offeror and maintained by the carrier for use in the mitigation of an accident or incident involving hazardous material. The emergency response telephone number for use in the event of an emergency involving hazardous material must be:

- Monitored at all times the hazardous material is in transportation, including storage incidental to transportation, and
- Answered by a person who is either knowledgeable of hazards and characteristics of the hazardous material being shipped and has comprehensive emergency response and incident mitigation information for that material, or has access, without delay, to a person who possesses such knowledge.

F. Important Note Concerning State Owned Vehicle Transport

A state agency or local jurisdiction that transports chemicals for its own use, using its own personnel and state-owned vehicles, is exempt from the DOT regulations as long as the material is not shipped for commerce, it remains within the state, and it is packaged according to these procedures. ETSU must comply with the DOT regulations if it offers chemicals to a non-governmental carrier (by motor vehicle, aircraft, rail, or vessel) or transports these materials in "furtherance of a commercial enterprise."

This procedure states the requirements for the packaging and transport of chemicals in a manner that will minimize the threat of release via container breakage during transport. Chemicals which are considered hazardous cannot be transported in privately owned or personal vehicles. All transport must be in a University vehicle driven by a University employee. Chemicals can only be transported for the purposes of conducting research, field investigations, educational purposes and other official university business.

G. Security Measures For Shipping Hazardous Materials And Receiving Deliveries

Hazardous materials shipped from or received at ETSU's facilities, including hazardous materials loaded or unloaded to and from transport vehicles, are to be secured immediately against unauthorized access. This includes the following:

- Loading hazardous materials or receiving shipments must only occur in authorized areas.
- Visitor access to hazardous materials storage and handling areas, including truck drivers and delivery people, will be on a strictly controlled basis.
- Security devices including locks, gates, doors and other barriers will be utilized to the greatest extent possible to protect against unauthorized access to hazardous materials.
- All deliveries will be inspected for shipping documentation and damage to packages that may cause a release of the hazardous material.
- The shipper will be notified immediately of missing or damaged items.
- Deliveries of hazardous materials will only be accepted when verified as expected and when delivered by a carrier known to the University.
- Hazardous materials will only be received when authorized personnel are available to receive and promptly store them in a secure manner.
- Personnel observing the delivery of hazardous materials will watch for abnormal behavior.

H. Employee Responsibilities to Enhance Security

The following additional measures should be taken by all employees to further enhance security at the University:

- Be aware of your surroundings at all times.
- Report suspicious activities to ETSU Public Safety at 439-4480 and/or the Environmental Health & Safety Office at 439-6028.
- Make sure not to leave vehicle engines running unattended and do not leave keys in transport vehicles that are unattended.
- Lock unattended transport vehicles or vehicles not in use, making sure that the vehicle keys are secure or returned to the designated key storage area.
- Do not preload hazardous materials shipments during times of heightened threat levels.

I. Actions to be Taken in the Event of a Security Breach

In the event of a security breach, including suspicious incidents or individuals, ETSU employees should immediately contact ETSU Public Safety at 439-4480.

J. Actions to be Taken in the Event of a Spill

In the event of a spill due to a damaged or leaking package, ETSU employees should secure the location and immediately contact ETSU Public Safety at 439-4480. Trained spill response personnel will then be notified to manage the situation.

K. Important Links

[Pipeline and Hazardous Materials Safety
49 CFR Part 101](#)

Procedure History

Effective Date:

Revision Date:

Scope and Applicability

This policy applies to all ETSU faculty, staff, and students who are involved in transportation-related activities concerning hazardous materials and dangerous goods.

	Governance	
X	Academic	
X	Students	
	Employment	
	Information Technology	
X	Environmental Health and Safety	
	Business and Finance	
X	Facilities and Operations	
	Communications & Marketing	
	Advancement	

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018
ITEM: President Emeritus Contract
RECOMMENDED ACTION: Approval
PRESENTED BY: David Linville, Secretary

In accordance with the Tennessee Board of Regents guidelines for President Emeritus employment, forms have been completed by Dr. Stanton and reviewed by Dr. Noland, certifying work performed during the 2017-18 fiscal year and the minimum number of hours performing the work. State law requires Board of Trustee approval for renewal of this President Emeritus contract. The certification for the 2017-18 fiscal year are included in the meeting materials for Dr. Paul E. Stanton, Jr.

Motion: I move to approve the certification and contract for Dr. Stanton, authorizing Dr. Noland to sign the President Emeritus contract for 2018-19.

President Emeritus Report 2017-18

During this fiscal year, I performed the following functions (attached) for East Tennessee State University.

(Please type your report and attached it to this work sheet)

I spent at least 300 hours performing the work but less than 120 days.

Paul E. Stanton
President Emeritus

3/29/18
Date

For East Tennessee State University:

I have reviewed the work of Dr. Paul E. Stanton, Jr., for 2017-18, and I am satisfied that it was well performed.

B. W.
President

4-5-18
Date

Chair, ETSU Board of Trustees

Date

During this fiscal year, I have performed the following functions:

- Consultation and advisement to Dr. Brian Noland, Dr. Robert Means, and Dr. Karl Goodkin
- Fund raising for East Tennessee State University as needed
- Institution-community relations and other activities for East Tennessee State University
 - Roan Scholars Leadership Steering Committee
 - Representation for Dr. Noland on certain occasions such as alumni events
- Student advisement for first and second-year medical students and multiple pre-med students
- Consultation and advisement to others related to university activities

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Capital Project Approval

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: Jeremy Ross, Acting Chief Operating Officer

The overall goal of facilities planning for the Tennessee Higher Education Commission (THEC) is to provide physical facilities that enable each institution to provide a quality educational atmosphere to fulfill their role and mission. This goal is accomplished through annual recommendations for the funding of projects in two programs: capital outlay and capital maintenance.

Capital outlay projects utilize state funding in whole or in part. They include new facilities or additions required by enrollments or significant changes in programmatic requirements; major renovations which change the function, use or capacity of existing space; major expansions or conversions of central energy plants; and major renovation projects which upgrade or appreciably extend the life of an existing facility.

The capital maintenance projects recommended each year provide a multi-year commitment to protect the integrity of the building structures or bring the equipment or systems in the buildings into compliance with current federal, state and local standards.

Last year, a new annual scoring process was instituted by THEC to prioritize projects submitted by the TBR, UT System, and the boards of trustees from the six regional universities. Below is the list of ETSU's capital projects and priorities for fiscal year 2019-20. Last year, the Board of Trustees authorized the submission of a capital outlay project proposal for a humanities building as the university's number one priority. THEC prioritized that as 9th on the list submitted to the Governor which was not included in the State Budget proposal for funding. The humanities building capital project proposal will be resubmitted to THEC this next cycle in addition to the capital maintenance projects.

Capital Outlay

\$76,000,000 Humanities Building and Renovation of backfill spaces (Burlison/Rogers Stout)
\$76,000,000 Total

Capital Maintenance

\$1,640,000 Campus HVAC Upgrades
\$2,210,000 Chiller Replacement
\$1,760,000 Building Envelope Repairs
\$1,640,000 Bldgs # 2 and #4 Window Replacement/Envelope Repairs
\$1,000,000 Main Electrical Service Upgrade/Several Building Electrical Repair and Replacement
\$1,000,000 Shelbridge Repairs
\$9,250,000 Total

MOTION: I move that the Board of Trustees adopt the following resolution, approving the submission of the capital maintenance projects as presented in committee to the Tennessee Higher Education Commission.

RESOLVED: Upon the recommendation of the Finance and Administration Committee, the Board of Trustees approves the university's submission of the capital maintenance projects to the Tennessee Higher Education Commission.

Capital Outlay Project Proposal

Name:

East Tennessee State University Humanities Building

Size:

100,000 Gross Square Feet and Repurposing of Backfill Space

Cost:

\$76,000,000

Project Summary and Goals:

East Tennessee State University seeks to enhance the undergraduate experience of every student on campus, and thereby increase retention and graduation rates, through the construction of a modern, flexible, student-centered facility that will be home to many key general education offerings. Currently, a number of departments and disciplines in the humanities are spread across four buildings on campus in spaces that are either deteriorating or of low quality for instruction. ETSU has made significant progress in addressing quality space for professional programs, residence life, and space that enhances the university experience. However, facility surveys and plain observation clearly indicate that many general education courses and humanities activities at ETSU are held in space that is unacceptable and of far lesser quality than local community colleges and high schools.

This project seeks to enhance efforts that align with the Governor's Drive to 55 plan relative to improved retention rates, increased graduation rates, and reduction in the time to degree. Revitalizing a central area of campus that currently has a building with a facility rating that indicates demolition with a new Humanities Building will clearly assist with current efforts outlined in the strategic plan to improve the current fall-to-fall retention rate from 71% to 85% among freshmen. Acquiring space that will enhance classrooms, space that encourages student advisement, interdisciplinary collaboration among humanities faculty, and common areas to promote student and faculty interaction will help us to reach those goals and graduate 275-400 more students per year from retention improvement only. The ETSU mission reads, "ETSU provides a student-centered community of learning, reflecting high standards and promoting a balance of liberal arts and professional preparation, and continuous improvement..." Facilities at the University are limiting our ability to achieve the first part of the basic mission to reflect high standards in the liberal arts that touches the lives of every undergraduate student at ETSU.

EAST TENNESSEE STATE UNIVERSITY

BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018
ITEM: Student Trustee Selection Policy
RECOMMENDED ACTION: Approve
PRESENTED BY: Brian Noland, President

As provided in Tennessee Code Annotated § 49-8-201(f)1.A.F., the non-voting student trustee is selected by the Board of Trustees. To facilitate the selection process, the Student Government Association, in conjunction with the Office of Student Affairs, adopted a process to provide students the opportunity to be considered for the student trustee. Those nominated or self-nominated are vetted through a process supported by the SGA and overseen by the Vice President for Student Affairs. This process is presented as a proposed policy for consideration by the Board.

Motion: I move for the adoption of the Student Trustee Selection Policy as outlined in the meeting materials.



Student Trustee Selection	
Responsible Official: Vice President for Student Affairs	Responsible Office: Division of Student Affairs

Policy Purpose

The policy provides a structure to facilitate the Board’s selection of a student trustee each year.

Policy Statement

The Board of Trustees is required to select a student trustee to serve a term of 1 year as outlined in Tennessee Code Annotated § 49-8-201(f)1.A.F. A process to vet those students interested in serving as student trustee coordinated by the Student Government Association in conjunction with the Division of Student Affairs and the Vice President Student Affairs.

Authority: T.C.A. § 49-8-201(f)1.A.F.

Definitions

Policy History

Effective Date:
Revision Date:

Procedure (s)

The Board of Trustee’s selection of the student trustee follows the timeline and procedure below:

January

1. The SGA Vice President appoints a Student Trustee Selection Committee.
2. A campus wide email is sent to students soliciting applications.
3. Applications are submitted online and include a release of grades and student record information.
4. The Office of Student Affairs verifies student standing and grades and shares the list of applicants with the Committee.

February

5. The Student Trustee Selection Committee evaluates applications and narrows the pool to a group of finalists to be interviewed.
 - a. Guidelines used for evaluation are same as that of holding an Executive SGA office (3.0 GPA, Junior status or higher which is 60 or more credit hours, been at ETSU one semester).

6. The Student Trustee Selection Committee interviews the finalists.
7. The Student Trustee Selection Committee submits a list of three ranked candidates to the full SGA Senate for endorsement.
8. The list of three ranked candidates is submitted to the SGA President.
9. The SGA President submits the ranked list to the Vice President for Student Affairs.

February/March

10. The Vice President for Student Affairs, and two designees from the leadership of the Division of Student Affairs interview the final three candidates.
11. The Vice President for Student Affairs submits a ranked list of the final candidates to the President for consideration.

March/April

13. The President takes a recommended candidate to the Board of Trustees.
14. At its discretion, the Executive Committee may elect to interview one or more of the finalists.
15. The Executive Committee will then support the President’s recommendation or make an alternative recommendation. The Executive Committee will submit the recommended candidate to the Board of Trustees for review and approval.

Procedure History

Effective Date:

Revision Date:

Related Form(s)

Scope and Applicability

Check those that apply to this policy and identify proposed sub-category.

X	Governance	
	Academic	
X	Students	
	Employment	
	Information Technology	
	Health and Safety	
	Business and Finance	
	Facilities and Operations	
	Advancement	

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018
ITEM: Selection of Student Trustee
RECOMMENDED ACTION: Approve
PRESENTED BY: Brian Noland, President

Ms. Keyana Miller has been nominated by the President to serve as Student Trustee, following the policy for Student Trustee Selection outlined above.

MOTION: I move to accept the President's nomination of Ms. Keyana Miller to the position of Student Trustee.

RESOLVED: Upon the recommendation of President Noland, the Board of Trustees appoints Ms. Keyana Miller to the role of Student Trustee to East Tennessee State University's Board of Trustees.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018
ITEM: Resolution of Appreciation for Mr. Nathan Farnor
RECOMMENDED ACTION: Approve
PRESENTED BY: Brian Noland, President

MOTION: I move that the Board of Trustees adopt the resolution extending heartfelt appreciation to Mr. Nathan Farnor.

RESOLUTION:

WHEREAS Nathan Farnor embodies the values of student engagement and campus involvement at East Tennessee State University; and

WHEREAS Nathan, after graduating from Unicoi County High School, was selected to the prestigious Roan Scholars Leadership Program, the premier merit and service scholarship organization at ETSU; and

WHEREAS Nathan, through his role as Vice President of the Student Government Association, has been a strong advocate for shared governance and a champion for student issues; and

WHEREAS Nathan has performed with great distinction in the classroom while pursuing two majors, in Political Science and Communication Studies, as well as a minor in Religious Studies; and

WHEREAS Nathan has used his energy, creativity, and vision for the benefit of organizations such as the Diversity Educators, the College Democrats, Preview and Orientation Leaders, Alpha Lambda Delta Honor Society, and Men of Distinction and Ladies of Virtue; and

WHEREAS Nathan has volunteered his valuable time to various causes on campus including the American Cancer Society's Relay for Life; and

WHEREAS Nathan holds a special place in the history of East Tennessee State University as the first student ever to serve on the university's Board of Trustees;

THEREFORE BE IT RESOLVED, that the Board of Trustees extends its deepest appreciation and congratulations to Nathan Farnor for exemplary service and for representing the very highest ideals of East Tennessee State University.

The East Tennessee State University Board of Trustees

April 27, 2018

EAST TENNESSEE STATE UNIVERSITY

BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018
ITEM: 2018-19 Salary Increase Proposal
COMMITTEE: Finance and Administration Committee
RECOMMENDED ACTION: Approve
PRESENTED BY: Dr. B. J. King, Chief Financial Officer

The Governor’s Budget was released in conjunction with the State of the State address on January 29, 2018. The budget related to higher education can be found at <https://www.tn.gov/content/dam/tn/governorsoffice-documents/governorsoffice-documents/sots-2018/2019BudgetDocumentVol1.pdf>.

The Governor has recommended a 2.5% salary pool for higher education. The dollar appropriation for the 2.5% salary pool is 60% of the funding required to implement the pool. The remaining 40% will be funded through student fee increases.

	\$ Needed for 2.5% Pool	Governor’s Proposed 2.5% Pool	Funded through Student Fees or Other Sources
Main Campus	\$3,000,000	\$1,842,30000	\$1,157,700

The university is currently engaging the services of a consultant to review all functions in Human Resources, including compensation. Management is recommending an across the board 2.5% salary increase for fiscal year 2018-19. We anticipate discussing the consultant recommendations on compensation with the committee when a report is prepared.

The table below shows the salary increase implementation for the past ten years.

<u>Year</u>	<u>Across the Board Increase</u>			<u>Equity Increase To Market</u>		<u>Service Bonus</u>		
2018-19	(1)	2.5%	\$500 min	(2)				
2017-18		2.0%	\$500 min	(2)	1% pool	\$3,000 ceiling		
2016-17		2.0%	\$500 min	(2)				
2015-16		2.0%	\$500 min	(2)	Pharmacy faculty only			
2014-15		0.0%						
2013-14		1.5%	\$250 min	(2)	4.25%			
2012-13		2.5%	\$750 min	(2)	8.50%	\$5,000 ceiling		
2011-12		3.0%	\$750 min	(2)			\$1,000.00	2 years + (3)
2010-11		0.0%			Pharmacy faculty only			
2009-10		0.0%						
2008-09		0.0%					\$400.00	3 years + (3)

(1) Proposed 2.5% across-the-board increase with a \$500 minimum.

(2) Employees with annual performance evaluations which are either unsatisfactory or performance far below expectations do not participate in salary increases.

(3) Service bonus is prorated based on percentage of contract.

MOTION: I move that the Board of Trustees adopt the 2018-19 Salary Increase Proposal as outlined in the meeting materials

RESOLVED: Upon the recommendation of the Finance and Administration Committee, the Board of Trustees adopts the 2018-19 Salary Increase Proposal as outlined in the meeting materials.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Approval of Mandatory and Non-Mandatory Fee Proposals for 2018-19

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: B.J. King
Acting Chief Financial Officer

Each fall, the Tennessee Higher Education Commission (THEC) reviews what the state's appropriation for higher education should be in the coming year. That information is provided to the Governor's Office allowing opportunity for the Governor and staff to review the needs of higher education as they finalize a budget recommendation for the Tennessee General Assembly.

This year, the Governor's budget proposal was above THEC's recommendation for ETSU state appropriation with \$282,600 additional to the main campus. THEC waits for the legislative session to close and then provides a binding tuition limit to institutions. For 2018-19, the THEC proposed binding limit for tuition increase is 3% for maintenance and mandatory fees and this will be confirmed at the THEC Board meeting in May 2018.

Fees approved by the ETSU Board of Trustees at today's meeting are contingent upon the approval of Governor Haslam's budget and on THEC maintaining the 3 percent binding limit for maintenance and mandatory fees that was proposed at its November meeting. If changes were implemented to reduce the university's anticipated state appropriation or reduce the THEC binding limit, the budget would be revised to reflect those reductions.

In the last five years, the increase at ETSU has been 3.97% in 2017-18, 2.3% in 2016-17; 6.2% in 2015-16; 5.9% in 2014-15; and 7.8 percent in 2013-14.

Based on the Governor's budget proposal, the university staff recommended a fee increase in the context of the University's budget and enrollment projections for next year. Staff has proposed a 2.91% increase in maintenance and mandatory fees, which is within the Tennessee Higher Education Committee proposed range of 0-3 percent. The proposed increase is one of the lowest for ETSU in 25 years. Additionally, the staff has proposed a 2% fee increase for the

Quillen College of Medicine and a 3% increase for the Gatton College of Pharmacy. In addition to the mandatory fee increases, a number of non-mandatory fee increases are being proposed that do not affect every student. The non-mandatory fees are fees such as course fees, lab fees or materials fees that students pay depending on the classes they are taking. They are additional fees placed on courses and programs that are more expensive to operate.

At its March 29, 2018 meeting, the Finance and Administration Committee unanimously recommended a 2.91% maintenance and mandatory fee increase in addition to increases in select non-mandatory fees as outlined in the meeting materials.

The Tennessee Higher Education Commission has proposed a binding limit on maintenance and mandatory fees of 3%. The binding limit will be finalized at the May 17th THEC meeting. The limit last year was 4% and the university increased these fees 3.97%. This year the university is proposing a 2.91% increase, which would be 2.74% in maintenance fee increase and the remainder in mandatory fees.

Any Board approved fees are contingent on the approval of the Governor's budget and the approval of the THEC binding limit in May. Should the Governor's budget or the THEC binding limit be lowered after Board approval of fees, the Board and the university will lower fees accordingly and adjust the budget for fiscal year 2019.

MOTION: On the recommendation of the Finance and Administration Committee, I move adoption of the following Resolution by the Board of Trustees:

RESOLVED: The mandatory fees for 2017-18 and non-mandatory fee requests are approved as presented in the meeting materials.

The history of student fees for the last five years is presented below with a comparison to the other Tennessee Locally Governed Institutions (LGIs) and the University of Tennessee system schools.

Maintenance Fees

	%		%		%		%		%	
	2013-14	Incr	2014-15	Incr	2015-16	Incr	2016-17	Incr	2017-18	Incr
Austin Peay	\$5,874	3.2%	\$6,198	5.5%	\$6,348	2.4%	\$6,522	2.7%	\$6,696	2.67%
East Tennessee	6,198	4.7%	6,630	7.0%	6,828	3.0%	7,002	2.5%	7,224	3.17%
Middle Tennessee	6,222	5.5%	6,552	5.3%	6,756	3.1%	6,930	2.6%	7,176	3.93%
Tennessee State	5,844	1.2%	6,198	6.1%	6,378	2.9%	6,528	2.4%	6,726	2.76%
Tennessee Tech	6,096	6.1%	6,474	6.2%	7,182	10.9%	7,380	2.8%	7,656	3.77%
University of Memphis	7,410	6.2%	7,410	0.0%	7,686	3.7%	7,860	2.3%	8,064	2.15%
UT Chattanooga	6,065	6.0%	6,430	6.0%	6,624	3.0%	6,768	2.2%	6,888	1.77%
UT Knoxville ¹	8,648	10.8%	9,493	9.8%	10,190	7.3%	10,858	6.5%	11,110	1.93%
UT Martin ²	6,336	6.0%	6,716	6.0%	6,918	3.0%	7,375	6.6%	7,818	1.8%
University Average	\$6,521	5.5%	\$6,900	5.8%	\$7,212	4.4%	\$7,469	3.4%	\$7,706	2.66%

Mandatory Fees

	2013-14		2014-15		2015-16		2016-17		2017-18	
	Incr	%	Incr	%	Incr	%	Incr	%	Incr	%
Austin Peay	\$1,284	4.9%	\$1,264	-1.6%	\$1,453	15.0%	\$1,473	1.4%	\$1,529	3.8%
East Tennessee	1,345	25.1%	1,355	.7%	1,649	21.7%	1,669	1.2%	1,791	7.31%
Middle Tennessee	1,618	1.5%	1,636	1.1%	1,648	0.7%	1,660	.7%	1,772	5.48%
Tennessee State	930	0.0%	1,026	10.3%	1,039	1.3%	1,039	0.0%	1,050	1.06%
Tennessee Tech	1,287	7.3%	1,511	17.4%	1,171	22.5%	1,171	0.0%	1,217	3.93%
University of Memphis	1,256	0.0%	1,563	24.4%	1,583	1.3%	1,637	3.4%	1,637	0.0%
UT Chattanooga	1,490	0.0%	1,708	14.6%	1,732	1.4%	1,776	2.5%	1,776	0.0%
UT Knoxville	1,414	9.6%	1,510	6.8%	1,758	16.4%	1,810	3.0%	1,860	2.76%
UT Martin	1,178	6.8%	1,308	11.0%	1,408	7.6%	1,408	0.0%	1,418	0.71%
University Average	\$1,311	6.1%	\$1,431	9.4%	\$1,477	4.7%	\$1,508	1.4%	\$1,508	2.8%

Total Maintenance and Mandatory Fees

	2013-14		2014-15		2015-16		2016-17		2017-18	
	Incr	%	Incr	%	Incr	%	Incr	%	Incr	%
Austin Peay	\$7,158	3.5%	\$7,462	4.2%	\$7,801	4.5%	\$7,995	2.5%	\$8,225	2.88%
East Tennessee	7,543	7.8%	7,985	5.9%	8,477	6.2%	8,671	2.3%	9,015	3.97%
Middle Tennessee	7,840	4.6%	8,188	4.4%	8,404	2.6%	8,590	2.2%	8,948	3.93%
Tennessee State	6,774	1.1%	7,224	6.6%	7,417	2.7%	7,567	2.0%	7,776	2.76%
Tennessee Tech	7,383	6.3%	7,985	8.2%	8,353	4.6%	8,551	2.4%	8,873	3.77%
University of Memphis	8,666	5.2%	8,973	3.5%	9,269	3.3%	9,497	2.5%	9,701	2.15%
UT Chattanooga	7,555	4.8%	8,138	7.7%	8,356	2.7%	8,544	2.2%	8,664	1.4%
UT Knoxville ¹	10,062	10.7%	11,003	9.4%	11,948	8.6%	12,668	6.0%	12,970	1.93%
UT Martin ²	7,514	6.5%	8,024	6.8%	8,326	3.8%	8,783	5.5%	9,236	1.65%
University Average	\$7,833	5.6%	\$8,331	6.3%	\$8,706	4.3%	\$8,985	3.1%	\$9,268	2.72%

1 - The 2013-14 to 2016-17 maintenance rates for students admitted in the Fall 2013 or later at UT Knoxville are flat rates for 15 semester credit hours, regardless of the number of credit hours taken by the student. This policy was approved in 2012 by the UT Board for introduction in Fall 2013. Eventually, each class will be charged for 15 credit hours and tuition increases will be applied to cohorts. The rates represented here are weighted averages.

2 - The 2016-17 tuition rate for full-time students who have completed fewer than 60 credit hours is a flat rate for 15 hours a semester regardless of how many hours the student is enrolled in. Part-time students and full-time students who have completed more than 60 credit hours are charged a flat rate for 12 hours regardless of how many hours the student is enrolled in. The rates represented here are weighted averages.

Maintenance Fee Request - Per Semester

	2017-18	2018-19		Prior	Revenue	Justification
	Actual	Proposed	\$ Increase	% Increase	Increase	
Undergraduate @ 15 hrs	\$3,612	\$3,711	\$99	2.74%	3.17%	
UG Out of State	9,339	9,591	252	2.70%	3.22%	\$3,330,000 Unfunded salary pool \$1.2M, scholarship increases with tuition \$1.2M, budgeted enrollment decline 100 students \$760k, inflation
Graduate @ 9 hrs	4,122	4,230	108	2.62%	3.15%	
Grad Out of State	7,353	7,560	207	2.82%	3.16%	
College of Medicine M1, M1, M4	15,779	16,095	316	2%	2%	\$130,000 Cost study conducted
College of Medicine M3	20,986	21,406	420	2%	2%	\$59,000 Cost study conducted
College of Pharmacy	18,045	18,586	541	3%	3%	329,000 Cost study conducted

**Mandatory Fee Request – Per Semester
Fee Capped at 8 credit hours**

<u>Description</u>	<u>Current</u>	<u>Request Proposed</u>	<u>Increase</u>	<u>Prior Increase</u>	<u>Revenue Generated</u>	<u>Justification</u>
Facilities Fee	\$40/\$5 per hr	\$60.00	\$20/\$2.5 per hr	Established 2017-18	\$493,000	Increase funds for the designated pool for specific campus renovation or constructions projects including classroom enhancements and campus improvements.
Technology Access Fee Year 2 of a 5 year request	\$120.50/\$15 per hr	\$132.50	\$12/\$2 per hr	2017-18 \$8/\$1 per hr	\$296,000	Increased bandwidth costs, Storage Area Network (SAN) for backup and student network storage, Network Access Control (NAC) technology improvements.

Non-Mandatory Fee Request – Per Semester

<u>Description</u>	<u>Current</u>	<u>Request Proposed</u>	<u>Per Hour Increase</u>	<u>Prior Increase</u>	<u>Revenue Generated</u>	<u>Justification</u>
Bluegrass Band Fee	\$100 flat	\$100 per hr	From flat to cr hr charge	2015-16 \$50 increase to \$100 flat	\$7,000	Advanced bands are 2 credit courses, others are 1 hour. Account for additional instruction and supervision costs.
Studio Art Fee	\$30 per hr	\$50 per hr	\$20	2015-16 \$10 increase	\$50,000	Cover rising costs of materials, equipment, technology, and related repairs and replacements. Make fee consistent with fee for Graphic Design courses. Comparable South Alabama at \$45/hr. Eastern KY ranging from \$30-75 hr.
Art Appreciation Fee	NA	\$15 flat	\$15 flat	NA	\$3,600	Apply similar fee to this new course consistent with previously approved Art History courses.
Social Work Field Practicum Fee	\$50 flat	\$75 flat	\$25 flat	Established 2013-14	\$7,000	Used to support field education activities including liaison to sites. Expansions to Asheville and Abingdon have increased overall support costs.
Specialized Business Fee	\$30	\$35	\$5	2016-17 \$5 increase	\$162,051	Address increase costs in providing educational support. To continue to support faculty salaries in business disciplines, support for student services, instructional resources

provided to the students, and facilities improvements. Increase in fees would allow the college to support the university enrollment growth goal.

<u>Description</u>	<u>Current</u>	<u>Request Proposed</u>	<u>Per Hour Increase</u>	<u>Prior Increase</u>	<u>Revenue Generated</u>	<u>Justification</u>
Accelerated Masters in Business Administration	\$25,000	\$30,000	\$5,000	2014-15 \$5,000 increase	\$150,000	Approx. 30 students per year. To address increase in costs associated with the program: faculty/staff salaries, text books, premium facilities, and other state of the art resources.
CBAT Course Fee for 1 hour credit courses designed for international students	NA	\$150	\$150	NA	\$87,000	Assessed to one-hour credit course for approx. 290 students per semester. To support current international students in the college, as well as pursue growth in the college.
Extended hours course section fee for ENGL 1020	NA	\$100	\$100	NA	\$2,000	Create an extended-hours course section fee of \$100 that will allow departments to offer sections of courses that meet up to 5 hours a week but award the same credit as sections that meet the customary 3 hours a week. ADDITIONAL BENEFITS: Charging a \$100 fee for an extended-hours course section would lower costs for our international students, who currently pay nearly \$300 –if they get

the in-state rate—for ENGL 1009, a 1-credit lab.

Support a strategic growth agenda that maximizes the student experience both inside and outside the classroom; Expand the foundation for excellence and innovation in all disciplines; Support community engagement and service.

Health Science Course Fee	\$40	\$50	\$10	Established 2013-14	\$671,670
---------------------------	------	------	------	---------------------	-----------

<u>Description</u>	<u>Current</u>	<u>Request Proposed</u>	<u>Per Hour Increase</u>	<u>Prior Increase</u>	<u>Revenue Generated</u>	<u>Justification</u>
--------------------	----------------	-------------------------	--------------------------	-----------------------	--------------------------	----------------------

Graduate Nursing Course Fee – **two year implementation (The DPT-TTU program will implement in one year in 2019-20)**

NA

\$75 per cr hr for FY19, \$150 per cr hr for FY20

\$75

NA

\$384,300 for FY19, \$768,600 for FY20

Cost studies with peer institution nursing programs reveal the graduate programs should be increased \$150 per credit hour to support graduate level faculty. This fee will be implemented in two years, \$75 in 2018-19 and \$75 in 2019-20 for students entering in those years. The total course fee when implemented will be \$150 per credit hour.

Graduate Nursing eRate Maintenance Fee **(The DPT-TTU program will**

The current eRate is 1.5 times in-state graduate maintenance fees.

(\$75) per cr hr for FY19, (\$150) per cr hr for FY20

(\$75)

NA

(\$126,300) for FY19, (\$252,600) for FY20

Cost studies with peer institution nursing programs reveal the graduate programs which are conducted 100% online would be adversely impacted by the graduate nursing course fee. A special eRate will be applied to

implement in one year in 2019-20)

graduate nursing courses to eliminate the negative impact of the Graduate Nursing Course Fee. This fee decrease will be implemented in two years, (\$75) in 2018-19 and (\$75) in 2019-20 for students enrolling in those years. The total reduction in eRate when implemented will be (\$150) per credit hour.

<u>Description</u>	<u>Current</u>	<u>Request Proposed</u>	<u>Per Hour Increase</u>	<u>Prior Increase</u>	<u>Revenue Generated</u>	<u>Justification</u>
Silver 7 day Meal Plan	\$1,718	\$1,758	\$40/term	\$43/term	Revenue pass through to Sodexo	Food Services is a 100% auxiliary enterprise operation in contract with Sodexo. The increase is 2.33% and is based on the consumer price index for Meals Away From Home. This increase is part of the contract with Sodexo to provide food service for the campus, including residential students.
Global Sports Leadership cohort fee - approved in June 2017	\$575/cr hr in-state \$630/cr hr out-of -state	\$615/cr hr in-state \$670/cr hr out-of -state	\$40.00	Established in FY2015-16	\$16,320	To cover the increased costs of the required student travel, increases in instructional costs, recruitment

expense and increase in faculty salary and benefits.

<u>Type of Fee</u>	<u>Campus Request</u>	<u>Revenue Generated</u>	<u>Prior Increase</u>
Residence halls	No change requested	\$ -	No change requested for FY19
Apartments	No change requested	\$ -	No change requested for FY19

Summary of Maintenance and Mandatory Fees

Appropriation Unit	Current Maintenance Fee Per Year	Current Other Mandatory	Total Mandatory	Requested Other Mandatory	Total Before Maintenance Increase	% increase Before Maint Inc	<i>Projected</i> Maintenance Increase	Total Increases	<i>Projected</i> Total Mandatory	% Increase for Total Mandatory
ETSU Undergrad @15	\$ 7,224	\$1,791	\$ 9,015	\$64	\$ 9,079	0.71%	\$ 198	\$ 262	\$ 9,277	2.91%
COM M1, M2, M4	31,558	2,131	33,689	64	33,761	0.19%	632	696	34,385	2.07%
COM M3	41,972	2,834	44,806	86	44,902	0.19%	840	926	45,732	2.07%
COP	36,090	1,556	37,646	64	37,718	0.17%	1,082	1,146	38,792	3.04%

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: 2018-19 Budget Proposals

PRESENTED BY: B.J. King, Acting Chief Financial Officer

At its March 29, 2018 meeting, the Finance and Administration Committee discussed in detail the 2018-19 budget proposals for the university. The budgets were scheduled for approval by the committee at its April 27, 2018 meeting.

The university has continued to implement a process of campus budget hearings, the results of which are presented by Vice Presidents for each division to the President and the Budget Advisory and Strategic Planning Committee. The purpose of the budget process is to:

- Align budget and resources with the University's strategic plan, mission, vision, and goals
- Provide a multi-year plan that is reviewed and updated regularly
- Reflect differences and varying needs across diverse units
- Promote fiscal responsibility
- Engage and involve the entire ETSU community, thereby enhancing communication
- Promote collaboration among academic and administrative units
- Allow for the public presentation of budget priorities
- Assure transparency in decision making
- Follow an annual calendar and timeline
- Provide a venue to evaluate and prioritize budget proposals from across the University for which there are limited resources

MOTION: On the recommendation of the Finance and Administration Committee, I move adoption of the following Resolution by the Board of Trustees:

RESOLVED: The 2018-19 Budget for the university is approved as presented in the meeting materials.



ETSU 2018-19 Budget Proposal

ETSU Board of Trustees
April 2018

Governor's Budget Recommendations

	Main Campus	COM	FM	Total
Operating Increase	\$ 1,708,000	\$ -	\$ -	\$ 1,708,000
Salary 2.5% Pool	1,842,300	1,186,800	337,800	3,366,900
Insurance Increase				
Increased revenue and expense	396,300	82,500	15,000	493,800
Total Increase	<u>\$ 3,946,600</u>	<u>\$ 1,269,300</u>	<u>\$ 352,800</u>	<u>\$ 5,568,700</u>

Source: Governor's 2018-19 Budget



Governor's Budget - Capital

	State Funds
Capital Maintenance	
Campus HVAC Upgrades	\$ 2,740,000
CEB HVAC Repairs	1,800,000
Campus Water Lines Ph 1	1,500,000
Roof Replacements	1,000,000
Code Deficiencies Mem Ctr	<u>1,600,000</u>
	\$ <u>8,640,000</u>

Capital Outlay
None Included

Source: Governor's 2018-19 Budget



Salary Improvements Included in Budget Request

- Governor's budget includes a 2.5% salary pool for each appropriation unit
- Proposed 2.5 % across-the-board pay adjustment, with a floor of \$500



Fall 2018 Enrollment Projection

ETSU Fall 2018 Enrollment Outlook						
Student Category	Fall 14	Fall 15	Fall 16	Fall 17	F18	% Change Yr. to Yr.
Main Campus	13,822	13,727	13,419	13,764	13,664	-0.73%
COM	288	284	282	277	277	0.00%
COM (Residents)	249	251	260	254	254	0.00%
COP	324	323	321	311	311	0.00%
COP (Fellow)	2	2	3	2	2	0.00%
Total	14,685	14,587	14,285	14,608	14,508	-0.68%

Fall 18 is projected and is the number used to project the budget impact to ETSU

- Applications support the current projection
- Proposed budget anticipates an enrollment decline of 100 students

Source: ETSU Institutional Research and Planning



State Appropriations for Tennessee Public Higher Education Formula Units 2012-13 through 2018-19							
Institution	2012-13	2013-14	2014-15	2015-16	2016-17	Estimated 2017-18	Proposed 2018-19
Former TBR Universities							
University of Memphis	87,346,700	89,106,400	89,331,900	98,871,200	102,487,500	110,827,200	116,739,900
Middle Tennessee State University	77,193,600	81,024,600	82,830,300	86,020,200	90,791,800	97,003,700	102,904,100
East Tennessee State University	45,772,200	48,685,000	48,048,900	51,547,600	55,391,900	61,099,800	65,025,400
Tennessee Technological University	37,288,600	39,559,500	38,394,000	39,386,900	42,692,700	47,731,100	51,066,700
Austin Peay State University	28,537,600	32,995,000	34,239,800	37,040,500	40,393,800	44,621,700	47,403,200
Tennessee State University	30,810,900	32,610,800	32,088,900	32,954,100	34,773,400	36,757,500	39,010,700
Former TBR University Total	306,949,600	323,981,300	324,933,800	345,820,500	366,531,100	398,041,000	422,150,000
UT Universities							
University of Tennessee-Knoxville	153,343,900	174,335,300	179,044,900	188,226,200	199,956,000	223,270,000	231,152,000
University of Tennessee-Chattanooga	34,601,800	36,128,500	37,501,400	41,771,200	45,847,400	51,005,300	55,002,000
University of Tennessee-Martin	24,609,100	25,243,000	26,249,700	27,962,700	30,804,000	32,495,400	34,000,000
UT University Total	212,554,800	235,706,800	242,796,000	257,960,100	276,607,400	306,770,700	320,154,000

Source: FY16-FY19 Governor's Proposed Budget, FY13-FY15 THEC



Maintenance/Tuition Proposal

Campus Per Term	17-18	Request	Increase	%	Prior
Undergraduate @15	\$ 3,612	\$ 3,711	\$ 99	2.74%	3.17%
UG Out of State	9,339	9,591	252	2.70%	3.22%
Graduate @9	4,122	4,230	108	2.62%	3.15%
Grad Out of State	7,353	7,560	207	2.82%	3.16%
To fund \$1.2M unfunded salary pool, increases in scholarships, and adjust for inflation and budgeted enrollment decline					
COM M1, M2, M4 *	15,779	16,095	316	2.00%	2.00%
COM M3 *	20,986	21,406	420	2.00%	2.00%
Pharmacy *	18,045	18,586	541	3.00%	3.00%

* Adjustments based on cost study of peer institutions

Source: ETSU Business and Finance

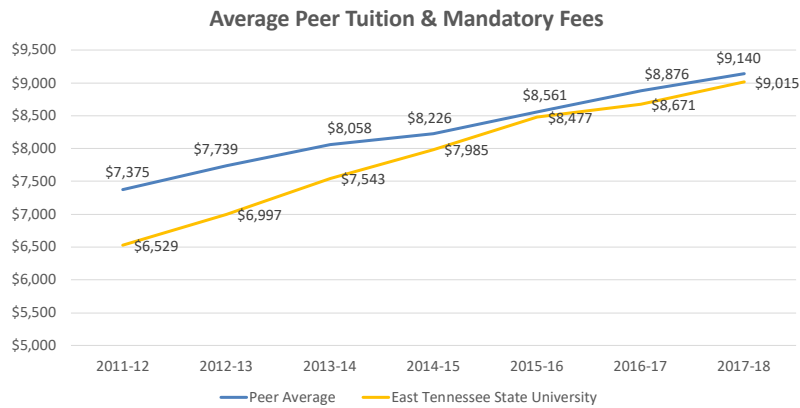


Annual Undergraduate Tuition and Mandatory Fees Based on 15 Hour Enrollment for Fall and Spring Semesters				
Institution	Last Year		Current Year	
	2016-17	2017-18	\$ Increase	% Increase
Locally Governed Institutions				
Austin Peay State University	\$7,995	\$8,225	\$230	2.88%
East Tennessee State University	8,671	9,015	344	3.97%
Middle Tennessee State University	8,610	8,948	388	3.93%
Tennessee State University	7,567	7,776	209	2.76%
Tennessee Technological University	8,551	8,873	322	3.77%
University of Memphis	9,497	9,701	204	2.15%
UT Universities				
University of Tennessee-Chattanooga	\$8,544	\$8,664	\$120	1.40%
University of Tennessee-Martin	8,783	8,927	144	1.64%
University of Tennessee-Knoxville (15/4)	12,668	12,970	302	2.38%
ETSU Proposed Annual Undergraduate Tuition and Mandatory Fees Based on 15 Hour Enrollment for Fall and Spring Semesters				
Institution	2017-18		2018-19	
	2017-18	2018-19	\$ Increase	% Increase
East Tennessee State University 2018-19	\$9,015	\$9,277	\$262	2.91%

Source: THEC



Tuition and Mandatory Fees



Source: ETSU Institutional Research and Planning



ETSU Budget

- The FY2019 Proposed Budget is balanced & within available resources
- Undergraduate tuition increases continue trending lowest in 20 years and in line with our peer institutions
- Funding for faculty & staff salary increases
- Unrestricted state funding up \$5,074,900 for four combined ETSU budget units





Main Campus
Proposed Budget
2018-19

Main Campus Appropriation and Maintenance Fee Revenue from Budget Call

Revenue and Adjustments:	Original
Appropriation increase	\$ 3,550,300
Maintenance fee increase 2.74%	3,329,670
Required Scholarship Increase	(1,290,300)
Projected enrollment decline - 100	(759,300)
Campus Investments	
Salary Pools @ 2.5%	(3,000,000)
GA Base Increase – 2 years	(220,000)
Faculty promotion and tenure pool	(250,000)
Non-instructional job audit pool	(250,000)
Allocated to new positions	(733,450)
Allocated to travel and operations	(366,550)
Unallocated	<u>\$ 10,370</u>

Source: Budget Advisory and Strategic Planning Committee



Main Campus Unrestricted Funds 2018-19 Revenue Budget

<u>Revenues by Source</u>	<u>%</u>	<u>Amount</u>
Tuition and Fees	57.77%	\$ 149,816,500
State Appropriation	25.08%	65,046,400
Grants and Contracts	2.08%	5,393,680
Sales and Services	4.62%	11,985,740
Auxiliaries	9.89%	25,645,700
Other Sources	0.55%	1,427,780
		<u>\$ 259,316,800</u>

Source: Office of Budget and Financial Planning



Main Campus Proposed Budget

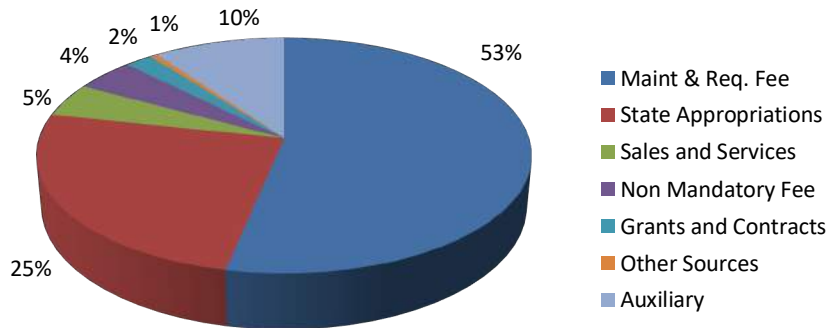
	Estimated 17-18	Proposed 2018-19	Increase (Decrease)
<u>Revenue</u>	\$ 250,628,800	\$ 259,316,800	\$ 8,688,000
<u>Expenditures and Transfers</u>			
Instruction	\$ 106,490,300	\$ 105,195,100	\$ (1,295,200)
Research	3,157,300	1,149,700	(2,007,600)
Public Service	2,563,900	2,476,400	(87,500)
Academic Support	24,622,800	23,560,500	(1,062,300)
Student Services	25,475,100	25,819,400	344,300
Institutional Support	16,229,400	16,418,000	188,600
Facilities	17,469,700	17,301,300	(168,400)
Scholarships	30,109,300	32,483,200	2,373,900
Total before transfers	226,117,800	224,403,600	(1,714,200)
Debt Service	3,400,260	3,754,590	354,330
Non-Mandatory Transfers	5,850,000	5,328,810	(521,190)
Auxiliaries Exp & Tnfrs	26,116,260	25,646,730	(469,530)
Total	<u>\$ 261,484,320</u>	<u>\$ 259,133,730</u>	<u>\$ (2,350,590)</u>

Source: Office of Budget and Financial Planning



FY 18-19 Revenue Budget

Revenue by Source



Total Revenue - \$259,316,800

Source: Office of Budget and Financial Planning



Allocation of Net New Funding – Main Campus

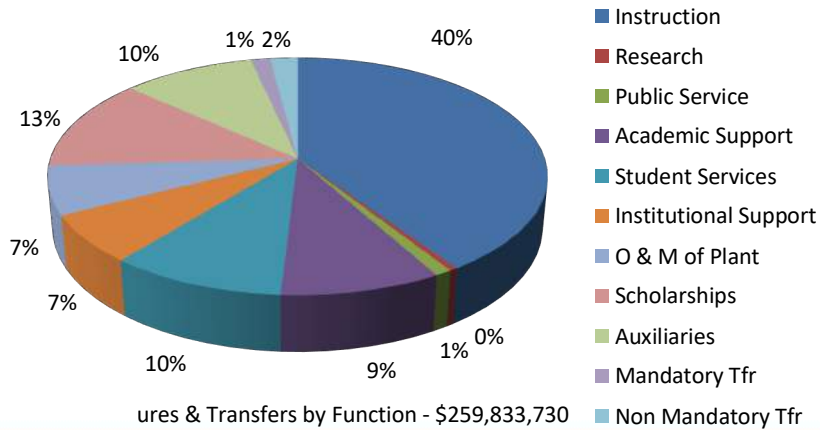
Function	Salaries and Benefits				Total
	2.5% Pool	New Positions	Travel	Operating	
Instruction	\$1,623,830	\$165,970	\$12,000	\$59,210	\$1,861,010
Research	20,580				20,580
Public Service	32,450				32,450
Academic Support	362,080	-			362,080
Student Support	352,000	62,220	15,000	66,000	495,220
Institutional Support	385,210	289,880		195,300	870,390
Operation and Maintenance	223,850	215,380		19,040	458,270
Total Expenditures	\$3,000,000	\$733,450	\$27,000	\$339,550	\$4,100,000

Source: Budget Advisory and Strategic Planning Committee



FY 18-19 Expenditure Budget

By Function

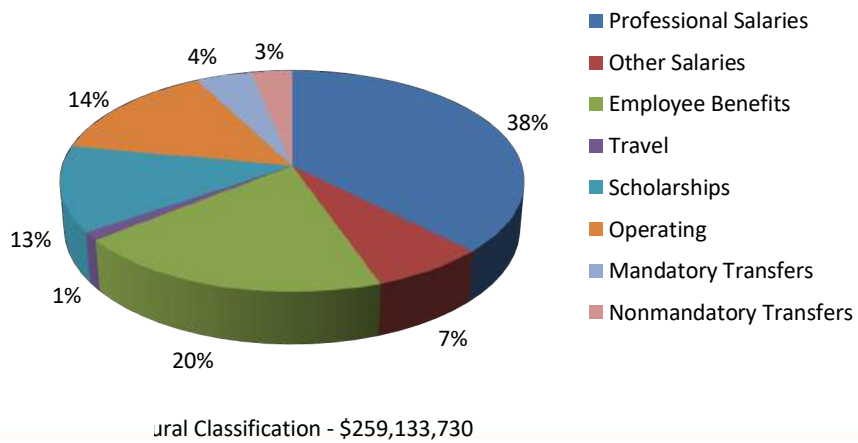


Source: Office of Budget and Financial Planning



FY 18-19 Expenditure Budget

By Natural Classification



Source: Office of Budget and Financial Planning





Quillen College of Medicine
Proposed Budget
2018-19

College of Medicine 2018-19

	Estimated 17-18	Proposed 2018-19	Increase (Decrease)
<u>Revenue</u>	\$ 58,873,000	\$ 61,208,700	\$ 2,335,700
<u>Expenditures and Transfers</u>			
Instruction	\$ 43,299,900	\$ 44,889,600	\$ 1,589,700
Research	5,090,900	3,919,300	(1,171,600)
Academic Support	6,601,300	6,652,600	51,300
Student Services	1,709,800	1,679,600	(30,200)
Institutional Support	2,815,800	2,848,100	32,300
Facilities	6,652,700	6,656,500	3,800
Scholarships	260,000	260,000	-
Total before transfers	66,430,400	66,905,700	475,300
Debt Service	88,300	88,300	-
Non-Mandatory Transfers	(5,858,100)	(5,813,000)	45,100
Total	\$ 60,660,600	\$ 61,181,000	\$ 520,400

Source: QCOM Finance and Administration



COM and MEAC Revenue Budget

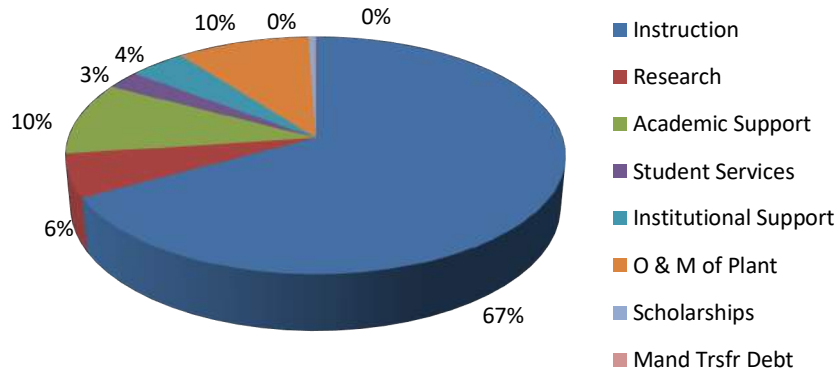
Revenues by Source	%	Amount
State Appropriations	34.42%	\$ 34,535,500
Tuition and Fees	9.76%	9,789,100
Grants and Contracts	1.40%	1,405,000
Residents Participation	15.18%	15,228,100
Other Sources	.25%	251,000
		<u>\$ 61,208,700</u>
Medical Education Assistance Corp	39.00%	39,137,200
Total		<u>\$100,345,900</u>

Source: QCOM Finance and Administration



COM FY 18-19 Expenditure Budget

By Function (Excluding Non-mandatory Transfers)



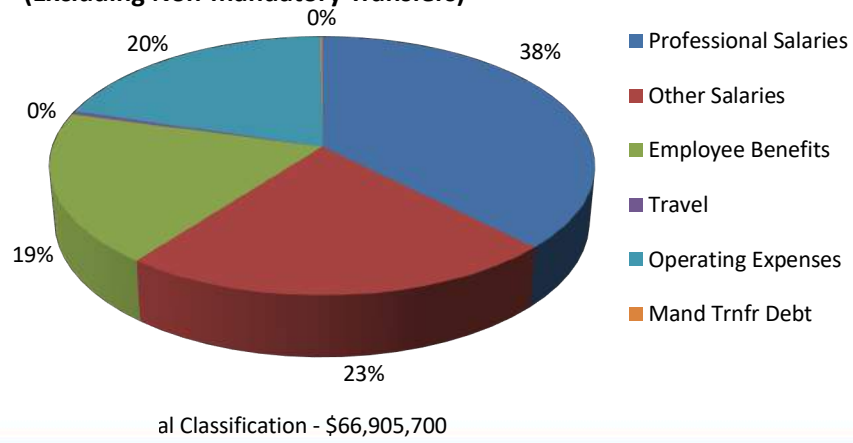
Expenditures by Function - \$66,905,700

Source: QCOM Finance and Administration



COM FY 18-19 Expenditure Budget

By Natural Classification (Excluding Non-mandatory Transfers)



Source: QCOM Finance and Administration



ETSU Family Medicine
Proposed Budget
2018-19

Family Medicine 2018-19

	Estimated 2017-18	Proposed 2018-19	Increase (Decrease)
Revenue	\$ 16,721,800	\$ 17,146,000	\$ 424,200
Expenditures and Transfers			
Instruction	\$ 11,128,700	\$ 11,482,800	\$ 354,100
Research	352,000	334,800	(17,200)
Academic Support	3,395,500	3,601,600	206,100
Institutional Support	1,568,600	1,621,800	53,200
Facilities	394,000	377,000	(17,000)
Debt Service	262,900	262,900	-
Transfer from R&R	(200,000)	(545,000)	(345,000)
Transfer from COM	(100,000)	-	100,000
Total	\$ 16,801,700	\$ 17,135,900	\$ 334,200

Source: Family Practice Finance Office



FM Revenue Budget

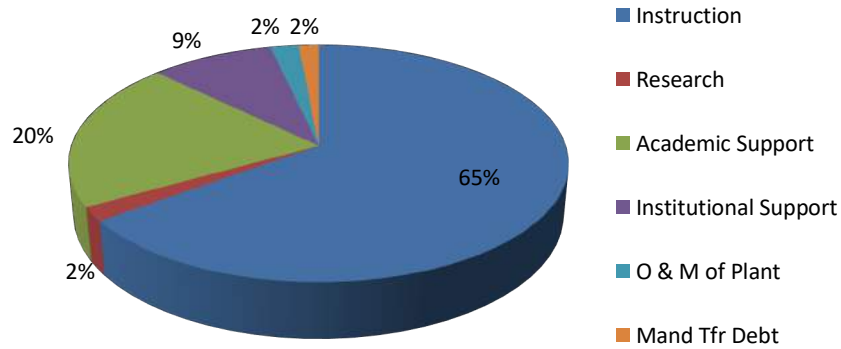
Revenues by Source	%	Amount
State Appropriations	44.09%	\$ 7,560,000
Clinical Revenue	30.82%	5,285,000
Resident Participation	21.84%	3,745,000
Other Sources	3.24%	556,000
		\$ 17,146,000

Source: Family Practice Finance Office



FM FY 18-19 Expenditure Budget

By Function (Excluding Non-Mandatory Transfers)



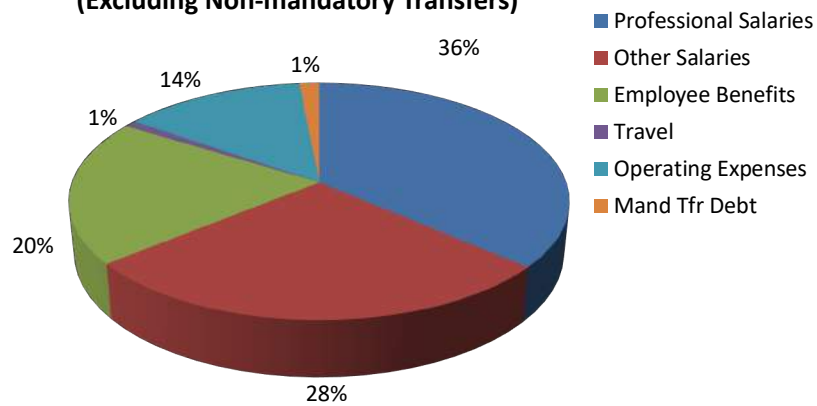
ures & Mandatory Transfers by Function - \$17,680,900

Source: Family Practice Finance Office



FM FY 18-19 Expenditure Budget

By Natural Classification (Excluding Non-mandatory Transfers)



by Natural Classification - \$17,680,900

Source: Family Practice Finance Office





Bill Gatton College of Pharmacy
Proposed Budget
2018-19

College of Pharmacy 2018-19

	Estimated 17-18	Proposed 2018-19	Increase (Decrease)
<u>Revenue</u>	\$ 11,168,300	\$ 11,489,200	\$ 320,900
<u>Expenditures and Transfers</u>			
Instruction	\$ 6,850,000	\$ 6,899,300	\$ 49,300
Research	472,800	296,700	(176,100)
Academic Support	1,530,400	1,665,300	134,900
Student Services	677,900	661,400	(16,500)
Institutional Support	792,400	632,800	(159,600)
Facilities	527,400	521,100	(6,300)
Scholarships	410,000	215,000	(195,000)
Total before transfers	11,260,900	10,891,600	(369,300)
Debt Service	661,000	661,000	-
Nonmandatory Trfs	246,400	(63,500)	(309,900)
Total	\$ 12,168,300	\$ 11,489,100	\$ (679,200)

Source: GCOP



COP Revenue Budget

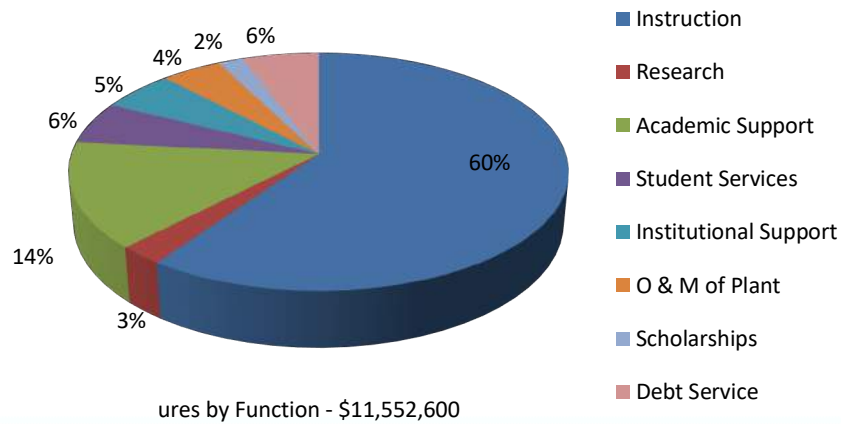
Revenues by Source	%	Amount
State Appropriations	0%	\$ 0
Tuition and Fees	99.69%	11,474,200
Other Sources	0.31%	15,000
		\$ 11,489,200

Source: GCOP



COP FY 18-19 Expenditure Budget

By Function (Excluding Non-mandatory Transfers)

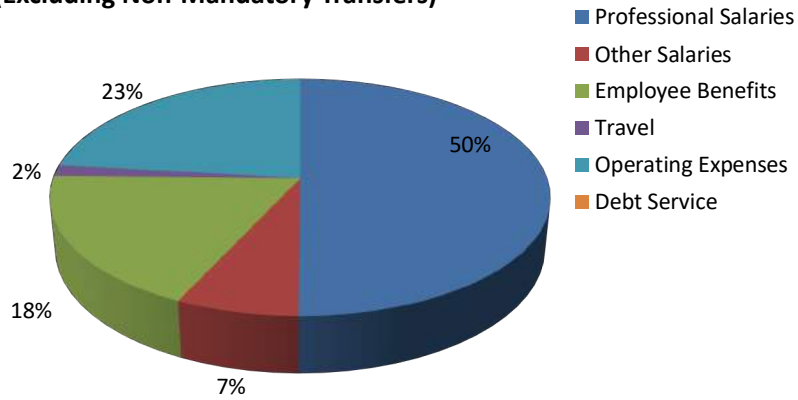


Source: GCOP



COP FY 18-19 Expenditure Budget

By Natural Classification
(Excluding Non-Mandatory Transfers)



by Natural Classification - \$11,552,600

Source: GCOP



Summary

Summary

- Thorough budget hearing process
- Recommending low tuition increases with stable state appropriation revenue
- Investments of significant institutional resources in ETSU employees with 2.5% salary pool
- State continued investment in campus infrastructure for several maintenance projects

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Promotion and Tenure of Faculty Members

COMMITTEE: Academic and Student Affairs Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Bert C. Bach
Provost and Vice President for Academic Affairs

Promotion in rank recognizes the past achievements of a faculty member and expresses confidence that she or he is capable of even greater accomplishments and of assuming greater responsibilities. The University awards tenure to faculty whose professional abilities and accomplishments warrant the degree of permanence afforded by academic tenure.

MOTION: I move that the Academic and Student Affairs Committee recommend adoption of the following Resolution by the Board of Trustees:

RESOLVED: Promotion in rank and/or the awarding of Tenure is granted to the faculty members recommended by the President in the particular unit, department, or college as outlined in the meeting materials.

April 2, 2018

David Linville, MD, EdD
Secretary ETSU Board of Trustees

Dr. Linville,

I recommend that the Board of Trustees award tenure and/or promotion to the faculty as indicated on attachment A (*Promotion and Tenure Recommendations for 2018-2019*). The faculty listed below are recommended as exceptions permitted by ETSU policy or are recommended for tenure upon appointment.

Attachment B provides summary data on numbers and percentages of full-time ETSU faculty with tenure and by professorial rank in Fall 2016 and Fall 2017.

Recommended as Exceptions

Dr. Amanda Greene

Sport, Exercise, Recreation, and Kinesiology

College of Education

Exception: Awarding tenure prior to completing the probationary period and promotion to associate professor prior to completing the minimum years in rank

Dr. Greene became a full-time faculty member in the Department of Sport, Exercise, Recreation, and Kinesiology in 2013, having previously been an adjunct faculty member here. She has taught a variety of graduate and undergraduate courses and has designed and taught two online courses. Approximately 90% of her student assessment of instruction scores are in the “agree” to “strongly agree” range, and students comment on how prepared, responsive and effective she is. Dr. Greene has eight peer-reviewed publications, of which she is the first author on four. She has made 13 presentations at national, regional, state and local conferences and has been awarded over \$400,000 in grant funding during her time at ETSU. Dr. Greene’s service to the community and university includes being her department’s undergraduate program coordinator and internship coordinator and advising the sport management club. She is also a research consultant for Bristol Motor Speedway.

Dr. Tina Hudson

Educational Foundations and Special Education

College of Education

Exception: Awarding tenure prior to completing the probationary period and promotion to associate professor prior to completing the minimum years in rank

Dr. Hudson has been with ETSU since 2013. She has developed new courses, mentored faculty in revising courses, and worked to connect the goals of InTopForm, ETSU’s SACSCOC-mandated Quality Enhancement Plan, to the EdTPA, an assessment and support system used by teacher preparation programs throughout the United States. Her student assessment of instruction scores have been very high, and she has received the Clemmer College of Education outstanding teaching award. Dr. Hudson has co-authored three peer-reviewed articles and five book chapters (seven as first author), edited three conference proceedings and presented at 16 national conferences. She is the managing editor for *Rural Special Education Quarterly* and has received one internal and one external grant. In service to her college and department Dr. Hudson has developed training videos for the EdTPA, a certificate program for Response to Intervention, a matrix for CEC standards, and methods for remote supervision.

Mr. Michael Marks

Mathematics and Statistics

College of Arts and Sciences

Exception: Promotion to assistant professor without the terminal degree

Mr. Marks began his employment at ETSU in 2000 as a tenure-track instructor in the Department of Mathematics. This is a teaching position serving the Kingsport-Allandale campus. In 2005 he was granted tenure. After teaching ETSU students for 17 years, Mr. Marks has applied for promotion to assistant professor, and his application has received unanimous support from all levels of review. Mr. Marks is by all accounts an outstanding instructor who is appreciated greatly by his peers and his students. He has twice been named the Outstanding Mathematics Faculty Member in Teaching at ETSU. In addition to teaching lower-level mathematics courses at the Kingsport campus, he has used leading-edge instructional technology to offer his classes in other formats, first through ITV and then through asynchronous on-line, and synchronous, streaming technology. Mr. Marks is enterprising, innovative and committed to the success of ETSU students.

Dr. Shunbin Ning

Internal Medicine

College of Medicine

Exception: Awarding tenure prior to completing the probationary period and promotion to associate professor prior to completing the minimum years in rank

Dr. Ning joined ETSU in May 2014, having previously been a faculty member of the School of Medicine at the University of North Carolina at Chapel Hill and then the University of Miami College of Medicine. Upon arriving at ETSU he was granted three years credit tenure and promotion. While at the University of Miami, Dr. Ning received a prestigious American Society of Hematology Scholar grant in the field of viral leukemogenesis, which transferred to ETSU with him. He is a key collaborator in the Center for Inflammation, Immunity and Infectious Diseases. He has co-authored more than 60 original papers, reviews and book chapters, including 13 publications in high impact journals such as *Virology* and the *Journal of Biological Chemistry* since coming to ETSU. Dr. Ning has also received an R15 grant from the National Institutes of Health as an independent investigator, an especially noteworthy research accomplishment. He serves the university as a member of the Faculty Senate and the research development committee, and he is active in his profession, serving on the editorial boards of several journals.

Mr. Willie Smith

Mathematics and Statistics

College of Arts and Sciences

Exception: Promotion to assistant professor without the terminal degree

Mr. Smith began his career at ETSU in 2001 as a tenure-track instructor in developmental studies before moving to the Department of Mathematics in 2003. He was awarded tenure in 2006. After teaching ETSU students for 16 years he has applied for promotion to assistant professor, and his application has received unanimous support from all levels of review. Mr. Smith initially taught developmental mathematics courses and subsequently also taught pre-calculus courses and, most recently, sections of MATH 1530, Probability and Statistics, in which ETSU embeds learning support. Thus he has consistently taught the many students entering ETSU who struggle with mathematics. He seeks to make them feel more comfortable with the subject, spends additional time with them and is committed to their success. Innumerable students have been retained at ETSU and gone on to complete their degrees due to Mr. Smith's efforts on their behalf.

Exception: Promotion to assistant professor without the terminal degree

Ms. Brooks Taylor joined ETSU's division of Student Affairs in 1999 after serving as an adjunct faculty member here since 1993. She transferred to the Clemmer College of Education in 2009 and was awarded tenure in 2015 as a faculty member in Counseling and Human Services. In this role she contributes to the Human Services program, the department, the college and the university. Ms. Brooks Taylor's Student Assessment of Instruction scores are exceptionally strong. Her most notable achievements relate to her leadership of ETSU's service learning program, in which students from across the university engage in community service and thereby deepen their mastery of their fields of study and their commitment to civic engagement. Ms. Brooks Taylor has authored a book on service learning and has been awarded grants for her work with service learning and the America Reads program. She is active on university and regional committees and organizations and has been active in implementing a learning community at ETSU.

Recommended for Tenure upon Appointment

Dr. S. Lee Ridner

Graduate Programs

College of Nursing

Dr. Ridner came to ETSU in January 2018 from the University of Louisville, where he was Associate Dean of Graduate Programs. He is an internationally recognized nurse scientist who specializes in the health status and smoking habits of college-age students. He has taught at all levels of nursing education and served on numerous master's theses and doctoral dissertation committees. Dr. Ridner has received funding for three program grants as either the project director or a co-director or co-investigator totaling \$7,091,544, and he has received funding for seven research grants as either the principal investigator or co-investigator totaling \$289,618. His publications total 31, and he has given 23 oral presentations, five of which were invited, and presented 23 posters. Dr. Ridner is a certified Family Nurse Practitioner and has practiced in that role for a number of years.

I am honored to recommend for tenure or promotion the faculty named in this letter and those on the documents accompanying it.

Sincerely,



Brian Noland
President

Attachments

Copies:

Bert C. Bach
Wilsie S. Bishop
Human Resources

Promotion and Tenure Recommendations for 2018-2019				
College/Faculty Name	Department	Proposed Rank ¹	Location of Tenure ²	
Arts and Sciences				
	Allen, Michael	Philosophy & Humanities	Professor	
	Blackhart, Ginette	Psychology	Professor	
	Foster, Kelly	Sociology & Anthropology	Associate	Sociology & Anthropology
	Harker, David	Philosophy & Humanities	Professor	
	Killmeyer, Heather	Music	Associate	Music
P	Marks, Michael	Mathematics & Statistics	Assistant	
	Mei, Hua	Chemistry	Associate	Chemistry
	Michieka, Martha	Literature & Language	Professor	
	Rankin, John	History	Associate	History
	Schubert, Blaine	Geosciences	Professor	
P	Smith, Willie	Mathematics & Statistics	Assistant	
	Stevens, Alan	Music	Associate	Music
	Stinson McKnight, Jill	Psychology	Associate	Psychology
	Williams, Stacey	Psychology	Professor	
Business and Technology				
	Atkins, Kelly	Management & Marketing	Associate	
	Bhattacharjee, Prasun	Economics & Finance	Associate	Business & Technology
	Gregory, Richard	Economics & Finance	Professor	
Clinical and Rehabilitative Health Sciences				
	Epps, Susan	Allied Health Sciences	Professor	
	Hall, Courtney	Physical Therapy	Professor	
Education				
	Bernard, Julia	Counseling & Human Services	Associate	Counseling & Human Services
	Chambers, Cynthia	Educ Foundations & Special Education	Professor	
	Campbell, Heidi	University School		University School
	Flora, William	Educ Leadership & Policy Analysis		Educ Leadership & Policy Analysis
PT	Greene, Amanda	Sport, Exer, Recreation, & Kinesiology	Associate	Sport, Exer, Recreation, & Kinesiology
PT	Hudson, Tina	Educ Foundations & Special Education	Associate	Educ Foundations & Special Educ
	Lange, Alissa	Human Development & Learning	Associate	Early Childhood Education
	Likis-Werle, Sarah	Counseling & Human Services	Associate	Counseling & Human Services
	Lyons, Renee	Curriculum & Instruction	Associate	Curriculum & Instruction
	Mizuguchi, Satoshi	Sport, Exer, Recreation, & Kinesiology	Associate	Sport, Exer, Recreation, & Kinesiology
	Rice Moran, Renee	Curriculum & Instruction	Associate	Curriculum & Instruction
	Scott, Pamela	Educ Leadership Policy Analysis	Professor	
P	Taylor, Teresa	Counseling & Human Services	Assistant	
	Trivette, Carol	Early Childhood Education	Professor	Early Childhood Education
Library				
	Anderson, Joanna	Library Administration	Associate	Library
Medicine				
	Chakraborty, Kanishka	Internal Medicine	Associate	
	Eberhart, Anne	Surgery	Professor	
	Lasky, Tiffany	Surgery	Professor	
	Lee, Joseph	Surgery	Associate	
PT	Ning, Shunbin	Internal Medicine	Associate	Medicine
	Paul, Timir	Internal Medicine	Associate	
	Pierce, Deidre	Internal Medicine	Associate	
	Shah, Rupal	Internal Medicine	Associate	
Nursing				
A	Ridner, S. Lee	Graduate Programs		Nursing Graduate Programs
Pharmacy				
	Alexander, Katelyn	Pharmacy Practice	Associate	
	Burchette, Jessica	Pharmacy Practice	Associate	
	Stewart, David	Pharmacy Practice	Professor	
Public Health				
	Quinn, Megan	Biostatistics & Epidemiology	Associate	Biostatistics & Epidemiology
	Slawson, Deborah	Community & Behavioral Health	Professor	

¹=if recommended for promotion; ²=if recommended for tenure; A=Tenure upon Appointment; P=Recommended for Promotion by exception; T=Recommended for Tenure by exception. Details pertaining to the justification for exceptions are included in the letter from ETSU President Brian Noland to BOT Secretary David Linville.

Full-Time Faculty by Academic Rank

Main Campus

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Other	2	0.3	3	0.5
Lecturer	62	9.8	63	9.6
Instructor	68	10.8	74	11.3
Assistant Professor	175	27.7	167	25.5
Associate Professor	164	25.9	183	28.0
Professor	161	25.5	164	25.1
	632	100.0	654	100.0

Medicine

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Other	0	0.0	0	0.0
Lecturer	0	0.0	0	0.0
Instructor	2	1.1	2	1.1
Assistant Professor	63	34.1	63	34.1
Associate Professor	36	19.5	44	23.8
Professor	84	45.4	74	40.0
	185	100.0	185	100.0

Pharmacy

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Other	0	0.0	0	0.0
Lecturer	0	0.0	0	0.0
Instructor	0	0.0	0	0.0
Assistant Professor	9	31.0	7	24.1
Associate Professor	14	48.3	16	55.2
Professor	6	20.7	6	20.7
	29	100.0	29	100.0

Combined

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Other	2	0.2	3	0.3
Lecturer	62	7.3	63	7.3
Instructor	70	8.3	76	8.8
Assistant Professor	247	29.2	237	27.4
Associate Professor	214	25.3	243	28.1
Professor	251	29.7	244	28.2
	846	100.0	866	100.0

Notes:

1. Does not include: Faculty with part-time FTE; Military Science faculty; VA Academic faculty; Geographic, full-time faculty with part-time FTE (Medicine only); Administrative employees (AE, AD, CH) with rank.
2. Does include: University School faculty
3. Other rank are post-doc appointments in Literature & Language

Full-Time Faculty by Tenure Status

Main Campus

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Non Tenure-Track	113	17.9	125	19.1
Tenure-Track	162	25.6	150	22.9
Tenured	357	56.5	379	58.0
	632	100.0	654	100.0

Medicine

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Non Tenure-Track	101	54.6	106	57.3
Tenure-Track	11	5.9	11	5.9
Tenured	73	39.5	66	35.7
	185	100.0	185	100.0

Pharmacy

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Non Tenure-Track	17	58.6	18	62.1
Tenure-Track	2	6.9	0	0.0
Tenured	10	34.5	11	37.9
	29	100.0	29	100.0

Combined

	<u>Fall 2016</u>		<u>Fall 2017</u>	
	Count	%	Count	%
Non Tenure-Track	231	27.3	249	28.8
Tenure-Track	175	20.7	161	18.6
Tenured	440	52.0	456	52.7
	846	100.0	866	100.0

Notes:

1. Does not include: Faculty with part-time FTE; Military Science faculty; VA Academic faculty; Geographic, full-time faculty with part-time FTE (Medicine only); Administrative employees (AE, AD, CH) with rank.
2. Does include: University School faculty

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Proposal to Establish a New Academic Degree: *BS in Rehabilitative Health Sciences*

COMMITTEE: Academic and Student Affairs Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Bert C. Bach
Provost and Vice President for Academic Affairs

The College of Clinical and Rehabilitative Health Sciences proposes a B.S. in Rehabilitative Health Sciences. The College has worked on this degree for four years. According to THEC policy, a consultant and THEC staff conducted a review and site visit. Recommendations by the reviewers were addressed. The proposed degree was then vetted through the University's internal approval process and is recommended for approval by the Undergraduate Curriculum Committee, Academic Council, and President Noland. THEC has affirmed that the ETSU Board of Trustees reviews the proposal.

The degree addresses the supply and demand for rehabilitation professionals in Tennessee and the United States. According to the U.S. Bureau of Labor Statistics, the national employment rate of rehabilitation professionals (PT, OT, SLP, and AUD) is expected to grow faster than average through the year 2024. Specifically, rehabilitation health care professions are expected to grow 21% - 34% over the next 10 years. The growing demand for rehabilitation professionals who understand normal aging, neurogenic diseases, psychosocial function, physical injuries, and rehabilitation and health care systems is increasing with the aging of the population in Tennessee and the nation. Life-saving medical interventions are extending the lives of Americans, increasing the elder population and saving the lives of individuals who might have previously succumbed to disease or injury. These medical advances have resulted in an increased need for rehabilitation services for persons who survive, but have temporary or chronic disabling conditions which interfere with their ability to function. As a result, there is a dramatically increased demand for rehabilitation personnel and a need for new therapies to assist individuals as they recover, adjust and adapt to health changes.

The curriculum is framed within the World Health Organization's International Classification of Functioning, Disability, and Health (WHO; ICF, 2004), which emphasizes patient-centered interprofessional care and fosters the application of the four core competencies of interprofessional collaborative practice (Interprofessional Education Collaborative, 2011). This curricular framework is particularly essential to rehabilitation medicine, which defines itself with

respect to concepts of functioning, disability and health. The program includes 49 credit hours in the major and incorporates 150 clinical observation hours.

Financial projections are based on two additional faculty, chair stipend, executive aide, and operation expenses. Tuition is based on 2017-18 maintenance fees with an annual 3% increase.

	Year 1	Year 2	Year 3	Year 4	Year 5
Enrollments	26	50	70	72	73
Expenditures	\$156,758	\$239,057	\$244,919	\$250,956	\$257,175
Tuition and Fees	\$279,899	\$458,845	\$647,111	\$659,841	\$695,480
Profits	\$123,141	\$219,788	\$402,1931	\$408,885	\$438,305

MOTION: I move that the Academic and Student Affairs Committee recommend adoption of the following Resolution by the Board of Trustees:

RESOLVED: The proposed new academic degree, *BS in Rehabilitative Health Sciences*, is approved by the Board as outlined in the meeting materials. The University is directed to submit proposal with the Board’s decision to the Tennessee Higher Education Commission for its consideration

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Proposed Change of Name: Clemmer College of Education

COMMITTEE: Academic and Student Affairs Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Bert C. Bach
Provost and Vice President for Academic Affairs

Dr. Gregory Aloia
Dean, Claudius G. Clemmer College of Education

Renaming the Claudius G. Clemmer College of Education: An Effort to Redefine the College with an Aspirational and Non-restrictive Title.

Introduction

The dedication to teaching and human service that began in 1911 with the foundation of the East Tennessee State Normal School is still alive today in the Claudius G. Clemmer College of the Education (CCOE). As part of this mission the CCOE at East Tennessee State University has evolved into a home to programs of study that focus on improving the lives of individuals through teaching and learning, physical and mental health, and leadership. The college is home to six academic departments, four Centers of Excellence, and six facilities that offer specialized services to the community:

Departments	Centers of Excellence	Facilities
Counseling and Human Services	Early Childhood Learning & Development	ETSU U.S. Olympic Training Site
Curriculum and Instruction	Community College Leadership	Child Study Center
Early Childhood Education	Mathematics & Science Education	Little Bucs Childcare

<p>Educational Foundations & Special Education</p> <p>Educational Leadership & Policy Analysis</p> <p>Sport, Exercise, Recreation, & Kinesiology</p>	<p>Sport Science & Coach Education</p>	<p>University School</p> <p>Community Counseling Clinic</p> <p>Family Support Center in Sevierville</p>
--	--	---

The CCOE’s programs are accredited by the National Council of Accreditation of Teacher Education, Tennessee Department of Education, Council for Accreditation of Counseling & Related Education Programs, National Association for the Education of Young Children, Council for Exceptional Children, Council for Students in Human Services Education, and the National Association of Sport Physical Education.

The college is named for Claudius G. Clemmer, a former teacher, successful business and civic leader, and lifelong benefactor and champion for education. During the Great Depression, with no money to support his one-room schoolhouse in Greene County, Clemmer taught his 30 students without pay so they could continue their studies. Scholarships established by Clemmer continue to support new generations of education students who will carry the same dedication to service into their own professional careers.

Background/Problem

The CCOE received feedback from faculty, staff, students, and prospective students that the current name of the college does not encompass or represent all that the college is or all that the college would like to be. As a college that does more than prepare teachers, the title of “College of Education” does not accurately reflect the variety and complexity of the programs, centers, research strands, and faculty interests. The current name actively excludes programs that are not typically defined as education programs, such as sport science. This restrictive title prevents many applicants from considering or discovering the many non-teacher education programs the college has to offer.

The CCOE sent a survey to its constituents requesting suggestions for a new name. In homage to their early educational roots, the CCOE decided that the new name should retain Clemmer but change to represent counselors, coaches, and educational leaders, as well as teachers and trainers at all educational levels. During this process, many expressed concerns that simply attaching additional descriptors to the current name would make the name too long or complex, which would be difficult to remember and may unintentionally exclude some programs. In accordance with these concerns, the leadership team proposed that rather than simply adding to the current name a new, more inclusive title would afford them more chance to define their aspirations.

By adopting a distinctive, memorable, and aspirational name the college will be able to more accurately represent the variety of programs and services they offer.

Solution

After seeking the counsel of CCOE faculty and staff, University Relations, and Media and Communications specialists, the CCOE concluded that simplifying the college's name to Clemmer College would best reflect both the current diversity of the college's programs and the college's future aspirations. The 157 faculty and staff present at the meeting overwhelmingly chose this aspirational new name, as they seek to be one of the premier colleges for education, sport science, counseling, and leadership. Their goal is for the name to be recognized nationally and internationally, in the same way that Peabody, Wharton, and Kellogg have name recognition as premier colleges. The new name, along with the development of the strategic plan and alignment of the plan to the university's plan, has given the college a central focus and a new cohesive goal; to connect the Clemmer name universally with excellence in all aspects of teaching, coaching, counseling, and leadership with only two words: Clemmer College.

On their future promotional materials, the CCOE plans to use the subtitle "Excellence in Counseling, Education, Leadership, and Sport" to market the college's breadth of programs and services. These words create the acronym "EXCELS," which further emphasizes the CCOE's goal to strive for nationally recognized excellence in each program.

Conclusion

After listening to feedback from the college's key publics, the CCOE has concluded that the name Clemmer College with the associated subtitle "Excellence in Counseling, Education, Leadership, and Sport" best represents the college's students, faculty, staff and the university as a whole. This aspirational title will provide the Clemmer College with the ability to continue to grow in the local, regional, and global communities as it works to further develop its varied programs and opportunities.

MOTION: I move that the Academic and Student Affairs Committee recommend adoption of the following Resolution by the Board of Trustees:

RESOLVED: The name of the Clemmer College of Education shall be changed to the Clemmer College to better reflect its mission as outlined in the meeting materials.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES
ACADEMIC AND STUDENT AFFAIRS COMMITTEE

ACTION ITEM

DATE: April 27, 2018

ITEM: Academic and Student Policies

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Bert Bach
Provost and Vice President for Academic Affairs

As provided by the FOCUS Act, the ETSU Board of Trustees sets policies and guidelines for the operation of the University. The authority, purpose, duties, and responsibilities of the Board and Trustees are delineated in TCA § 49-8-101. The distinctions between the duties of the Board and the responsibilities of the administration and faculty are clearly delineated in the enabling legislation. The Board of Trustees is responsible for setting policy with regard to academic, business and finance, governance and organization, personnel, and student matters and for providing guidelines on the implementation of those policies. The ETSU President serves as executive head for the administration and faculty of ETSU and does not serve on Board of Trustees. The administration and faculty are responsible for carrying out ETSU's mission within the parameters of policies and guidelines and in accordance with the coordinating responsibilities of THEC.

For consideration today is one (1) policy. This policy has been reviewed by the Faculty Senate leadership to confirm that no substantive changes have been made. Additionally, the policies were vetted and subsequently approved by the Academic Council.

MOTION: I move that the Committee recommend adoption of the following policies by the Board of Trustees:

Use of Campus Property and Facilities Policy

ROLL CALL VOTE



Use of Campus Property and Facilities	
Responsible Official: Vice President for Student Affairs	Responsible Office: Student Affairs / D.P. Culp University Center

Policy Purpose

The purpose of this policy is to set forth East Tennessee State University’s policy regarding the use of campus property and facilities.

Policy Statement

East Tennessee State University (ETSU) regulates the use of its campus property and facilities in order to be consistent with the University mission and educational purpose through the implementation of reasonable, content/viewpoint neutral regulations. This policy, and all campus policies developed in compliance with the policy, shall be implemented and construed so as to ensure no undue disruption of that mission, promote an educational atmosphere on campus; prevent commercial exploitation of Students (defined herein below); preserve residential tranquility, and prevent use of campus property and facilities contrary to federal, state or local law, regulation, or the rules and policies of the ETSU Board of Trustees (“Board”).

ETSU recognizes the importance to the educational process and environment for persons affiliated with the University including officially recognized student organizations and other groups to have reasonable access to, and use of, the educational facilities on campus, to hear various views. Simultaneously, ETSU facilities are not open public forums, but are instead solely for use consistent with the advancement and orderly administration of its educational mission for the benefit of its Students, staff, and Affiliated Groups and Individuals (defined herein below). As such, ETSU does not ordinarily make its buildings or other facilities available to Non-Affiliated Persons (defined herein below). Exceptions may be made only if the proposed use is consistent with this policy and institutional policy and mission.

I. Access to Campus and Use of Property or Facilities

A. Access to and use of campuses, facilities, and property of ETSU is restricted to the institution, institutional administration for official functions, Normal Educational Activities, Affiliated Persons, and Invited Guests of the institution except as specifically provided by this policy; when part or all of a campus, its buildings or facilities are open to the general public for a designated time and purpose, or when use by Non-Affiliated Persons has been granted or approved pursuant to the provisions of this policy.

B. All persons on the campus, including faculty, staff, Students, and guests, shall be subject to all applicable rules and regulations of the University, the Board of Trustees,

and to all applicable federal, state laws and regulations. In addition, all persons who operate motor vehicles on the campus agree by such operation to be subject to University and Board rules, regulations, policies and procedures on traffic and parking.

- C. All persons on the university campus must provide adequate identification, upon request, to any university official and/or security personnel. University personnel and Students who refuse to provide such identification may be subject to disciplinary action. Other such persons who refuse to provide such identification may be requested to leave the campus. Should they refuse, they may be subject to lawful removal and prosecution.

II. General Conditions for use of Property or Facilities

- A. Use of campus property and facilities, as detailed in this policy, is subject to limitations on the number of persons who may attend in accordance with appropriate building regulations, fire codes, and safety standards.
- B. All regulations and policy statements that relate to the conduct of assemblies, meetings and demonstrations of Affiliated Persons also apply to all Non-Affiliated Persons and to individual use.
- C. Sound amplification equipment may be used by entities and individuals at assemblies, meetings, and demonstrations only when prior approval has been granted by the University. Such sound amplification is subject to reasonable regulation by the University with respect to time, place, manner, and volume.
- D. University equipment may be used in connection with the use of campus property and facilities only with the approval of, or under the supervision of, approved University personnel.
- E. The University has an established system in which Affiliated Persons are given priority in the use of property and facilities (see Appendix IV).
- F. All reservations and usage must comply with the University's designated food service provider contract. All food and beverage vending is handled through the designated University vending services contractor.
- G. Campus property and facilities may not be used by Non-Affiliated Persons for the conduct of profit-making activities except when a rental or lease agreement is negotiated and entered into with the University. Rental rates are generally based on the fair market value of providing the property, facilities, equipment, and service used and includes overhead, depreciation, utilities, maintenance, and security expenses. Rental charges may be based in part upon a fixed percentage of the gross receipts of the activity (see Appendix VI), with a minimum rental fee being charged. The University reserves the right to reduce or waive rental charges for such use

depending upon the nature and extent of the proposed use. The University permits short-term rental/lease agreements with both Affiliated Persons and Non-Affiliated Persons for use of campus property and facilities.

- H. Students, faculty, and staff acting independently of an Affiliated Entity may apply for use of facilities as an Affiliated Person in accordance with these policies and procedures.
- I. All rental agreements between the University and Non-Affiliated Persons will be processed and approved by the designated university officials. Such agreements shall not exceed four (4) months in length and may only be renewed or repeated after review to determine that such use does not conflict with an institutional need for the facility/space.
- J. The University may require Non-Affiliated Persons who use campus property or facilities to provide the following:
 - 1. An adequate bond or other security for damage to the property or facilities during the period of use.
 - 2. Personal injury and property damage insurance coverage.
 - 3. A performance bond guaranteeing performance of its obligations under the contract.
 - 4. Other types of insurance in such amounts as may be designated by the institution. The University may waive these requirements of security, performance bond, or insurance coverage at its discretion.
- K. Non-Affiliated Persons and some Affiliated Persons reserving facilities for camps, conferences, or special events will be required to supply proof of liability insurance consistent with this subsection. The sponsoring organization must supply a certificate of liability insurance in the amount of one million dollars (\$1,000,000) (minimum) naming the University as an additional insured party, except to the extent the Tennessee Code Annotated (T.C.A.) specifies a lesser amount as the maximum liability (tort limit). To the extent permitted by law, the University may in its sole discretion require insurance and/or a performance bond, if it determines there may be a concern for personal or public health or safety. Factors used to determine the requirement of insurance and/or a performance bond include, but are not limited to, the nature and use of particular facilities, the age of event participants, and the anticipated event size or attendance for any use of campus property and/or facilities. If insurance and/or a performance bond will be required, appropriate levels of coverage and minimum limits shall be enumerated pursuant to contract. Proof of compliance with this provision may be required in advance of an event. This provision shall be applied and enforced in a content/viewpoint neutral manner.
- L. All users agree, by making application for use of facilities for an activity and by subsequent use after approval by the University, to indemnify the University and hold it harmless from any and all liabilities arising out of such group's, organization's, or individual's use of the property, facilities, equipment, or services of

the University, including, but not limited to, personal injury, property damage, court costs and attorney's fees.

- M. Affiliated Persons may be assessed the incurred costs of providing the property, facility, equipment, or services required based upon use of campus property or facilities, and on a content viewpoint neutral basis.
- N. Non-Affiliated Persons may have access to facilities or space when sponsored or invited by Affiliated Persons under the following conditions. If an Affiliated Person desires to sponsor an event or activity for a Non-Affiliated Person, the Affiliated Person must:
 1. Affirm in writing that the event will be held under the authorization of the Affiliated Person.
 2. Agrees that its name and identity will be associated with the event.
 3. Accepts responsibility for primary communication of facility needs and campus services.
 4. Accepts responsibility to address and resolve problems relating to the event(s) including any damages incurred and liability issues involved.
 5. Obtain all necessary campus approvals and authorizations for the events(s).
 6. Ensure that university policies and procedures are followed.
 7. Ensure that all financial obligations for the event are met.

O. Affiliated Persons inviting Non-Affiliated Persons under this provision may also be assessed the incurred costs of providing the property, facility, equipment, or services required based upon use of campus property or facilities, specifically including location of event, and/or size of event. Any such costs will be assessed on a content/ viewpoint neutral basis.

III. Use of Property or Facilities

- A. Standing meetings of Affiliated Persons may be planned and scheduled for two semesters (fall & spring) at a time. Special meetings of other Affiliated Persons may be scheduled for not more than four (4) weeks at a time. Annual meetings, established test dates, recurring university events, and other such events may be submitted as a list attached to the required Request for Use of Facilities Form (See Appendix I).
- B. The University has designated Public Speaking Areas that may be used as a space for meetings, rallies, protests, and demonstrations. For safety reasons, the period in which these areas are available is between dawn to dusk but no greater than 7:00 a.m. to 7:00 p.m. daily. Non-Affiliated Persons must reserve spaces for use via submission of an online or hard copy reservation form at least forty-eight (48) hours in advance. Although not required, Affiliated Persons are encouraged to reserve space at least forty-eight (48) hours in advance to ensure space is available. Affiliated Persons must reserve spaces for use via submission of an online or hard copy reservation form at least forty-eight (48) hours in advance for events where perishable food will be served, provided, or distributed

(excepting prepared beverages); or will involve particular equipment (e.g., table(s), lights, stage, etc.), utilities (e.g., water, electricity, etc.), or amplified sound. Due to safety concerns, any planned assembly, meeting, demonstration or other activity with a real or an anticipated attendance of 25 or more participants must make a reservation for use of the facility at least five (5) Business Days in advance. If the University reasonably believes that more than five (5) days will be necessary to address logistic and safety concerns, the University may reschedule an event to ensure campus safety.

1. The Public Speaking Areas identified for this purpose are:

- a. Amphitheatre
- b. The Pedestrian Mall/SGA Pridewalk
- c. Designated areas within the Sherrod Library Borchuck Plaza, specifically excluding the Sherrod Library steps and the fountain structure
- d. The Quadrangle/Quad grass area

2. These Public Speaking Areas are available for noncommercial speech or assembly. Affiliated Persons and Non-Affiliated Persons interested in using any of these areas should check with the D.P. Culp University Center to determine space availability and to make a reservation. All uses of the Public Speaking Areas are subject to the requirements of this policy governing the use of facilities on campus.

3. Affiliated Persons and Non-Affiliated Persons may use the Public Speaking Areas up to four (4) times per four (4) week period with no more than two (2) consecutive days of use by Non-Affiliated Persons. The University will consider additional space requests by Affiliated Persons.

4. If ETSU Public Safety determines that barriers are necessary for crowd control purposes, a sectioned off area may be created for the user.

5. In order to ensure no disruption or interference with educational activities in those buildings and classrooms in the vicinity, no sound amplification of any kind is permitted in the Public Speaking Areas, unless written approval has been obtained by the D. P. Culp University Center at least forty-eight (48) hours prior to the event. No amplified sound is allowed during final examination periods.

6. Public speakers and those involved in peaceful assemblies must comply with all applicable laws and all applicable University policies. Individuals who engage in unlawful conduct while participating in or attending such activities or events will be subject to arrest.

7. Public speakers and participants in peaceful assemblies may not infringe upon the rights of others to engage in peaceful assembly or the free exchange of ideas, to use or enjoy university facilities, or to attend university functions.

Actions such as the following are unacceptable:

- a. Blocking, obstructing, or impeding the passage of a person or vehicle. All activities or events must be conducted in such a manner that campus pedestrian traffic and automobile traffic are not unreasonably impeded and so that members of the university community who are not participating in the activity or event may proceed with their normal activities.
- b. Causing bodily harm to a person.
- c. Erecting or placing obstructions that result in depriving others of

their rights.

d. Directly or indirectly preventing a speaker from speaking, even for a brief period of time; or asserting control of a Public Speaking Area for one's own purposes while otherwise in use by participants previously using the space.

e. Actions that constitute harassment as defined in university policy and local, state, and federal law.

8. The following items are prohibited from being used within Public Speaking Areas: illegal weapons, simulated weapons, or improvised weapons as determined by law enforcement officers in their professional judgment; torches; fireworks; explosive devices; incendiary devices; artificial noise-making devices (unless consistent with the sound amplification policy); laser pointers; and masks.

C. Reservations Procedures:

Any Affiliated Person desiring to use campus property or facilities at any time and/or location other than those designated Public Speaking Areas above, and all Non-Affiliated Persons desiring to reserve campus property or facilities may submit a written Request for Use of Facilities Form for the proposed activity at least five (5) Business Days in advance (excluding weekends and holidays) to the Facilities Reservationist in the D. P. Culp University Center or other designated individuals. Applications shall be submitted on the established Request for Use of Facilities Form (see Appendix I). An Affiliated Person or Non-Affiliated Person may be required to enter into an ETSU Rental Agreement (see Appendix II). The Vice President for Student Affairs or designee may approve applications for registration filed less than five (5) working days, twenty (20) days in the case of a speaker paid from institutional or school funds, before the event, if it is determined that the use of property requested can be reasonably accommodated and that adequate cause exists for late filing of the application for registration. Approval of late applications shall be within the sole discretion of the Vice President of Student Affairs or designee. The decision of such official will be final.

1. Any group, organization or individual which makes an advance request for use of facilities must submit the required Request for Use of Facilities Form at the earliest possible date, but in no instance less than five (5) Business Days prior to the proposed event date.
2. Any group, organization or individual, which has submitted a Request for Use of Facilities Form and has received approval for the proposed use is responsible for:
 - a. Honoring the reservation, and
 - b. Providing timely notice of cancellation by email to the reservationist no less than four (4) Business Days prior to the event.
3. The Director of the facility has the right to assess the following sanctions for failure to notify:
 - a. The assessment of a room rental fee for the first offense of a related policy violation during an academic term, and
 - b. The assessment of a room rental fee and loss of the privilege of using university facilities for one (1) school term for the second occurrence.

4. Additionally, any expenses incurred by the University or its contractors will be charged to the group, organization, or individual if the established four (4) Business Days cancellation deadline is not met.
 5. Any Request for Use of Facilities Form filed at a later time may be approved upon determination by the appropriate university official that the use requested can be reasonably accommodated and that adequate cause exists for late filing of the application. Approval of late requests shall be at the discretion of the President of the University or his/her designee (usually the director of the area being requested). The decision of such official is final.
 6. In the event two or more Request for Use of Facilities Forms are submitted for use of the same facility in the same time frame, attempts will be made to honor both requests by the use of alternate facilities or by the mutual agreement to change the date or time of one of the facility requests. If no arrangements can be made to accommodate the multiple requests, then the requests shall be evaluated and honored in accordance with the established Priority for Facilities Use policy (see Appendix V). Once a Request for Use of Facilities Form has been approved and confirmed, requests for the same date and facility will not be approved.
 7. University property may not be taken off campus except for instructional equipment used for instructional purposes or athletic events and in the possession and care of (or under the supervision of) a university employee. Any exception to this policy must be approved in advance by the University Comptroller.
 8. Any attempt to hold an assembly, meeting, demonstration or other activity in non-compliance with this policy are subject to the following:
 - a. May be asked to leave the campus
 - b. May be subject to citation and/or arrest
 - c. Members of the campus community who fail to comply may additionally be referred to Student Affairs (Students) or Human Resources (faculty and staff) for disciplinary action.
- D. An assembly, meeting, demonstration or other activity will be authorized or permitted within any of the designated Public Speaking Areas by current students, faculty, and staff without reservation if the space is available and not otherwise reserved or in use, and in compliance with event policy (e.g., food, equipment, utilities, and amplified sound). All other properties require a Request for Use of Facilities Form be completed in advance. A Request for Use of Facilities Form may be denied when any of the following occur:
1. The area or space has been previously reserved by another entity.
 2. A determination is made by the appropriate official that the requested use would cause a disruption or interference with the normal activities of the institution being conducted in the course of its lawful mission, processes and functions.
 3. A determination is made that the requested use would be contrary to federal, state or local law or regulation, policies of the Board of Trustees, or the policies of the University.
 4. The applicant or sponsor of the activity has not provided accurate or

complete information on the Request for Use of Facilities.

5. The applicant or sponsor of the activity has been responsible for violations of this policy during a previously registered use of campus property, facilities, or equipment or has violated any conditions or assurances specified in a previous usage agreement.
 6. Use of the property or facilities requested would be impossible due to set-up time and/or take-down time required for other previously scheduled activities at the requested location before and/or after the requested use, or due to other extenuating circumstances.
 7. Attendant services (audio/visual, telecommunications equipment, food service, public safety, etc.) which are required for the event are not available due to lack of sufficient equipment and/or personnel.
 8. The activity is of such nature and/or duration that it cannot reasonably be accommodated in the particular area for which application is made. In such event, clarification of event description will be sought and an alternate on-campus site, if available pursuant to these policies, shall be proposed by the University.
 9. The activity presents a clear and present danger for physical harm, coercion, intimidation, or other invasion of lawful rights of the institution's officials, faculty members, or Students, the damage or destruction, or seizure and subversion, of the institution's or school's buildings, other property, or for other campus disorder of a violent or destructive nature. In determining the existence of a clear and present danger, the responsible official may consider all relevant factors.
 10. The activity conflicts or would conflict with existing contractual obligations of the University.
 11. The facility or area requested has not been designated as available for the activity indicated.
 12. The anticipated size or attendance for the event will exceed building/fire codes, established safety standards, and/or the physical or other limitations for the facility or area requested.
 13. None of the rules or regulations in this policy are meant to infringe upon any student rights or responsibilities outlined in Board of Trustees' Policy.
- E. Any group, organization or individual whose timely Request for Use of Facilities Form is denied shall have the right to appeal that denial to the Vice President for Student Affairs or his/her designee. Notice of the appeal shall be made in writing during normal business hours of the University no later than five (5) Business Days (excluding weekends and holidays) prior to the time of the proposed event. The decision shall be made at least four (4) days before the date of the event. Written notice of disapproval of the proposed use shall include the grounds for disapproval. Any denial of a request will be based solely on factors related to reasonable regulations in light of the University's mission and the nature of the facility or property requested and rendered in a content/viewpoint neutral manner. Notices will be delivered as expediently as possible, preferably via electronic means. It is the responsibility of the applicant to obtain written notice of approval/denial.

IV. Particular Uses

A. Campus Guest Speakers

In order to properly process institutional payment, where an application for use of facilities involves an outside speaker who is to be paid a total of fee and/or expenses in excess of \$2,500.00 from institutional funds, the request must be submitted at least (20) Business Days prior to the date of the proposed speaking engagement and processed in the normal procurement process. Student Organizations must work with the Student Organization Resource Center (SORC) for contract processing.

B. Solicitation/Commercial Literature Distribution or Sale

1. Except where otherwise permitted by this provision, Solicitation for commercial purposes is prohibited on all property owned or used by the University. Solicitations by the institution and Solicitations by contracted vendors are permissible. Activities or events engaged in by affiliated entities, or individuals for the purpose of raising funds to meet expenses of the group, organization or individual would not be considered Solicitation. The funds that are raised by such activities or events shall be used for the benefit of the group, organization or individual, or for a charity. No funds shall be distributed to an Affiliated Person's officers or members, or any other individual for personal profit or use. For purposes of this provision the following activities are not prohibited:
 - a. Advertising, as permitted by this policy.
 - b. Sale or distribution of commercial literature as permitted by this policy.
 - c. Conversations or communications between a residence hall or university apartment Student and a properly admitted guest notwithstanding the commercial content of the conversation or communication. Other hall or apartment residents may not be solicited for the purposes of selling a product or service or enrolling the individual in a contest, program or other commercial venture.
2. Solicitation and fund raising activities, other than for purely commercial purposes, may be conducted on university property by affiliated entities or individuals; charitable organizations sponsored by the University the State of Tennessee, or Non-Affiliated Persons subject to the specified registration and reservation requirements and procedures of this policy. Affiliated Persons may reserve facilities for two fund raising activities per semester with the exception of charitable activities. A single activity is defined to mean a maximum period of five (5) days per semester. Only two (2) fund raising activities involving food items may be scheduled each semester. This includes activities for organizational fund raising as well as for charitable purposes. Affiliated Persons desiring to solicit funds must obtain guidelines from the Student Organization Resource

Center (SORC) and then submit a form for the proposed campus solicitation location.

3. No Solicitation of charitable funds will be permitted unless the Affiliated Person provides evidence to the University, if requested, demonstrating that the proposed activity is in accordance with or exempt from the provisions of the Tennessee Code Annotated (E.g., T.C.A. Sections 48-3-501 through 48-3-518).
4. Solicitation in connection with the distribution of literature is subject to the provisions of this policy.
5. Solicitation of dues and/or membership in an organization is permissible only by officially registered student organizations of the University.
6. Solicitations will be permitted only in those areas designated by the University pursuant to the conditions of this policy. Applications for registration of a solicitation may be denied for any of the reasons outlined within this policy and persons engaged in solicitation shall comply with the provisions of this policy.
7. No funds solicited on campus property shall benefit any individual unless contributions are requested for the relief of an individual specified by name at the time of the Solicitation; and all funds contributed are turned over to the named beneficiary for his or her use without any deductions whatsoever.
8. The University may require any group, organization or individual to document the use, application or disposition of funds solicited on campus property.
9. Any Solicitation/Commercial Distribution or Sale must comply with Board of Trustee Policy and must not:
 - a. Have illegal aims and goals;
 - b. Propose activities which would violate regulations of the Board of Trustees or the institution, or federal or state laws and regulations, or materially and substantially disrupt the work and discipline of the institution; or
 - c. Advocate incitement of imminent lawless action that is likely to produce such action.
 - d. Furthermore, public displays which an average person applying contemporary community standards would find,
 - i. Taken as a whole, appeals to the prurient interest,
 - ii. Depicts or describes sexual conduct in a patently offensive way, and
 - iii. Taken as a whole, lacks serious literary, artistic, political or scientific value are prohibited.
10. No person, whether distributor or recipient of literature, shall cause any litter to occur on the campus of the University, and literature shall only be discarded in trash receptacles. The cost of any special clean-up resulting from literature distribution may be assessed to the distributing group or individual.

11. Persons engaged in the sale or distribution of printed matter shall not obstruct or impede pedestrians or vehicles, harass other persons with physical contact or persistent demands, misrepresent the purposes or affiliations of those engaged in the sale or distribution, or fail to specify whether there is a cost or donation associated with the printed material.
12. No literature or other promotional literature shall be placed on cars, car windshields, street signs, building signs, trees, or other external surfaces not specifically designated to accommodate the posting of literature.
13. The University has the right to terminate the distribution or sale of literature by any group, organization or individual that violates any provision of this policy.

C. Advertising

1. No advertising signs, posters, or other material may be placed on or in campus property or facilities by any Non-Affiliated Persons except as otherwise permitted by this policy. The University, at its discretion, may permit non-commercial advertising of programs, events and activities by non-affiliated, non-profit groups in locations on campus. Affiliated Persons may also place advertising materials in designated locations.
2. The purchase of advertisements by Non-Affiliated Persons in university publications is permitted.
3. Limited advertising by Non-Affiliated Persons may be permitted when incidental to a donation of property or services to the institution and pursuant to a contract with the institution.
4. Any Advertising must comply with Board of Trustee Policy and must not:
 - a. Have illegal aims and goals;
 - b. Propose activities which would violate regulations of the Board of Trustees or the institution, or federal or state laws and regulations, or materially and substantially disrupt the work and discipline of the institution; or
 - c. Advocate incitement of imminent lawless action that is likely to produce such action.
 - d. Furthermore, public displays which an average person applying contemporary community standards would find,
 - i. Taken as a whole, appeals to the prurient interest,
 - ii. Depicts or describes sexual conduct in a patently offensive way, and
 - iii. Taken as a whole, lacks serious literary, artistic, political or scientific value are prohibited.

D. Bulletin Boards

1. The use of campus bulletin boards is limited to Affiliated Persons, and to official use by the University. Use of bulletin boards by Non-Affiliated Persons may be approved in bulletin board policies established for specific buildings.

2. Bulletin boards may be designated for use by specific entities, or individuals, such as faculty, Students, or student organizations. Those entities, or individuals authorized to use a bulletin board, the types of materials, which may be posted on a board, the maximum size, and duration of any notice, and any other special conditions will be posted on each board, and will control the use of the board.
3. The University generally requires prior approval for the use of any bulletin boards on campus. Use of a board may be denied on the basis of one or more of the following:
 - a. The person or group is not authorized to use the board in question;
 - b. The material is not the type authorized for the board in question, or fails to meet special conditions as posted on the board;
 - c. There is insufficient space available for the material on the board in question due to the previous posting of other materials.
 - d. Any postings must comply with Board of Trustee Policy and must not:
 - i. Have illegal aims and goals;
 - ii. Propose activities which would violate regulations of the Board of Trustees or the institution, or federal or state laws and regulations, or materially and substantially disrupt the work and discipline of the institution; or
 - iii. Advocate incitement of imminent lawless action that is likely to produce such action.
 - iv. Furthermore, public displays which an average person applying contemporary community standards would find,
 1. Taken as a whole, appeals to the prurient interest,
 2. Depicts or describes sexual conduct in a patently offensive way, and
 3. Taken as a whole, lacks serious literary, artistic, political or scientific value are prohibited.
4. The D. P. Culp University Center has a comprehensive policy dealing with display cases, banner areas, campus video bulletin boards and campus marquee as administered by the Student Organization Resource Center. Policies dealing with bulletin boards are administered by and may be obtained from the D. P. Culp University Center office.
5. The Building Coordinator in each building or his/her designee will be the individual responsible for the implementation and interpretation of building policies relating to the use of bulletin boards in that building subject to and in compliance with this policy.

V. Food Vendors On Campus

- A. Permission for outside food vendor sales on campus must comply with the University Food Service Contract. As the office responsible for administering the food service contract, the University Center will enforce these policies in conjunction with the space reservations process.
- B. Space must be reserved in accordance with the Policy on Use of Campus Property and Facilities in order to host outside food vendors on campus. When the sale of food

items is indicated in a reservation, the Food Vendor Host group will be required to supply the reservationist with the necessary proofs of insurance, business license and health inspection, and signed vendor statement before the reservation can be approved/confirmed.

1. Event reservations that include hosting food vendors on campus must be made by an Affiliated Entities or a department of the University. Non-Affiliated Entities may not serve as a Food Vendor Host or directly reserve space for sale of food items on campus.
2. A representative of the Food Vendor Host must be present/remain with the visiting food vendor at all times during the event in order to address any arising needs or concerns of the vendor or University officials. Food vendors may be present and operational for the duration of the event time listed on reservations only.
3. All food vendors invited to campus shall be required to provide the following documentation:
 - a. Proof of insurance,
 - b. Copy of most recent health inspection with passing grade,
 - c. Copy of current license to do business in Johnson City, TN, and
 - d. A signed Vendor Statement of Responsibility and University/Hosting Organization Release.
4. It is the responsibility of the Food Vendor Host to collect the required documentation listed above and follow through on ensuring that vendors have what they need to operate (in terms of power, space, garbage disposal, etc.) and adhere to the guidelines regarding space use, disposal of garbage, parking, noise, etc. throughout the duration of the hosted event.
5. All vendors may be subject to inspection by the Reservations Office, Student Activities Office, Campus Police, or the ETSU Health and Safety Officer. Any vendor found to be in violation of campus policies may be required to leave at any time. In addition, the Food Vendor Host will be empowered to request a food vendor to leave at their discretion. If/when representatives of the Food Vendor Host are no longer available to accompany the vendor, the vendor must exit campus.
6. Food Trucks may set up in areas approved through the Renovation/Space Utilization Request process only. As of June 2017, the locations approved for Food Trucks include the Pride Walk/Pedestrian Mall (leaving the lane closest to Carter Hall unobstructed in order to allow for University and Emergency Vehicles) and lot 22A on the main campus. To gain approval for any space not previously designated for this use, Food Vendor Host must complete the space utilization approval process found at https://www.etsu.edu/facilities/documents/space_use_request_formrev08_06_2015.pdf.

VI. Miscellaneous

- A. Sanctions for violations of institutional policies regarding permissible use of campus

property and facilities for activities, events, meetings, protests, and demonstrations shall be consistent with those listed in East Tennessee State University's Student Disciplinary Rules and/or those specified in building specific use policies.

- B. Use of campus facilities must be consistent with and compliant with the Non-Student Minors Policy.

Authority: (T.C.A. Sections 48-3-501 through 48-3-518)

Definitions

- A. Business Day – a regular day of operations for the University, normally Monday thru Friday 8:00 a.m. - 4:30 p.m. excluding University observed holidays or closures.
- B. Affiliated Entity(ies) - an officially registered student group or student organization or a department of the University.
- C. Affiliated Individual(s) – any person or persons with a formal relationship with the institution, including the institution's current Students, faculty, staff, and Board of Trustee members; collectively, with Affiliated Entity(ies), "Affiliated Persons."
- D. Food Vendor Host - any affiliated organization or university department reserving space on campus to host an event involving outside food vendors.
- E. Invited Guest - a person invited by a Student, institutional official, or employee of the university to visit the campus at a specific time and place.
- F. Non-Affiliated Person(s) - any group, person, or organization which is not an Affiliated Entity or Individual. This includes both for-profit and non-profit groups as well as federal, state, and local government organizations.
- G. Normal Educational Activities - activities that occur outside of the classroom to enhance and continue student learning and project completion. They include, but are not limited to: small group study sessions (whether organized by Students, tutors, supplemental instructors or teachers), review sessions, open labs, student-teacher conferences and Students working together on class projects.
- H. Public Speaking Area – designated areas (limited public forums) that may be used as space for meetings, rallies, protests, and demonstrations.
- I. Request for Use of Campus Facilities - the standard form used to request facility usage and related services.
- J. Reservable Areas - buildings or areas available for use by Non-Affiliated Persons. Generally, ETSU facilities are not open public forum areas. Additional spaces beyond those listed below may be available for reservation on the campus subject to availability. Such spaces can be identified by making inquiry to the D.P. Culp University Center:

- 1. Student Service Facilities
 - D. P. Culp University Center
 - Basler Center for Physical Activity
- 2. Academic Facilities – Extremely Limited Availability
 - Ball Hall D.M. Brown Hall
 - Gilbreath Hall Hutcheson Hall
 - Mathes Hall Nicks Hall
 - Rogers-Stout Hall Warf-Pickel Hall
 - Wilson-Wallis Hall Sherrod Library
 - Alexander Hall
- 3. Athletic Facilities – Extremely Limited Availability
 - Memorial Hall/Brooks Gym MSHA Athletics Center (Mini-Dome)
 - Betty Basler Softball Field William B. Greene Jr. Football Stadium
 - Summers-Taylor Soccer Complex Thomas Baseball Stadium
 - Athletic practice fields Dave Mullins Tennis Complex
- 4. Exterior Campus Spaces
 - Amphitheater Pedestrian Mall/SGA Pridewalk
 - Designated areas within Sherrod Library Borchuck Plaza
 - The Quad Designated parking lots
- 5. Branch Campus Locations
 - The Directors of those campus locations outside of the main campus in Johnson City, Tennessee, may designate Reservable Areas and Public Speaking Areas subject to and in compliance with this policy.

K. Solicitation – The sale or distribution of commercial literature or the offering or attempt to purchase goods to purchase goods or services for commercial purposes.

L. Student - a person who is registered for a credit course, a non-credit course or program at the university, including any such person during any period which follows the end of an academic period which the student has completed until the last day of registration for the next succeeding regular academic period.

Policy History

Effective Date:

Revision Date:

Procedure (s)

I. Miscellaneous

A. Staff

1. The Facilities Reservationist in the D. P. Culp University Center is responsible for receiving and processing "Requests for the Use of Campus Facilities" Form pursuant to this policy and will maintain a copy of the University policies for inspection by entities, and

- individuals. A copy of the policy is available online.
2. The Coordinator of Camps & Conferences of the D. P. Culp University Center represents the University in connection with non-university related multi-day events and/or complex events using multiple facilities on campus. These types of events include summer camps and conferences, conventions, athletic tournaments, charity events, and other such activities. This individual will create and process detailed contracts, work orders, and facility reservations with the various university departments to ensure the efficient operation of these events.
 3. The Basler Center for Physical Activity is responsible for receiving and processing Requests for the Use of BCPA Facilities Form pursuant to this policy and will maintain a copy of the University and Board of Trustees policies for inspection by entities, and individuals. A copy of the policy is available online.
 4. The reservation of academic space is coordinated by the Registrar's Office.
 5. Facilities Management is responsible for the space utilization approval process which includes space requests outside of this policy.

Procedure History

Effective Date:

Revision Date:

Related Form(s)

- [Use of Campus Facilities Form](#)
- [Facility Rental Agreement Form](#)
- [Priority for Facility Use](#)
- [University Food Services Catering Policies](#)
- [Facility Usage Fee Schedules](#)
- [Specific D.P. Culp University Center Policies](#)
- [Specific Quadrangle/The Quad Policies](#)

Scope and Applicability

Check those that apply to this policy.

	Governance
	Academic
✓	Students
✓	Employment
	Information Technology
✓	Health and Safety

✓	Business and Finance
✓	Operations and Facilities
	Communications & Marketing
	Advancement

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Amended Internal Audit Charter

COMMITTEE: Audit Committee

PRESENTED BY: Rebecca A. Lewis, CPA
Director of Internal Audit

East Tennessee State University

Internal Audit Charter

Introduction

East Tennessee State University is governed by a Board of Trustees, consisting of 10 members (the Board) as determined by state law. The Audit Committee is a standing committee of the Board. The Chief Internal Auditor reports functionally to the Audit Committee of the Board and reports to the President for administrative purposes. This reporting structure assures the independence of the internal audit function.

Purpose

Internal Audit is an independent, objective assurance and consulting activity designed to add value and improve East Tennessee State University management systems. Internal Audit helps East Tennessee State University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of management's risk management, control, and governance processes. Internal Audit assists East Tennessee State University's management in the effective discharge of their duties and responsibilities by evaluating activities, recommending improvements and providing other information designed to promote effective controls.

Assurance services involve the internal auditor's objective assessment of evidence to provide an independent opinion or conclusions regarding an entity, operation, function, process, system, or other subject matter. The nature and scope of the assurance engagement are determined by the internal auditor. There are generally three parties involved in assurance services: (1) the person or group directly involved with the entity, operation, function, process, system, or other subject matter — the process owner, (2) the person or group making the assessment — the internal auditor, and (3) the person or group using the assessment — the user.

Consulting services are advisory in nature, and are generally performed at the specific request of an engagement client. The nature and scope of the consulting engagement are subject to agreement with the engagement client. Consulting services generally involve two parties: (1) the person or group offering the advice — the internal auditor, and (2) the person or group seeking and receiving the advice — the engagement client. When performing consulting services, the internal auditor should maintain objectivity and not assume management responsibility.

East Tennessee State University's management has the primary responsibility for establishing and maintaining a sufficient system of internal controls as well as the enterprise risk management process.

Authority and Scope

Internal Audit's review of operations may include the examination and evaluation of the effectiveness of all aspects of operations at East Tennessee State University. In the course of its work, Internal Audit has full and complete direct access to all East Tennessee State University books, electronic and manual records, physical properties, and personnel information relative to the performance of duties and responsibilities. All documents and information given to Internal Audit during their work will be handled in the same prudent manner that East Tennessee State University expects of the employees normally accountable for them.

Other than its work performed in conjunction with its quality assurance and improvement program, Internal Audit has neither direct responsibility for, nor authority over, any of the activities, functions, or tasks it reviews nor shall their review relieve others of their responsibilities. The internal auditors must maintain a high degree of independence and not be assigned duties or engage in any operations or decision making in any activities that they would normally be expected to review or evaluate as part of the normal audit function.

Role and Responsibility

The role of Internal Audit is to assist members of the organization in the effective discharge of their responsibilities. Meaningful internal auditing requires cooperation among Internal Audit, East Tennessee State University's administration, and the department being audited. In fulfilling their responsibilities, Internal Audit will:

- Comply with auditing standards established by the Institute of Internal Auditors to ensure the effectiveness and quality of the internal audit effort.
- Develop and implement audit plans after consultation with the President and the Audit Committee that respond to both risk and cost effectiveness criteria.
- Review the reliability and integrity of information, and the information technology processes that produce that information.
- Verify compliance with applicable policies, guidelines, laws, and regulations.
- Suggest policies and procedures or improvements to existing policies and procedures where appropriate.
- Provide audit reports that identify internal control issues and make cost-effective recommendations to strengthen control.

- Facilitate the resolution of audit issues with administrators who have the most direct involvement and accountability.
- Review institutional operations (financial and other) on an advisory basis to inform and assist management in the successful execution of their duties.
- Assist with audits or perform certain agreed upon procedures for external parties. External parties include but are not limited to audit offices of federal and state governments and related agencies.
- Review management's risk assessment process and advise management on the reasonableness and propriety of the assessment.
- Promote and evaluate fraud prevention and identification programs and investigate allegations involving fraud, waste, and abuse.
- Demonstrate and promote appropriate ethics and values within the organization.
- Communicate activities and information among the board, internal auditors, external auditors and the administration.

Organizational Status/Reporting Structure

The Chief Internal Auditor reports functionally to the Audit Committee of the Board and reports to the President for administrative purposes.

The internal auditing services provided by Internal Audit are reported directly to the President and the Audit Committee of the Board. All audit work is summarized in timely written reports distributed to management to ensure that the results are given due consideration. In addition to management, reports or summaries are distributed to all members of the Audit Committee and to the State of Tennessee, Comptroller's Office. Management is provided a discussion draft of the audit report prior to the report being issued. Internal Audit is responsible for following up timely on audit findings to ascertain the status of management's corrective actions.

Audit Standards and Ethics

The Internal Audit function adheres to The Institute of Internal Auditors' mandatory guidance including the Definition of Internal Auditing, the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, and the *International Standards for the Professional Practice of Internal Auditing (Standards)*. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of internal auditing and for evaluating the effectiveness of the internal audit activity's performance.

Periodic Review of Internal Audit Charter

This charter will be periodically assessed by the Chief Internal Auditor to determine whether the purpose, authority, and responsibilities defined in this charter are adequate to enable the internal auditing activity to accomplish its objectives. The results of the periodic assessment will be communicated to the President and the Audit Committee.

President, East Tennessee State University

Date

Chief Internal Auditor, East Tennessee State University

Date

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

ACTION ITEM

DATE: April 27, 2018

ITEM: Amended Internal Audit Policy

COMMITTEE: Audit Committee

PRESENTED BY: Rebecca A. Lewis, CPA
Director of Internal Audit

East Tennessee State University Policy

Policy Title: Internal Audit

Policy Type: Finance/Administration

New/revised: Revised

Old Policy #: 4:01:05:00

Approval level: Board of Trustees [Select box for appropriate level of anticipated final approval]

President

Vice President

Other (specify here)

Purpose: This policy addresses staffing, responsibilities of the internal audit function, audit planning and reporting on internal audit activities.

Policy:

I. General Statement

- A. The internal audit function contributes to the improvement of the institution's operations by providing objective and relevant assurance regarding risk management, control and governance processes to management and the Board of Trustees.
- B. Management is responsible for evaluating the institution's risks and establishing and maintaining adequate controls and processes.
- C. To provide relevant information, the internal audit activity will consider the goals of the institution, management's risk assessments and other input from management in determining its risk-based audit activities.

II. Internal Audit Standards

- A. Each internal audit function shall adhere to The Institute of Internal Auditors' (IIA) *International Standards for the Professional Practice of Internal Auditing* and Code of Ethics (TCA § 4-3-304(9)). The Institute of Internal Auditors, International Professional Practices Framework (IPPF), incorporates the definition of internal auditing, the *International Standards for the Professional Practice of Internal Auditing (Standards)*, **Core Principles for the Professional Practice of Internal Auditing** and Code of Ethics into one document. It includes the following definition of internal auditing:
 1. Internal Auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.
- B. Risk is the possibility of an event occurring that will have an impact on the achievement of an institution's goals and objectives.
 1. Risk is measured in terms of the impact an event may have and the likelihood that the event will occur.

2. To optimize the achievement of the institution's goals and objectives, the Board of Trustees and management act to minimize the related risks by implementing reasonable procedures to control and monitor the risks.
- C. Governance processes are the combination of processes and structures implemented by the Board of Trustees to inform, direct, manage, and monitor the activities of the organization toward the achievement of its objectives.
 1. Examples of such processes include:
 - a. The organizational structure within an institution or a department;
 - b. Policies, guidelines and procedures instituted by the Board of Trustees or management to direct and control a particular activity such as maintenance fees or hiring practices; and
 - c. Preparation and review procedures for preparing reports such as annual financial statements or federal grant or financial aid reports.
- D. The IPPF includes attribute standards, which address the expected characteristics of organizations and individuals performing internal audit activities and performance standards, which describe the nature of internal audit activities and establish criteria to evaluate the performance of internal audit activities.
- E. To assure compliance with the IIA *Standards*, the Office of Internal Audit must implement and maintain a quality assurance and improvement program that incorporates both internal and external assessments.
 1. Internal assessments are ongoing, internal evaluations of the internal audit activity, coupled with periodic self-assessments and/or reviews.
 2. External assessments enable the internal audit activity to evaluate conformance with the *Standards*; internal audit and audit committee charters; the organization's risk and control assessment; the effective use of resources; and the use of successful practices.
 3. An external assessment must be performed at least every five years by an independent reviewer or review team.
 4. Results of the external assessment will be communicated to the Audit Committee and management.

III. Internal Audit Personnel

- A. The university shall employ at least two individuals with full-time responsibility as internal auditors.
- B. Internal Audit Staff
 1. Internal audit staff must possess the professional credentials, knowledge, skills, and other competencies needed to perform their individual responsibilities.
 2. The internal audit function collectively must possess or obtain the knowledge, skills, and other competencies needed to perform its responsibilities.
 3. The Chief Internal Auditor must be licensed as a Certified Public Accountant or a Certified Internal Auditor, maintain an active license and annually complete sufficient, relevant continuing professional education to satisfy the requirements for the professional certification held.
 4. Other university auditors should annually complete sufficient, relevant continuing professional education to satisfy the requirements for their related professional certification or, at a minimum, forty hours of relevant continuing professional education annually.

5. The Chief Internal Auditor should communicate concerns to management and the Audit Committee regarding the lack of sufficient resources to complete the objectives of an engagement or the audit plan.
 6. Such resources may include the need for additional personnel or personnel with specialized knowledge, such as those with knowledge of fraud, information technology or other technical areas.
- C. The appointment of the Chief Internal Auditor as recommended by the President is subject to approval by the Audit Committee (TCA § 49-14-102(a)).
 - D. Compensation of the Chief Internal Auditor is subject to review by the Audit Committee.
 - E. The termination or change of status of the Chief Internal Auditor (TCA § 49-14-102(b)) requires a majority vote of the Audit Committee.

IV. Internal Audit Role and Scope

- A. Reporting Structure
 1. In accordance with TCA § 49-14-102(b) and the Board of Trustees Bylaws, the Chief Internal Auditor reports directly to the Audit Committee.
 2. This reporting structure assures the independence of the internal audit function.
- B. The internal auditors' responsibilities include:
 1. Working with management to assess institutional risks and developing an audit plan that considers the results of the risk assessment.
 2. Evaluating institutional controls to determine their effectiveness and efficiency.
 3. Coordinating work with external auditors, program reviewers, and consultants.
 4. Determining the level of compliance with internal policies and procedures, state and federal laws, and government regulations.
 5. Testing the timeliness, reliability, and usefulness of institutional records and reports.
 6. Recommending improvements to controls, operations, and risk mitigation resolutions.
 7. Assisting the institution with its strategic planning process to include a complete cycle of review of goals and values.
 8. Evaluating program performance.
 9. Performing consulting services and special requests as directed by the Audit Committee or the institution's President.
- C. The scope of internal auditing extends to all aspects of institutional operations and beyond fiscal boundaries. The internal auditor shall have access to all records, personnel, and physical properties relative to the performance of duties and responsibilities.
- D. The scope of a particular internal audit activity may be as broad or as restricted as required to meet management needs.
- E. Objectivity is essential to the internal audit function. Therefore, internal audit personnel should not be involved in the development and installation of systems and procedures, preparation of records, or any other activities that the internal audit staff may review or appraise. However, internal audit personnel may be consulted on the adequacy of controls incorporated into new systems and procedures or on revisions to existing systems.
- F. Management is responsible for identifying, evaluating, and responding to potential risks that may impact the achievement of the institution's objectives. Auditors continually evaluate the risk management, internal control, and governance processes. To facilitate

these responsibilities, Internal Audit will receive notices or copies of external audit reviews, program reviews, fiscally related consulting reports, cash shortages, physical property losses, and employee misconduct.

V. Audit Plans and Activity Reports

- A. Internal Audit shall develop an annual audit plan using an approved risk assessment methodology.
- B. At the beginning of each fiscal year, after consultation with the President and other institution management, Internal Audit will prepare an annual audit plan. The audit plan must be flexible to respond to immediate issues and will be revised for such changes during the year.
- C. Audit plans and revisions will be reviewed and approved by the Audit Committee.
- D. At the end of each fiscal year, Internal Audit will prepare an annual activity report of all significant audit services performed.
- E. Annual activity reports and approved audit plans will be provided to the Comptroller's Office, Division of State Audit.

VI. Audit Engagements

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

VII. Communicating Audit Results

- A. A written report that documents the objectives, scope, conclusions, and recommendations of the audit will be prepared for audit engagements providing assurance to the Board of Trustees and management. Management will include corrective action for each reported finding.
- B. Internal Audit will perform audits to follow-up on findings or recommendations included in internal audit and investigation reports. For these follow-ups, a written report will be prepared for any findings or recommendations that have not been corrected and management will be asked to include a revised corrective action plan. For follow-ups in which corrections have been implemented, a memo will be placed in the working paper file documenting the reasons for the closure. In addition, Internal Audit will perform audits to follow-up on findings or recommendations included in State Audit reports and a written report will be prepared. The President, along with the Audit Committee, will be notified at the conclusion of a follow-up audit.
- C. A written report that documents the objectives, scope, conclusions and recommendations will be prepared for investigations resulting from allegations or

identification of fraud, waste or abuse. As appropriate in the circumstances, management will include corrective action for each reported finding. In a case where allegations are not substantiated by the review and there are no other operational concerns to report to management regarding the review, the case may be closed by writing a memo to the working paper file documenting the reasons for closing the case.

- D. Reports on special studies, consulting services, and other non-routine items should be prepared as appropriate, given the nature of the assignment.
 - E. All internal audit reports will be signed by the Chief Internal Auditor and transmitted directly to the President in a timely manner.
 - F. The Chief Internal Auditor will present significant results of internal audit reports to the Audit Committee.
 - G. The Chief Internal Auditor will provide a copy of each report to the Comptroller's Office, Division of State Audit.
- VIII. Exceptions
- A. Any exceptions to the policy established herein shall be subject to the approval of the Audit Committee.

EAST TENNESSEE STATE UNIVERSITY
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: April 27, 2018

ITEM: Adobe Partnership

PRESENTED BY: Dr. Stephen Marshall
Chair, Department of Media and Communication

Through its unique, enterprise-level academic alliance with Adobe, East Tennessee State University undergraduate and graduate students have access to a one-of-a-kind learning experience while providing the university with state-of-the-art digital marketing tools. As part of this alliance, ETSU faculty integrate solutions, or tools, from Adobe Marketing Cloud into the curriculum of several academic programs, giving students the opportunity to learn on an industry-leading platform.

Adobe Marketing Cloud empowers companies to use big data to effectively reach and engage customers and prospects with highly personalized marketing content across devices and digital touch points. Eight tightly integrated Solutions offer marketers a complete set of marketing technologies that focus on analytics, web and app experience management and creation, testing and targeting, advertising, video, audience management, social engagement and campaign orchestration. The tie-in with Adobe Creative Cloud makes it easy to quickly activate creative assets across all marketing channels. Thousands of brands worldwide including two-thirds of Fortune 50 companies rely on Adobe Marketing Cloud.

Dr. Stephen Marshall, chair of the ETSU Department of Mass Communication, provides a brief overview of ETSU's alliance with Adobe.