

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
MARCH 2017 MEETING

1:00pm EDT  
Friday  
March 24, 2017

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. [Adoption of Bylaws](#) .....Tab 1
- IV. [Adoption of Code of Ethics with Conflict of Interest Policy](#) .....Tab 2
- V. Election of Chair and Vice Chair
- VI. Selection of Student Trustee
- VII. [Standing Committee Membership](#) .....Tab 3
- VIII. [Adoption of Calendar for Board of Trustees Meetings](#) .....Tab 4
- IX. [Adoption of Policies](#) .....Tab 5
  - A. [Academic](#)
  - B. [Human Resources](#)
  - C. [Student](#)
  - D. [Financial](#)
  - E. [Technology](#)
- X. [Confirmation of the Director of Internal Audit](#) .....Tab 6
- XI. [Delegation of Authority to the President](#) .....Tab 7
- XII. [Committee for 125 Review](#) .....Tab 8
- XIII. [University Strategic Plan](#) .....Tab 9
- XIV. [SACSCOC Accreditation – Substantive Change Process Update](#) .....Tab 10

XV. [Receipt of Financial Audit](#) .....Tab 11

XVI. President's Report

- A. Budget overview and update
- B. Facilities and capital update
- C. Legislative update

XVII. Adjournment

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017  
ITEM: Adoption of Bylaws  
RECOMMENDED ACTION: Approval  
PRESENTED BY: Brian Noland, President

The Focus on College and University Success Act (FOCUS Act), which amends state law relative to the structure and organization of state higher education, became effective on July 1, 2016. The FOCUS Act authorizes the creation of institutional Boards of Trustees for each of the current Tennessee Board of Regents universities, which includes East Tennessee State University (ETSU). For general finance, audit, and consolidated debt purposes, these six universities will remain part of Tennessee's State University and Community College System, but the governance and oversight of each will be vested in their respective Board of Trustees.

As provided by the FOCUS Act, ETSU is governed by a Board of Trustees that sets policies and guidelines for the operation of the university. The authority, purpose, duties, and responsibilities of the Board and of the 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.

As outlined in the bylaws, the President of the University serves as the executive head for the administration and faculty and does not serve on Board of Trustees. Concurrently, the administration and faculty are responsible for carrying out the University's mission within the parameters of policies and guidelines and in accordance with the coordinating responsibilities of the Tennessee Higher Education Commission (THEC). In summary, the Bylaws entail the following:

- Article I – Delineates the authority and responsibilities of the Board of Trustees, including responsibility for the academic and fiduciary integrity of the institution; requirements and protocols for Board membership; processes for the selection of officers; codes of ethics and conduct; and the internal responsibilities of the board secretary.

- Article II – Outlines the process through which the operations of the Board will transpire, including but not limited to meetings, compliance with sunshine laws, quorum, agenda structure, and other aspects of the operations of the Board of Trustees.
- Article III – Details the committee structure of the Board of Trustees and the roles, responsibilities, and other associated issues pertaining to the operations of the Board Committees. The proposed committees for the Board of Trustees include the Executive, Academic and Student Affairs, Finance and Administration, and Audit.
- Article IV – Details the process for the selection, appointment, evaluation, and other responsibilities prescribed to the President of the University.
- Article V – Prescribes that general parliamentary procedures will define the business and operations of the Board of Trustees.
- Article VI – Details procedures through which the Bylaws become effective and affiliated amendment procedures.

The proposed Bylaws were developed by the institution’s Governance Transition Committee, a team of faculty, staff and administrators charged by the President to guide the work of the institution as it transitions from state to institutional governance. Over an eight month period, this committee examined national best practices and policy recommendations from the Association on Governing Boards (AGB) regarding the nature, structure, and purpose of institutional Bylaws. The proposed Bylaws have been drafted to address the expectations outlined in the FOCUS Act and provide for a committee structure through which all policies and other significant considerations are deliberated.

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

# Draft Bylaws of East Tennessee State University

## Article I

### SECTION 1.

#### Full Authority Vested in Board of Trustees

The Board of Trustees (“Board”), which is the governing body of East Tennessee State University, has the powers set forth in T.C.A. § 49-8-203 et seq. Consistent with state law, the Board shall have full and complete control over its organization and administration, also over its constituent parts and its financial affairs. All Trustees (except the non-voting student trustee) shall have a vote on matters coming before the Board, or before any committee thereof of which they are members.

A. The East Tennessee State University (“University”) is a public university established by the laws of the State of Tennessee. The University is governed by its local governing Board as established by T.C.A. § 49-8-101.

B. The Board of the University is vested with the power and authority to govern the University and to exercise all powers and authority as set forth in T.C.A. § 49-8-101 et seq. and the laws of the State of Tennessee.

### SECTION 2.

#### Responsibilities of the Board

The Board is committed to the welfare, safety, and conduct of the students, faculty, and staff at all campuses and facilities of East Tennessee State University and is dedicated to the maintenance of an environment which preserves conditions conducive to the normal education processes and to the welfare and safety of all.

The Board shall:

- A. Establish policies controlling the scope of the educational opportunities to be offered by the University and also policies determining its operation; however, the planning and development of curricula shall be the function of the faculty;
- B. Have full authority to determine and to control the activities and policies of all organizations and activities that bear, or that may be carried under, the name of the University;
- C. Review and approve the mission of the University;
- D. Direct any matters of administration of executive action exclusively through the President of the University;
- E. Control the election and removal of the chief executive officer (“President”) of the University and the fixing of his/her compensation. The Board shall also approve the compensation of the faculty and of all other employees the Board may deem necessary for the proper operation and management of the University;

- F. Grant tenure and/or promotion to eligible members of the faculty upon the positive recommendation of the President;
- G. Prescribe admission, progression, and retention requirements for the University and particular programs of instruction;
- H. Approve the academic calendar;
- I. Approve guidelines governing the administration's submission of a proposed annual operating budget and appropriations request to state agencies and officials;
- J. Approve the University's proposed capital outlay budgets and requests for capital outlay appropriations prior to their submission to other state agencies and officials;
- K. Approve the final operating and capital outlay budgets for the next fiscal year after the General Assembly has enacted annual appropriations for the University;
- L. Carry out all further powers set forth in Tennessee Code Annotated § 49-8-203; and
- M. Delegate and provide for the further delegation of any and all powers and duties, subject to limitations expressly set forth in law. Such delegations shall be in writing.

### **SECTION 3.**

#### **Membership.**

##### **Members**

- A. The composition of the membership of the Board, the terms of office, and the conditions of membership are as provided in T.C.A. § 49-8-201 et seq., as amended, and are incorporated by reference into these bylaws as if fully set forth herein, including all future amendments thereto.
- B. Any vacancy occurring by death, resignation, or by reason of expiration of a Trustee's term shall be filled as outlined in T.C.A. § 49-8-201(f)(5).
- C. Except as limited by conflicts of interest and or ethical considerations, individual Trustees of the Board enjoy equally with all other Trustees:
  - a. the right to vote (with the exception of the non-voting student Trustee),
  - b. the right to participate fully in all considerations before the Board,
  - c. the right to enter motions and to submit recommendations, and
  - d. all rights and privileges afforded the Board by law and regulation when sitting in deliberative session.
- D. As individuals, Trustees shall not speak for the Board unless so specifically authorized by the Board.
- E. Each Trustee shall endeavor to keep informed as to the work of the University and its campuses, colleges, schools, departments and activities, both educational and business.
- F. Trustees shall not use the authority, title, prestige, or other attribute of the office for personal benefit or gain for themselves or for any relative including consideration, treatment, or favor for any person beyond that which is generally available. Trustees are specifically prohibited by law from procuring, or being a party in any way to procuring, the appointment of a relative to a position of trust or profit connected with the University. Trustees are prohibited from knowingly accepting any gift, favor, or gratuity from any person or entity, including another Trustee that might affect or have the appearance of

affecting a Trustee's judgment in the impartial performance of the duties of the office (T.C.A. § 49-9-207).

- G. As provided for Board policy, if a contested case hearing results in a finding that an appointed Trustee materially violated the Code of Ethics, the Board may remove the Trustee from the Board by a two-thirds vote of the Board at a regular or called meeting. Upon removal, the position shall be considered vacant, and the vacancy shall be filled as provided by law (T.C.A. § 49-8-204).

## **SECTION 4.**

### **Officers of the Board**

The officers of the Board shall be a Chair and Vice Chair.

- A. Consistent with T.C.A. § 49-8-201(f)(8), the Chair and Vice Chair shall be Trustees of the Board and shall be elected by the Board to serve for two years, beginning July 1 of the year elected. In the event of a vacancy before expiration of the term, a successor shall be elected to fill the unexpired term at the next meeting of the Board following creation of the vacancy. The Chair shall not be eligible to succeed himself or herself after serving a two-year term except upon the affirmative three-fourths (3/4) vote of the entire Board.
- B. The Chair shall preside when present at meetings of the Board and shall perform the duties as prescribed by the Board and these bylaws.
- C. In the absence of the Chair, the Vice Chair shall preside at meetings of the Board and otherwise perform the duties of the Chair.
- D. In the absence of the Chair and the Vice Chair, the most senior member of the Board shall preside.
- E. The Chair and the Vice Chair serve at the pleasure of the Board. Either may be removed from office by a three-fourths (3/4) vote of the entire Board.
- F. The President of the University may not serve as a presiding officer of the Board.

## **SECTION 5.**

### **Board Secretary**

The President shall name the Secretary of the corporate legal entity known as East Tennessee State University and appoint staff to support the function of the Secretary and the Board.

The Secretary of the University shall perform the following duties related to the business of the Board:

- A. Assist the President and the Chair in preparing an agenda for each meeting of the Board and of the Executive Committee, in accordance with the provisions of Article II, Section 7;

- B. Record all calls for meetings of the Board and of the Executive Committee, and notify all Trustees of all meetings of the Board and of the Executive Committee in accordance with the provisions of Article II, Sections 5 and 6;
- C. Attend all meetings of the Board and of the Executive Committee, take and preserve the minutes of those meetings, and send a copy of the minutes to all Trustees;
- D. Advise the Board on parliamentary rules;
- E. Notify the members all special committees created by the Board of their appointment;
- F. Maintain a current set of the Bylaws of the University and a record of all Bylaw amendments;
- G. Maintain a record of the dates of Trustee appointments and the dates of the expiration of their terms of office;
- H. Maintain a copy of any written report made by the committees of the Board;
- I. Maintain all records pertaining to the business of the Board, except as otherwise provided;
- J. Assist the President in seeing that all orders and resolutions of the Board and of the Executive Committee are made effective; and
- K. Perform such other duties as may be directed by the Board, the Chair, the Vice Chair, the Executive Committee, or the President; and assist the Board, its officers, and committees in discharging their duties. The Secretary may appoint one or more assistant secretaries to assist in performing the duties of the office. In the absence of the Secretary and an assistant secretary from any meeting of the Board or of the Executive Committee, the Board or the Executive Committee may appoint a secretary pro tempore, who shall be charged with the duty of taking the minutes of the meeting and sending a copy to all Trustees.

In addition to the Board-related duties prescribed in Articles I and II, the duties of the Secretary shall include the following and similar duties related to the legal and corporate status of the University:

- A. Attest all instruments of legal obligation requiring the Seal of the University and affix thereto the Seal, of which the Secretary shall be the custodian.
- B. Countersign, by facsimile signature, all diplomas and certificates granted by the University. The Secretary shall also perform such specific duties as may be prescribed or assigned from time to time by the President, the Board, or any standing or special committee of the Board.

## **Article II**

### **SECTION 1.**

#### **Four Regular Meetings Annually**

The Board shall hold at least four (4) regular meetings annually. Meetings may be held at any location in Tennessee.



## **SECTION 2.**

### **Special Meetings**

Special meetings of the Board as may be necessary may be called

- A. by its Chair,
- B. by its Vice Chair,
- C. by the President of the University, or
- D. by the Secretary upon the written request of three (3) or more Trustees.

## **SECTION 3.**

### **Quorum**

Five (5) members of the Board shall constitute a quorum. The action of a majority of Trustees voting at any meeting shall be the action of the Board, except as may be otherwise provided by these Bylaws.

## **SECTION 4.**

### **Adjournment**

The Board may adjourn any regular or special meeting to any date that it may set for such adjournment. Any regular or special meeting of the Board, if a quorum is not present, may be adjourned by the members attending until a quorum shall be present. If the meeting agenda does not include items for action or on which a vote may be taken, the meeting may continue even without a sufficient quorum for voting.

## **SECTION 5.**

### **Notice of Regular Meetings**

At least five (5) days' written notice of the regular meetings of the Board shall be sent by the Secretary to all Trustees. Notice of regular meetings shall be promulgated in accordance with the Tennessee Open Meetings Act (T.C.A. § 8-44-101 et seq.).

## **SECTION 6.**

### **Notice of Special Meetings**

Special meetings of the Board may be called on less than five (5) days' notice and, if urgent, by telephone, facsimile transmission, electronic mail, or by other electronic means to each Trustee, who must be advised of the purpose or purposes of the meeting.

## **SECTION 7.**

### **Agenda**

An agenda for every meeting of the Board shall be prepared by the Chair and the President, with the assistance of the Secretary. The agenda shall list in outline form each matter to be considered at the meeting. When feasible, a copy of the agenda shall accompany the notice of the meeting, but when not feasible, a copy shall be provided to the Trustees before the meeting date. Matters not appearing on the agenda of a regular meeting, or regular in the call for a special meeting, may be considered only upon an affirmative vote which shall represent a majority of the Board present.

Notwithstanding any provision in these Bylaws to the contrary, after consulting with the appropriate committee chair and the President, the Chair of the Board may designate agenda items for deliberation and action at the full Board meeting without prior review and recommendation of a committee. In that event, the Chair shall relinquish the chair of the meeting to the appropriate committee chair for the duration of the Board's deliberation and action on the designated item(s).

## **SECTION 8.**

### **Consent Agenda**

The Chair of the Board, in consultation with the President, the Secretary, or committee chair, as appropriate, may designate items to be approved, or received for information, by unanimous consent of the Board. Only items that are routine in nature or noncontroversial shall be designated for unanimous consent; provided, however, that any item unanimously approved by a committee may be designated by the Chair, in consultation with the President, the Secretary, or committee chair, as appropriate, for unanimous consent at the full Board meeting. The following are examples of items that will routinely be designated for unanimous consent on both the committee agenda and the full Board agenda: approval of minutes, approval of signatory authority for bank and investment accounts; sale of gift property at or above the appraised value; grant of easements and rights-of-way; ratification of quasi-endowments; and authorization to confer degrees.

Items designated for unanimous consent shall be separately identified on the Board agenda as a consent agenda and shall be voted on by a single motion. Full information about each item on the consent agenda shall be provided to the Board in advance of the meeting. 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.

## **SECTION 9.**

### **Meetings Open to the Public**

Meetings of the Board shall be open to the public except as authorized by a statutory or judicially recognized exception to the Tennessee Open Meetings Act (T.C.A. § 8-44-101 et seq.).

## **Article III**

### **SECTION 1.**

#### **A. Standing Committees**

The standing committees of the Board shall be the Academic and Student Affairs Committee, Audit Committee, Finance and Administration Committee, and Executive Committee.

#### **B. Special Committees**

In addition to the standing committees, the Chair or Vice Chair of the Board may appoint special committees for specific assignments. The chair of any special committee shall be designated at the time of appointment.

#### **C. Required Meetings of Standing Committees**

The Executive Committee shall meet as often as necessary to carry out its responsibilities. All other standing committees shall meet at least four times annually.

#### **D. Call**

A meeting of any standing or special committee may be called by the Chair of the Board, the Vice Chair of the Board, the President, the committee chair, or by the Secretary upon the written request of two members of the committee.

#### **E. Notice**

Notice of all standing and special committee meetings, including the purpose of the meeting, shall be given to all committee members. Notice of meetings of the Executive Committee, including the purpose of the meeting, shall be given to all members of the Board. Notice may be delivered by regular mail, electronic mail, or other electronic method. At least five (5) days' notice shall be given when feasible, but less notice may be given when there is a need for urgent action by the committee. If written notice is not feasible, by reason of urgency or other exigent circumstance, notice may be given by other communication method.

#### **F. Agenda**

An agenda shall accompany the notice of every meeting of a standing or special committee when feasible, but when not feasible, the notice shall state the purpose or purposes for which the meeting is called. The agenda shall list in outline form each matter to be considered at the meeting. Matters not set forth on the agenda or in the notice shall be considered only upon an affirmative vote of a majority of the entire committee.

### **G. Consent Agenda**

In accordance with Article II, Section 8, of the Bylaws, items may be designated by the Chair of the Board, in consultation with the President, the Secretary, and the committee chair, for a consent agenda of the Board. Consent agenda items shall be separately identified on the committee agenda, and before calling for a motion to approve, the committee chair shall ask if any member of the committee wants to remove an item from the consent agenda. 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.

1. If any committee member asks that an item be removed from the consent agenda, the item will be separately considered and voted on by the committee. If the item is approved by the committee, it will be placed on the consent agenda for the full Board meeting.
2. If there is no request to remove an item from the consent agenda, the consent agenda shall be voted on by a single motion, and if the motion carries, all items will go forward to the consent agenda of the full Board meeting.

### **H. Quorum**

A majority of the Trustees of each standing or special committee shall constitute a quorum. In the absence of a quorum, those attending may adjourn the meeting until a quorum is present.

### **I. Open Meetings**

Meetings of standing committees, and meetings of special committees authorized to make decisions for or recommendations to the Board, shall be open to the public except as authorized by a statutory or judicially recognized exception to the Tennessee Open Meetings Act (T.C.A. § 8-44-101 et seq.).

### **J. Minutes**

Minutes shall be made of meetings of all standing committees and special committees authorized to make decisions for or recommendations to the Board, and the minutes shall be provided to all members of the committee. In accordance with Article I, Section 5(c) of these bylaws, minutes of the Executive Committee shall be provided to all Trustees.

## **SECTION 2.**

### **Composition of Standing Committees**

- A. Except as otherwise provided in these Bylaws, the voting members of the standing committees shall be members of the Board appointed by the Board upon the recommendation of the Chair of the Board. Each standing committee shall be composed of no less than two members of the Board.
- B. Committee appointments shall be made for a two-year term. The chair of each standing committee shall be designated by the Board for a two-year term upon the recommendation of the Chair. For good cause, such as the need to ensure continuity in Board leadership during a period of transition in Board membership or in the offices of Governor or President, the Board, on the recommendation of the Chair, may extend the

term of committee and committee chair appointments for up to one year beyond the two-year term. Competencies and professional or business expertise of members and previous Board and committee experience of Trustees, together with any special qualifications required by these bylaws for certain committees, will be considered in committee and chair appointments. If a vacancy occurs in a committee or chair position prior to expiration of the two-year term, the Board shall appoint a Trustee to fill the remainder of the term, upon the recommendation of the Chair.

- C. The Chair of the Board shall be an ex officio, voting member of all standing committees and, except for the Audit Committee, shall be counted for quorum purposes.

### **SECTION 3.**

#### **Executive Committee**

- A. The Executive Committee shall be composed of the Board Chair, Vice Chair, and Chair of the Academic and Student Affairs Committee.
- B. The Executive Committee shall have power to approve the condemnation or purchase of properties when necessary between meetings of the Board; to approve conveyance of the University's interest in real property by sales in fee, easements, or rights of way when necessary between meetings of the Board; and to approve the acquisition of any interest in real property, including acquisition by gift or devise if the acquisition obligates the University or the State of Tennessee to expend state funds for capital improvements or continuing operating expenditures, when necessary between meetings of the Board.
- C. The committee shall have power to act for the Board, in harmony with the general policies of the Board, to approve any other matter on which action is required before the next meeting of the Board. Before undertaking to act for the Board on such a matter, the committee must make a determination of necessity, and the facts and circumstances on which the determination is based must be reflected in the minutes of the meeting.
- D. The committee shall recommend to the Board the initial compensation of the President. The committee shall review the President's compensation annually, taking into consideration the results of the President's annual performance review, and may recommend to the Board adjustments in the President's compensation.
- E. The committee shall recommend to the Board the University's compensation plan and any benefit programs requiring Board approval.
- F. The Executive Committee shall also have the following responsibilities:
  - 1. Periodically review the Bylaws and recommend needed amendments;
  - 2. Recommend to the Board an effective committee structure;
  - 3. Develop a set of personal qualifications and core competencies for membership on the Board for approval by the Board and recommendation to each sitting Governor;
  - 4. Monitor, oversee, and review compliance with the Code of Ethics for Trustees;
  - 5. Develop an effective orientation and continuing education process for the Board;

6. Develop and implement a process for evaluating the effectiveness of Board and committee meetings;
7. Develop a self-evaluation process for the Board and for individual Trustees to be conducted periodically at the committee's discretion, but not less often than every three years.

## **SECTION 4.**

### **Finance and Administration Committee**

The Finance and Administration Committee shall:

- A. Formulate policies and recommend their adoption by the Board in all matters relating to finance, business, and administration, including the investment of University funds;
- B. Approve and recommend to the Board guidelines governing the administration's submission of a proposed annual operating budget and appropriations request to state agencies and officials;
- C. Approve and recommend to the Board the University's proposed capital outlay budgets and requests for capital outlay appropriations prior to their submission to other state agencies and officials;
- D. Approve and recommend to the Board the final operating and capital outlay budgets for the next fiscal year after the General Assembly has enacted annual appropriations for the University;
- E. Approve and recommend tuition and fee rates for adoption by the Board;
- F. Approve and recommend to the Board the construction of specific buildings and other capital improvements;
- G. Approve and recommend to the Board the facilities master plan;
- H. Approve and recommend to the Board or to the Executive Committee the acquisition of any interest in real property, including acquisition by gift or devise if the acquisition obligates the University or the State of Tennessee to expend state funds for capital improvements or continuing operating expenditures;
- I. Approve and recommend to the Board or to the Executive Committee conveyance of the University's interest in real property by sale in fee, easement or right-of-way; provided, however, that in the case of an interest acquired by gift or devise, the President, upon recommendation of the appropriate vice president, shall have authority to approve the sale at or above the appraised value. All sales of real property acquired by gift or devise shall be reported annually to the Finance and Administration Committee, which in turn shall report the sales to the Board;
- J. Oversee all matters involving ordinary repairs, changes, adjustments and improvements for the purpose of putting and keeping in good condition the buildings, grounds and equipment of the University, wherever located, for their efficient use are committed to the University administration, subject to compliance with all applicable state laws and University policies;

- K. Approve and recommend to the Board any personnel policy matter requiring Board approval;
- L. Approve and recommend to the Board University rules required to be promulgated under the Tennessee Uniform Administrative Procedures Act, except rules governing student conduct, rights, and responsibilities, which shall be approved and recommended by the Academic Affairs and Student Success Committee;
- M. Recommend to the Board any necessary policies related to private gifts; and
- N. Recommend to the Board the naming of University buildings.

## **SECTION 5.**

### **Academic and Student Affairs Committee**

The purpose of the Academic and Student Affairs Committee is to assist the Board in fulfilling its oversight responsibilities for the following activities:

- A. Approval of strategic and long-range academic plans;
- B. Approval of proposals concerning the development of new academic programs and the significant revision of existing programs relating to instruction, research, and service;
- C. Establishment of new academic organizations, such as major campuses, institutes, colleges or schools, and academic departments;
- D. Evaluation of existing academic programs and their administrative structures;
- E. Termination of programs and structures that no longer are needed;
- F. Approval of admission, progression, retention, and graduation standards;
- G. the University's policy on Academic Freedom, Responsibility, and Tenure; campus implementing procedures; and any other faculty personnel policy requiring Board approval;
- H. Approval of proposals and any necessary policies concerning information technology;
- I. Approval of proposals and any necessary policies concerning use of academic services including libraries and computer labs.
- J. Approval of university rules concerning student conduct, rights, and responsibilities required to be promulgated under the Tennessee Uniform Administrative Procedures Act;
- K. Approval of proposals and any necessary policies related to the nonacademic aspects of student life, including student services and student conduct;
- L. Approval of proposals and any necessary policies related to campus enrollment and facilities capacity;
- M. Approval of policies relating to intercollegiate athletics competition for the University, consistent with rules and guidelines issued by the National Collegiate Athletics Association (NCAA);
- N. Verification that the Intercollegiate Athletics program reflects and supports the University's academic values and mission.

## SECTION 6.

### Audit Committee

- A. All members of the Audit Committee shall be financially literate, meaning they shall be able to read and understand fundamental financial statements, including a balance sheet, income statement and cash flow statement. At least one member of the Audit Committee shall have extensive accounting, auditing, or financial management expertise. The Vice Chair of the Board shall serve as an ex officio member of the Audit Committee but shall not be counted for quorum purposes.
- B. Notwithstanding any provision in this subsection to the contrary, the Audit Committee may be composed of one external member and two or more Trustees who satisfy the membership requirements established in Article III, Section 6 of these Bylaws. An external member must have extensive accounting, auditing, or financial management expertise. An external member may not serve as Chair of the Audit Committee.
- C. The purpose of the Audit Committee is to assist the Board in fulfilling its oversight responsibilities for:
  - 1. The integrity of the University's financial reporting process and systems of internal controls regarding finance, accounting, and legal compliance.
  - 2. Review of the University's external audit by the Division of State Audit for the State of Tennessee; and
  - 3. Oversight and direction of the internal auditing function and any external auditors whom the committee may employ.
- D. The Audit Committee shall have the power and responsibility to:
  - 1. Conduct or authorize any investigation appropriate to fulfilling its purpose;
  - 2. Seek any information it requires from University officials and employees—all of whom are required to cooperate with the Audit Committee's requests—or external parties;
  - 3. Have direct access to University officials, State auditors, internal auditors, any external auditors, legal counsel, or others as necessary;
  - 4. Delegate authority to subcommittees, provided that decisions made under such delegation are presented to the full committee at its next scheduled meeting;
  - 5. Review and approve the appointment, reassignment, demotion, or dismissal of the chief internal auditor;
  - 6. Ensure that the Chief Internal Auditor has direct and unrestricted access to all members of the Audit Committee;
  - 7. Ensure that the Chief Internal Auditor's administrative reporting relationship fosters independence, and ensure that adequate resources in terms of staff and budget are provided to enable the internal audit department to perform its responsibilities effectively;
  - 8. Receive and review audit reports and other work prepared by the internal audit department;



9. Establish procedures to allow information about questionable financial practices to be submitted anonymously by University employees; and establish procedures for handling anonymous submissions;
10. Provide an open avenue of communication among the State auditors, the internal audit department, senior management, and the Board;
11. Other powers and responsibilities as the Board may prescribe.

## **Article IV**

### **SECTION 1.**

#### **Election of the President.**

With the notice of an impending vacancy of the office of President, the Board or the Executive Committee shall appoint an interim President. In the event of a vacancy, or notice of an impending vacancy, in the office of the President, the Chair, or in the Chair's absence the Vice Chair, shall recommend to the Board the appointment of a search committee composed of appointed Trustees. The search committee shall take appropriate action to prepare and submit for consideration of the Board a panel of nominees for the position of President. The search committee may adopt such rules and procedures as it deems necessary in performing its duties and shall comply with all applicable legal requirements.

### **SECTION 2.**

#### **Duties of the President.**

- A. The President is the chief executive officer of East Tennessee State University and exercises complete executive authority over all component parts of the University, subject to the direction and control of the Board. The president has ultimate responsibility for leading the University academically, administratively, and financially. The President is the principal spokesperson for the University.
- B. The President is responsible for:
  - a. Promotion of the general welfare and development of the University in its parts and as a whole. The President decides all questions of jurisdiction not otherwise defined among the parts of the University;
  - b. Presentation of policies, recommendations, and other matters to the Board, the Governor, the General Assembly, and other state and federal offices;
  - c. Prompt and effective execution of all laws relating to the University and of all resolutions policies, rules, and regulations adopted by the Board;
  - d. Preparation of the University budget and its presentation to the Tennessee Higher Education Commission, the Governor, and the Department of Finance and Administration, the General Assembly, and the Board.
  - e. Ultimate control over the budgets of all parts of the University and must approve all major budgetary revisions;

- f. Development and execution of fundraising and alumni programs for the University;
  - g. General oversight of the University's intercollegiate athletics programs.
- C. The President performs such other duties as may be delegated to that office by the Board or by any standing or special committee of the Board.
- D. In the execution of the President's duties and responsibilities, the President may delegate powers and duties to subordinate officers. In accordance with applicable University policies and procedures, the president delegates to vice presidents and other university officers powers and duties to supervise and administer academic and budgetary units reporting to them, under the general direction and control of the President. These delegations do not abnegate the President's ultimate responsibility as chief executive officer of the University.

## **SECTION 4.**

### **Evaluation of the President.**

The Chair of the Board is responsible for organizing and conducting an annual performance review of the President. The Board in assessing the President's performance may solicit the views of other leaders within and outside the University. Every third or fourth year, or earlier as the Board in its sole discretion may determine, the Chair shall conduct a comprehensive review of the President's performance with the assistance of at least one external advisor.

## **SECTION 5.**

### **Execution of Legal Instruments**

Subject to compliance with any applicable policies concerning legal and fiscal review, the President and designees according to university policy shall have the power and authority to sign documents, instruments, contracts, bonds, notes, or other papers in connection with the operation of the University; and, in addition to the Secretary, any assistant secretary shall have the power and authority to attest and place the University's Seal on all said documents, instruments, contracts, bonds, notes, or other papers.

## **SECTION 6.**

### **General Welfare**

The Board vests in the President and the respective staff the authority to prescribe and enforce policies, rules and regulations concerning rights, responsibilities, conduct and discipline of faculty, staff, and students of the University. The President and staff are authorized to take any lawful action necessary to assure the protection of life and property at the several campuses and facilities.

## **Article V**

### **SECTION 1.**

#### **Parliamentary Rules**

General parliamentary rules shall be observed in conducting the business of the Board except as they may be modified by rules and regulations adopted by the Board.

### **SECTION 2.**

#### **Record Vote**

A record vote of the Board shall be required on all motions providing for any revision of the bylaws, the adoption of a new bylaw or the repeal of an existing bylaw. On any other motion, a record vote shall be taken if required by law or if a Trustee present demands a record vote before the announcement of a vote otherwise taken.

### **SECTION 3.**

#### **Order of Business**

At all meetings of the Board, the order of business shall be prescribed by the Chair and the President, with the assistance of the Secretary.

### **SECTION 7.**

#### **Appeals to the President**

Any employee or student of the University who feels that he or she may have a grievance against the University shall have the right of appeal outlined in university policies.

## **Article VI**

### **SECTION 1.**

#### **Bylaws Effective Upon Adoption**

These bylaws shall be effective upon adoption and shall supersede all bylaws previously adopted by the Board.

## **SECTION 2.**

### **Amendment of Bylaws**

These Bylaws may be changed by amendment, by adoption of a new Bylaw or by repeal of an existing Bylaw at any regular meeting of the Board, or at a special meeting called for that purpose, by a majority vote of record of the entire membership of the Board as constituted by law at the time, provided that a copy of the amendment or new bylaw to be offered or notation of the bylaw to be repealed shall be furnished each Trustee in writing at least five (5) days in advance of the meeting.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Adoption of Code of Ethics with Conflict of Interest Policy

RECOMMENDED ACTION: Approval

PRESENTED BY: Brian Noland, President

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) is the regional body responsible for the accreditation of degree-granting higher education institutions in the southern United States. SACSCOC accreditation standards require the University to have policies that address conflicts of interest for board members and procedures whereby members can be dismissed for appropriate reasons by a fair process (SACSCOC standards 3.2.3 and 3.2.5).

With the establishment of the Board of Trustees for East Tennessee State University, the state of Tennessee through the FOCUS act requires each board to establish and adopt a code of ethics that apply to and govern the conduct of all appointed members of the Board (TCA § 49-8-204). The FOCUS Act additionally outlines the process by which the Board of Trustees may remove any appointed member for a material violation of the code of ethics. These processes are incorporated into the proposed policy and were concurrently framed upon established best practices in higher education as outlined by the Association of Governing Boards (AGB). In particular, the proposed policy adheres to AGB's guidance, recognizing the need for institutional autonomy, shared governance, and the importance of thorough and periodic reviews of the code and conflict of interest policies to ensure transparency. Each of these items are addressed in the proposed Code of Ethics Policy.

**MOTION: I move that the Board of Trustees adopt the Code of Ethics Policy with the embedded Conflict of Interest Policy as outlined in the meeting materials.**

Code of Ethics

**ARTICLE I GOVERNANCE RESPONSIBILITIES**

**Section 1. Public Trust.** The General Assembly of the State of Tennessee constituted the Board of Trustees as an entity responsible for the governance of East Tennessee State University. Trustees hold a position of public trust and are expected to carry out their governance responsibilities in an honest, ethical, and diligent manner. Pursuant to Tennessee Code Annotated (TCA) § 49-8-204 this policy applies to and governs the conduct of all appointed members of the Board of Trustees of East Tennessee State University.

**Section 2. Welfare of the Entire University.** Trustees bring diverse backgrounds and expertise valuable to the governance of East Tennessee State University. In carrying out their duties Trustees must keep the welfare of the entire University paramount.

**Section 3. Duty of Care.** Trustees must discharge their duties, including duties as a member of a committee, in good faith, with the care an ordinarily prudent person in a like position would exercise under similar circumstances, and in a manner the Trustee reasonably believes to be in the best interest of the University.

**Section 4. Time Commitment.** In undertaking the duties of the position, a Trustee shall make the commitment of time necessary to carry out the governance responsibilities. Failure of a Trustee to attend two regular meetings in succession of the Board or of a committee on which the Trustee serves shall be cause for the Board to consider the Trustee's removal.

**Section 5. Due Diligence.** Trustees shall undertake with due diligence a critical analysis of the risks and benefits of any matter coming before the Board for action. Trustees shall promote a culture of constructive debate about major initiatives and transactions and shall require management to provide information necessary to carry out the Trustees' duty of care to act in the best interest of the University.

**Section 6. Legal Authority.** Except as otherwise provided by law or bylaw, Trustees shall have no legal authority to act on behalf of the Board outside of Board meetings. Trustees shall avoid acting as a spokesperson for the entire Board unless specifically authorized to do so.

## **ARTICLE II CONFLICT OF INTEREST**

**Section 1. Conflict of Interest Policy.** Board members shall abide by the Conflict of Interest Policy for Board members. Upon appointment and annually thereafter, Trustees shall file a financial disclosure form with the Board Secretary as required by the Bylaws and the Conflict of Interest Policy for Trustees. The Audit Committee of the Board shall monitor compliance with the Conflict of Interest Policy for Trustees.

**Section 2. Personal Benefit or Gain.** Trustees shall not use the authority, title, prestige, or other attribute of the office for personal benefit or gain for themselves or for any relative. Trustees are specifically prohibited by law from procuring, or being a party in any way to procuring, the appointment of a relative to a position of trust or profit connected with the University (TCA § 49-9-207). In keeping with this statutory prohibition, Trustees may not write a letter of recommendation or take any other action in aid of a relative's effort to obtain employment with the University. It is unlawful for any Trustee to be financially interested in any contract or transaction affecting the interests of any institution governed by the Board, to procure, or be a party in any way to procuring, the appointment of any relative to any position of financial trust or profit connected with the university governed. A violation of this provision shall subject the member so offering to removal by a two thirds vote of the membership of the Board (TCA § 49-8-204).

**Section 3. Favored Treatment.** Trustees shall not use the authority, title, prestige, or other attribute of the office to obtain consideration, treatment, or favor for any person beyond that which is generally available. This section applies, but is not limited to, efforts to influence administrative decisions with respect to an individual's admission, employment, discipline, and similar matters. However, except as expressly prohibited by Article II, Section 2, concerning a relative's effort to obtain employment with the University, this section does not prohibit routine letters of recommendation or requests for information about the status of an individual's admission, employment, discipline, and similar matters.

**Section 4. Gifts, Favors, and Gratuities.**

1. Trustees shall not knowingly accept any gift, favor, or gratuity from any person or entity under contract with the University or seeking a contract with the University (TCA § 12-4-106).
2. Trustees shall not knowingly accept any gift, favor, or gratuity from any person or entity, including another Trustee that might affect or have the appearance of affecting a Trustee's judgment in the impartial performance of the duties of the office. However, this subsection shall not be construed to apply to a Trustee incidental benefit from another Trustee's gift of money, property, or services to the University or to any benefit commonly available to Trustees by virtue

of the office. Nor shall this subsection be construed to prohibit acceptance of benefits from the University in connection with donations to the University (TCA § 12-4-106).

3. It is a conflict of interest for any Trustee or any company with whom such Trustee is an officer, a director, or an equity owner having an ownership interest greater than one percent (1%) to bid on any public contract for goods or services for the University if such person or the immediate family member of such person is a member of a board or commission having responsibility for letting or approving such contract (TCA § 12-4-106).
  1. "Immediate family" means spouse, dependent children or stepchildren, or relatives related by blood or marriage.

### **ARTICLE III COMPLIANCE**

**Section 1. Reporting of Violations.** Anyone who believes that he or she has information indicating that an appointed Trustees has violated the Code of Ethics shall make a written disclosure of the facts and circumstances to the Chair of the Audit Committee. If the alleged violation involves the Chair or any member of the Audit Committee, the disclosure shall be made to the Vice Chair of the Board.

**Section 2. Review of Allegations.** The chair of the Audit Committee or other appropriately appointed committee (or the Vice Chair of the Board) shall review the alleged violation with the University Counsel to determine whether removal proceedings should be initiated against the Trustee for a material violation of the Code of Ethics.

**Section 3. Hearing.** An appointed Trustee accused of a material violation of the Code of Ethics shall be afforded a due process contested case hearing in accordance with the Tennessee Uniform Administrative Procedures Act, Tennessee Code Annotated, Title 4, Chapter 5 (TCA § 4-5-101, et seq.).

**Section 4. Removal.** If a contested case hearing results in a finding that an appointed Trustee materially violated the Code of Ethics, the Board may remove the Trustee from the Board by a two-thirds vote of the Board at a regular or called meeting. Upon removal, the position shall be considered vacant, and the vacancy shall be filled as provided by law (TCA § 49-8-204).

**Section 5. Certification.** Upon appointment and annually thereafter, Trustees shall be provided with the Code of Ethics and shall certify in writing that they have read the Code of Ethics and will comply with its provisions.



EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Standing Committee Membership

RECOMMENDED ACTION: Approval

PRESENTED BY: Chair, Board of Trustees

As provided by the FOCUS Act, East Tennessee State University (ETSU) is governed by a Board of Trustees that sets policies and guidelines for the operation of the University. The authority, purpose, duties, and responsibilities of the Board of Trustees are delineated in TCA § 49-8-101. The Bylaws for the Board of Trustees provide the organization for the Board, including the operations outlined in the structure of standing committees. The standing committees of the Board are the Academic and Student Affairs Committee, Finance and Administration Committee, Executive Committee, and Audit Committee.

The function of the Academic and Student Affairs Committee is to assist the Board of Trustees in matters related to academic planning and programs, student life, and athletics including:

- Approval of strategic and long-range academic plans;
- Approval of proposals concerning the development of new academic programs and the significant revision of existing programs relating to instruction, research, and service;
- Establishment of new academic organizations, such as major campuses, institutes, colleges or schools, and academic departments;
- Evaluation of existing academic programs and their administrative structures;
- Termination of programs and structures that no longer are needed;
- Approval of admission, progression, retention, and graduation standards;
- Approval of the University's policy on Academic Freedom, Responsibility, and Tenure; campus implementing procedures; and any other faculty personnel policy requiring Board approval;
- Approval of proposals and any necessary policies concerning information technology;
- Approval of proposals and any necessary policies concerning use of academic services including libraries and computer labs.
- Approval of University rules concerning student conduct, rights, and responsibilities required to be promulgated under the Tennessee Uniform Administrative Procedures Act;
- Approval of proposals and any necessary policies related to the nonacademic aspects of student life, including student services and student conduct;

- Approval of proposals and any necessary policies related to campus enrollment and facilities capacity;
- Approval of policies relating to intercollegiate athletics competition for the University, consistent with rules and guidelines issued by the National Collegiate Athletics Association (NCAA); and,
- Verification that the Intercollegiate Athletics program reflects and supports the University's academic values and mission.

The function of the Finance and Administration Committee is to assist the Board of Trustees by meeting the following responsibilities:

- Formulate policies and recommend their adoption by the Board in all matters relating to finance, business, and administration, including the investment of University funds;
- Approve and recommend to the Board guidelines governing the administration's submission of a proposed annual operating budget and appropriations request to state agencies and officials;
- Approve and recommend to the Board the University's proposed capital outlay budgets and requests for capital outlay appropriations prior to their submission to other state agencies and officials;
- Approve and recommend to the Board the final operating and capital outlay budgets for the next fiscal year after the General Assembly has enacted annual appropriations for the University;
- Approve and recommend tuition and fee rates for adoption by the Board;
- Approve and recommend to the Board the construction of specific buildings and other capital improvements;
- Approve and recommend to the Board the facilities master plan;
- Approve and recommend to the Board or to the Executive Committee the acquisition of any interest in real property, including acquisition by gift or devise if the acquisition obligates the University or the State of Tennessee to expend state funds for capital improvements or continuing operating expenditures;
- Approve and recommend to the Board or to the Executive Committee conveyance of the University's interest in real property by sale in fee, easement or right-of-way; provided, however, that in the case of an interest acquired by gift or devise, the President, upon recommendation of the appropriate vice president, shall have authority to approve the sale at or above the appraised value. All sales of real property acquired by gift or devise shall be reported annually to the Finance and Administration Committee, which in turn shall report the sales to the Board;
- Oversee all matters involving ordinary repairs, changes, adjustments and improvements for the purpose of putting and keeping in good condition the buildings, grounds and equipment of the University, wherever located, for their efficient use are committed to the University administration, subject to compliance with all applicable state laws and University policies;
- Approve and recommend to the Board any personnel policy matter requiring Board approval;

- Approve and recommend to the Board University rules required to be promulgated under the Tennessee Uniform Administrative Procedures Act, except rules governing student conduct, rights, and responsibilities, which shall be approved and recommended by the Academic Affairs and Student Success Committee;
- Recommend to the Board any necessary policies related to private gifts; and,
- Recommend to the Board the naming of University buildings.

The Executive Committee is composed of the Board Chair, Vice Chair, and Chair of the Academic and Student Affairs Committee. The Executive Committee will meet as needed and shall have power to act for the Board, in harmony with the general policies of the Board, to approve any other matter on which action is required before the next meeting of the Board. The Executive Committee also serves to advise the President as needed between meetings of the Board.

The Audit Committee serves to assist the Board in fulfilling its oversight responsibilities for:

- The integrity of the University's financial reporting process and systems of internal controls regarding finance, accounting, and legal compliance.
- Review of the University's external audit by the Division of State Audit for the State of Tennessee; and,
- Oversight and direction of the internal auditing function and any external auditors whom the committee may employ.

The Audit Committee has the power and responsibility to:

- Conduct or authorize any investigation appropriate to fulfilling its purpose;
- Seek any information it requires from University officials and employees—all of whom are required to cooperate with the Audit Committee's requests—or external parties;
- Have direct access to University officials, State auditors, internal auditors, any external auditors, legal counsel, or others as necessary;
- Delegate authority to subcommittees, provided that decisions made under such delegation are presented to the full Committee at its next scheduled meeting;
- Review and approve the appointment, reassignment, demotion, or dismissal of the Chief Internal Auditor;
- Ensure that the Chief Internal Auditor has direct and unrestricted access to all members of the Audit Committee;
- Ensure that the Chief Internal Auditor's administrative reporting relationship fosters independence, and ensure that adequate resources in terms of staff and budget are provided to enable the internal audit department to perform its responsibilities effectively; and,
- Receive and review audit reports and other work prepared by the internal audit department.

As provided in the Bylaws, committee appointments are recommended by the Chair of the Board of Trustees and shall be made for a two-year term. The chair of each standing committee shall be designated by the Board for a two-year term upon the recommendation of the Chair of the Board of Trustees. For good cause, such as the need to ensure continuity in Board leadership during a period of transition in Board membership or in the offices of Governor or President, the Board, on the recommendation of the Chair, may extend the term of committee and committee chair appointments for up to one year beyond the two-year term.

Competencies and professional or business expertise of members and previous Board and committee experience of Trustees, together with any special qualifications required by these Bylaws for certain committees, will be considered in committee and chair appointments. If a vacancy occurs in a committee or chair position prior to expiration of the two-year term, the Board shall, upon the recommendation of the Chair, appoint a Trustee to fill the remainder of the term. The Chair of the Board shall be an ex officio, voting member of all standing committees and, except for the Audit Committee, shall be counted for quorum purposes.

**MOTION: I move that the Board of Trustees adopt the proposed Standing Committee Membership.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Adoption of Calendar for Board of Trustees Meetings

RECOMMENDED ACTION: Approval

PRESENTED BY: Chair, Board of Trustees

The Focus on College and University Success Act (FOCUS Act), requires quarterly meetings of the East Tennessee State University Board of Trustees. In accordance with these requirements, the following calendar is proposed for the current and 2017-18 academic years:

Board of Trustees Meeting Schedule (all meetings at ETSU)

Friday, June 9, 2017  
Friday, September 8, 2017  
Friday, November 10, 2017  
Friday, February 23, 2018  
Friday, April 27, 2018

The Standing Committees of the Board of Trustees will meet telephonically as necessary and will hold meetings in conjunction with the standing quarterly meetings of the full Board. In addition to the dates proposed below, the Tennessee Higher Education Commission will convene in Nashville members of all boards of institutions of higher education for policy and governance training sessions in August 2017.

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

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Adoption of Policies

RECOMMENDED ACTION: Approval

PRESENTED BY: Brian Noland, President

As provided by the FOCUS Act, East Tennessee State University (ETSU) is governed by a Board of Trustees that sets policies and guidelines for the operation of the University. The authority, purpose, duties, and responsibilities of the Board, and of the 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.

In May 2016, President Noland created the Governance Transition Committee to guide the work of the institution as it transitioned from state to institutional governance. As outlined in the statute, ETSU remains under all Tennessee Board of Regents (TBR) policies and guidelines until rescinded or revised by the respective Board of Trustees. Chaired by Dr. David Linville, the Governance Transition Committee met over an eight-month period and coordinated the efforts of the broader campus community to review/evaluate policies, guidelines, procedures and processes.

The Governance Transition Committee reviewed and evaluated Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), TBR and ETSU policies associated with the governance of the University. This review included a prioritization of existing policies, with a focus on those policies that are mission critical. The committee developed recommendations regarding the relevance of existing TBR and associated ETSU policies or guidelines, determining whether the University needed to retain the policy or guideline, make revisions, or delete the policy as appropriate. Furthermore, consideration and review was afforded to those areas in which TBR policy was not associated with a companion institutional policy. Highlights of these efforts include:

- Select policies have been drafted to address the expectations outlined in the FOCUS Act and to provide for efficient functioning of the University as the new Board of Trustees is seated.
- Academic policies, previously promulgated by the TBR, have been drafted and reviewed by the Provost and his staff to ensure the University's compliance with the rules of the Tennessee Higher Education Commission. These new policies were reviewed and endorsed by the University's Academic Council.
- Human resource policies have been revised to change only the oversight and governance from TBR to the Board of Trustees. Likewise, similar revisions have been made to policies governing student life. No substantive changes were made to the content of these policies.
- Policies related to financial matters have been formatted to demonstrate change of governance from TBR to the Board of Trustees. Minor edits to these policies relate to the level of approval for contracts.
- The policies related to technology have been revised to provide for a greater efficiency in oversight of the technology infrastructure of the University. Staff members of the Office of Information Technology Services under the leadership of the Chief Information Officer (CIO) drafted new policies to this effect. These policies were reviewed and approved by the University's Interim University Council.

Throughout the 2017-18 academic year, institutional staff will provide regular updates to the Board of Trustees regarding the policy transition process, with particular attention paid to those items that require Board approval for formal severance from TBR as outlined in the FOCUS Act.

**MOTION: I move that the Board of Trustees adopt these University Policies as outlined in the meeting materials.**

**Subsection A: Academic Policies**

Posthumous Degrees  
Off-Campus Instructional Facilities and Operations  
Awarding Honorary Degrees  
General Policies Regarding Research  
Cost of Textbooks  
Academic Calendar and Student Registration  
Delivery of Services to International Students  
Faculty Non-Instructional Assignments  
Definition of Credit  
Reverse Transfer Policies  
Commitment to Teacher Preparation  
Collaborative Academic Arrangements  
Transfer of Credit  
Distance Education  
Graduate Admissions  
Graduate Student Retention Standards  
Graduate Degree and Certificate Requirements  
General Education  
Learning Support  
Undergraduate Admissions  
Undergraduate Academic Retention Standards  
Undergraduate Degree Requirements  
Approval of Academic Programs, Units, and Modifications  
Development & Operation of Study Abroad Programs  
Substantive Change

**Subsection B: Human Resources Policies**

Guidelines for Filling Faculty, Administrative, and Clerical/Support Vacancies

**Subsection C: Student Policies**

Alcoholic Beverages, Smoking and Tobacco Use  
Confidentiality of Student Records  
Student Organizations  
Student Rights and Freedoms  
Student Scholarships, Grants, Loans & Financial Aid Programs  
General Policy on Student Conduct and Disciplinary Sanctions  
Student Due Process Procedure

**Subsection D: Finance and Administration Policies**

Approval of Agreements  
Approval of Fees



Budget Control  
Budget Principles  
General Personnel  
General Travel  
Payment of Student Fees & Enrollment

**Subsection E: Technology Policies**

Calendar of Events  
Closed Captioning for Video Recordings  
Complaint Resolution Process  
Computer Policy for Post-Retirees  
Desire2Learn Administrator Access  
Desktop/Laptop Computer & Printer Installation Policy  
Electronic Mail  
Enterprise Resource Planning (ERP) Access  
ETSU Sponsored Desktop Computers  
Firewall  
Hardware Maintenance  
HEOA Compliance in online courses  
Inclement Weather Policy for Students in Online Courses  
Instructor Access to Course Sites  
Copyright Protection Guidelines  
Personal Information Security Breach Policy  
Portable Computational Device Security Guideline  
Strong Password Requirement  
University Computing Standards  
Virtual Private Network (VPN)  
Web Accessibility  
Web Design & Publishing Policy  
Web Based Courses  
Wi-Fi

**Policy Title:** Posthumous Degrees

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:01:00:02

**Approval level:**  Board of Trustees    [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:**

The purpose of this policy is to establish procedures for awarding a degree posthumously.

**Policy:**

In the unfortunate event of a student's death during an academic term in which it may reasonably be assumed that he or she would have completed all degree requirements, a degree may be awarded posthumously to the student.

The decision as to the likelihood that the student would have completed his or her work during the term shall be at the discretion of the president.

Recommendations from the faculty and dean of the college to the president for awarding a degree posthumously should be in accordance with the established institutional process for conferral of degrees.

The special nature of the award should be reflected on all pertinent records.

**Policy Title:** Off-Campus Instructional Facilities and Operations

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** Permanent or Semi-Permanent Off-Campus Instructional Facilities: 2:01:01:01  
Inter-Institutional Relationships & Off-Campus Offerings: A-020

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:**

The purpose of this policy is to create standards and procedures for ETSU to establish *off-campus instructional facilities*.

**Policy:**

- I. Introduction
  - A. The Board recognizes and strongly supports Tennessee's long-standing public policy of providing access for Tennesseans to public higher education. Accordingly, the Board encourages every means of facilitating student access and success in all ETSU programs.
  - B. The Board recognizes that many citizens, because of economic, family, work conditions, and geographic location, may find participation in post-secondary education difficult if not impossible.
  - C. Therefore, the Board encourages all forms of distance education as well as other support services such as day-care, evening, week-end, and compressed scheduling of classes, sponsored scholarships, and financial aid. This will often entail establishing short and long-term instructional sites in locations throughout Northeast Tennessee and surrounding states.
- II. Quality and Efficiency Standards
  - A. All off-campus instructional facilities must meet standards established by The Southern Association of Colleges and Schools Commission on Colleges. The quality of instruction at all off-campus instructional facilities must meet or exceed the national standards of good practice and must be comparable in quality and outcomes to the instruction provided on the main campus.
  - B. All off-campus instructional facilities must strive for quality and efficiency in all operations. Off-campus instructional facilities must be both conducive to learning and efficient in their operation.
  - C. Whenever possible, ETSU will seek to offer instruction in schools, community buildings, industrial training centers, and other such facilities where suitable space is provided at little or no cost to the institution.
- III. Establishment of Off-Campus Instructional Facilities

- A. All off-campus instructional facilities must receive site approval from the Tennessee Higher Education Commission and secure a site code. The request is sent from the Office of the Vice-President for Academic Affairs.
- B. ETSU must meet SACSCOC requirements for *establishing an additional location geographically apart from the main campus*.
- C. ETSU must seek approval and/or licensure through the appropriate governmental agencies for instructional facilities outside of Tennessee. Out of state facilities must have THEC approval and meet all SACSCOC standards and requirements.
- D. ETSU will not duplicate courses or programs at off-campus instructional facilities if equivalent courses or programs offered by another public higher education institution are available and accessible at the off-campus facility.
- E. Programs at all ETSU off-campus instructional facilities must align with community college programs and Tennessee Transfer Pathways whenever possible.
- F. The Board must approve any lease for an off-campus instructional facility that requires State of Tennessee approval.
- G. The Board must approve all *permanent off-campus instructional facilities*. The establishment of a permanent off-campus instructional facility must be thoroughly planned in advance. The Board is involved throughout the planning process.

**Policy Title:** Awarding Honorary Degrees

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** 2:06:00:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The ETSU Board of Trustees authorizes the awarding of honorary doctoral degrees to individuals who have made extraordinary achievements that distinguish them and benefit East Tennessee State University and the communities it serves. The Board delegates authority to award the honorary doctoral degree to the president.

An honorary degree will:

1. Honor persons whose careers reflect sustained and superlative achievement in the arts and professions, research, scholarship, public service, leadership, volunteerism, and/or cultural affairs;
2. Advance the educational mission, goals, and programs of ETSU by developing associations with persons who embody comparable ideals, values, and aspirations; and
3. Inspire students, faculty, staff, administrators, alumni, and members of the local, national, and world communities to emulate such standards of excellence, integrity, and commitment to enhance the public good.

**Policy:**

- I. Criteria for selection
  - A. An honorary degree is distinctive and awarded only in exceptional circumstances. No more than two honorary degrees can be awarded per academic year. The honorary degree awarded will meet the standards of ETSU and be awarded at the doctoral level. No individual may receive more than one honorary degree from ETSU.
- II. Eligibility
  - A. Individuals eligible for ETSU honorary degrees are identified in the purpose of this policy. Individuals who are not eligible for honorary degree consideration include current:
    1. ETSU faculty, staff, and trustees;
    2. Elected and/or appointed public officials; and
    3. Candidates and/or nominees for public elective and/or appointed offices within the ETSU region.
  - B. ETSU faculty, staff, and trustees who have been separated from ETSU and the ETSU Board of Trustees for at least three (3) years are eligible.
- III. Guidelines
  - A. The ETSU President will establish a Selection Committee comprised of faculty, staff, and administrators. At least 50% of the committee should be faculty.
  - B. The Selection Committee will receive nominations, use intense scrutiny of a nominee to ensure continued integrity of the award, conduct confidential deliberations, and as appropriate recommend a nominee to the ETSU President.

- C. The President informs the ETSU Board of Trustees of the selected recipient for an honorary doctoral degree and notifies the recipient. The recipient must attend graduation to be awarded the honorary degree.

**Policy Title:** General Policies Regarding Research

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** 2:08:00:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** It is the intention of the East Tennessee State University Board of Trustees that ETSU adhere to federal standards on the ethical conduct of research and be responsible for promulgating policies that serve to effectuate federal law and regulations regarding all applicable aspects of research. This policy specifically addresses human subjects, animal subjects, and technology transfer; it is not meant to supplant federal regulations. Due to the complexity of the field of research, institutions and their faculty or staff engaged in conducting research are referred to the federal regulations, policies, and guidelines.

**Policy:**

- I. Protection of Human Subjects in Research
  - A. Research involving human subjects must comply with the standards concerning the conduct of research involving human subjects established by the United States Department of Health and Human Services (DHHS) within the “Protection of Human Subjects” (Title 45 CFR, Part 46).
  - B. This policy does not cover use of non-confidential data available under the Tennessee Public Records Act.
  - C. ETSU will place into effect an institutional review board (IRB) and the necessary procedures to ensure that the rights and welfare of human subjects are properly protected.
    1. Research involving human subjects conducted by personnel affiliated with the ETSU must be reviewed and, when appropriate, approved pursuant to 45 CFR 46.111 by the appropriate ETSU IRB.
    2. Research conducted by persons not affiliated with ETSU who are seeking to conduct human research utilizing individuals, groups, or existing confidential data within ETSU must obtain IRB approval pursuant to 45 CFR 46.111.
    3. Researchers publishing data analyses or reporting from data obtained from the ETSU, either electronically or in print, must comply with the federal guidelines in the protection of editable, small cell data, including but not limited to the federal Gramm Leach Bliley Act, 15 U.S.C. 6801-6809.
  - D. All research in which ETSU is engaged must be submitted by the researcher to the ETSU IRB and approval obtained prior to the initiation. In addition, studies in which ETSU is not engaged, but that meet the definition of ETSU research (Reference ETSU Introduction to Policies) must be submitted by the researcher to the ETSU IRB and approval obtained prior to initiation of the research study.
- II. Policy for Use of Animals for Research and Education
  - A. Depending on the animal definition, the Guide for the Care and Use of Laboratory Animals (2011 - [8th edition](#) or the most current version published by the Institute of

Laboratory Animal Research, Commission on Life Sciences, National Research Council) and/or the Animal Welfare Act (Title 9 CFR Chapter 1 Subchapter A) shall be the criteria for researchers to follow regarding the humane treatment of animals for scientific research and educational purposes at ETSU.

- B. Each researcher engaged in such research or educational activities is personally responsible for obtaining, perusing, and applying the principles, standards, and procedures of the Guide.
  - C. ETSU will be required to place into effect an Institutional Animal Care Use Committee (IACUC) to review and approve all studies using animals in research or educational activities and follow the policies of Office of Laboratory Animal Welfare (OLAW) and the United States Department of Agriculture (USDA).
- III. Technology Transfer
- A. ETSU must comply with federal laws concerning the protection of national security and military secrets by preventing foreign governments from accessing military and other technologies via the research processes of American universities.
  - B. ETSU will have policies in relation to the transfer of technology. These policies must comply with the provisions of the Arms Export Control Act, 22 U.S.C. 2778.



**Policy Title:** Cost of Textbooks

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** 2:07:00:00 and ETSU Faculty Handbook policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Tennessee Code Annotated (TCA), Title 49, Chapter 7, Part 1 specifies that public higher education institutions develop policies for minimizing the cost of textbooks and ancillary course materials, while maintaining quality of education and academic freedom. This policy establishes minimum requirements East Tennessee State University will follow consistent with TCA § 49-7-1.

**Policy:**

1. The ETSU bookstore will establish ordering procedures that require faculty to submit lists of required textbooks and course materials in a timely manner, thereby permitting the bookstores to ensure that textbooks and other materials are available when courses begin.
2. ETSU will provide information regarding required and supplementary textbooks and course materials prior to registration for the upcoming term through the ETSU bookstore website. Information provided for each textbook or ancillary material will include, where applicable, the cost, title, author, publisher, edition, International Standard Book Number (ISBN), and whether the textbook or materials are required, recommended, or optional. The bookstore website will also state the availability of new and used textbooks and materials and costs.
3. College and department printed or online information regarding textbooks and course materials should also include costs, where possible.
4. The ETSU bookstores will disclose to faculty on a per course basis the cost to students of required textbooks and course materials and will place orders for textbooks and materials only after a faculty member affirmatively acknowledges the price of textbooks and materials.

Faculty should consider practices that reduce the cost of textbooks and course materials such as adopting the least expensive option from the available products that meet the requirements of the course. ETSU discourages the use of bundled materials. If a faculty members wishes to order bundled materials, the academic department chair must also approve the order.

5. ETSU bookstore will allow students to purchase textbooks separately from bundled packages of course materials that include textbooks. When possible, the bookstore will sell study products separately from each other.

6. To increase the availability of used textbooks the ETSU bookstore will promote convenient book buy-backs.
7. Copies of current textbooks provided by publishers at no cost may be placed on reserve in departmental libraries or university libraries, thereby allowing maximum hours of access.

**Policy Title:** Academic Calendar and Student Registration

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** A-019 Guideline

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy describes how ETSU creates its academic calendar, including registration information, in accordance with federal regulations.

**Policy:**

- I. ETSU develops its academic calendar in accordance with Federal Regulation (CFR) 34 Section 600.2 (July 1, 2011), which mandates accredited institutions comply with the established definition of a credit hour. According to this definition, one semester credit is the equivalent of one hour of classroom time and a minimum of two hours of out-of-class student work each week. Course credits earned through electronic or non-traditional course delivery methods should be equivalent to the number of contact hours and homework assignments normally expected in on-ground courses.
- II. Academic Calendar
  - A. ETSU will offer 15-week fall and spring semester terms and a 13-week summer term.
  - B. Holidays and breaks are scheduled so that hours of instructional time are not affected.
  - C. Final examinations are scheduled at the conclusion of the instructional time and noted in the academic calendar. Summer and alternative terms do not include a designated week for finals.
  - D. Instructors submit grades at established dates.
  - E. ETSU may include alternate term formats compliant with federal regulations and equivalent in terms of student outcomes and competencies within the fall and spring semesters or the summer term. The university considers calendar conflicts and federal financial aid requirements when developing alternate terms.
- III. Registration
  - A. The published registration schedule for each term designates specific registration deadlines for each phase of registration, including late registration and withdrawals.
  - B. Late registration periods are adjusted proportionally for summer and alternate length courses.
  - C. All registration dates are published in the Academic Calendar.
  - D. Academic Council recommends to the president the specific dates associated with the academic calendar and registration. Calendars are projected for at least three years to facilitate curricular and co-curricular planning.

**Policy Title:** Delivery of Services to International Students

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:08:30:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** ETSU is committed to receiving international students into its community to strengthen and expand the global academic market of ideas and knowledge. International students have legitimate special needs, many of which are imposed by federal immigration laws and others that are part of our ethical responsibilities. ETSU will provide trained personnel to deliver services required by law and will not discriminate against any international student on the basis of national origin.

**Policy:**

ETSU adheres to all United States Citizenship and Immigration Services (USCIS), Department of Homeland Security, and Department of State regulations in the admission, enrollment, and readmission of all international, non-immigrant applicants.

- I. Federal Regulations, State and University Requirements
  - A. Immunizations: The Office of International Programs and Services must inform international students of all required immunizations at time of admission.
    - i. New students must provide proof of having received required vaccines in order to register full time at ETSU.
    - ii. Following receipt of a student visa, all international, non-immigrant students enrolling at ETSU must submit within 30 days from the first day of classes a certificate from a licensed U.S. physician, or other qualified authority, verifying freedom from tuberculosis. Failure to submit such certification will result in denial of continued enrollment. If a student has had tuberculosis and required medical treatment, a licensed physician will condition continued enrollment upon the determination that further enrollment is not a risk to others; student must comply with any prescribed medical treatment.
  - B. Health Insurance: Students enrolled following receipt of a J or F or visa must have and maintain medical and hospitalization insurance as a condition of initial and continued enrollment at ETSU.\*
- II. Academic Support and Other Student Services
  - A. Orientation: ETSU will provide an orientation program that specifically addresses the particular needs of international students.
  - B. Student Privacy: The Federal Educational Rights and Privacy Act (FERPA) permits institutions to comply with information requests from the Department of Homeland Security (DHS) and its Immigration and Customs Enforcement Bureau (ICE) in order to comply with the requirements of the Student and Exchange Visitor Information System (SEVIS).

\*See Undergraduate or Graduate Admissions Policies

**Policy Title:** Faculty Non-Instructional Assignments

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR Guideline A-052 plus portions of ETSU Faculty Handbook policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**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 to a faculty member.

**Policy:**

- I. Allocations of full-time non-instructional assignments to faculty should reflect ETSU’s mission, goals and needs. The purposes of faculty non-instructional assignments 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.
- II. To be eligible for a faculty non-instructional assignment, an applicant must:
  - A. be a tenured member of the full-time faculty,
  - B. have completed five years in a professorial appointment at the university, and
  - C. have demonstrated significant scholarly, creative or teaching performance in her or his discipline.
- III. Authority for approving non-instructional assignments resides with the Vice President for Academic Affairs or the Vice President for Health Affairs, depending on the division in which the faculty member works. If the Vice President approves non-instructional assignment, the faculty member is authorized to pursue that assignment without jeopardy to his or her personnel status.
  - A. Full-time non-instructional assignments shall be for one semester at full pay or an academic year at one-half pay.
  - B. Full benefits will be continued for a faculty member who is pursuing a non-instructional assignment for the duration of the assignment.
- IV. For each semester of full-time non-instructional assignment a faculty member must provide a minimum of one semester of continued employment at ETSU following the assignment.

**Policy Title:** Definition of Credit

**Policy Type:** Academic                      **New/revised:** New

**Old Policy #:** Non-numbered ETSU policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:**

The purpose of this policy is to define credit, the criteria for determining credit, process for determining credit, and external confirmation for courses and programs. The U.S. Department of Education Regulatory Language is included. ETSU places emphasis on learning outcomes not time.

The Department of Education in Code of Federal Regulation (CFR) 34 Section 600.2 (July 1, 2011) mandates accredited institutions comply with the established definition of the credit hour.

**Policy:**

- I. US Department of Education
  - A. The Office of Post-secondary Education, Department of Education in Code of Federal Regulation (CFR) 34 Section 600.2 defines credit hour as follows.
    - 1. An amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than:
      - a. One hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or
      - b. At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution, including laboratory work, internships, clinical placements, practica, studio work, and other academic work leading to the award of credit hours.
- II. Definition of Credit
  - A. A semester credit is a unit of educational accomplishment represented by learning outcomes.
  - B. Criteria for Determining Credit for Courses
    - 1. Faculty and review committees determine the quantity of credits for a course in accordance with commonly accepted practice in higher education. Institutionally established criteria reflect professional standards and include some or all of the following:
    - 2. discipline-specific best practices;
    - 3. purpose and goals of the course;

4. intellectual/learning outcomes;
5. content and topics;
6. major assignments;
7. assessment methods;
8. class level: lower or upper division undergraduate, undergraduate/graduate combined, graduate (master and/or doctoral).
9. course type: lecture, lab, clinical, studio, study abroad, internship, field placement, independent study, thesis, or dissertation;
10. course delivery method: synchronous, asynchronous, or combined
11. articulation and transferability of credit to other institutions; and
12. other factors as appropriate.
13. In accordance with federal regulation (34 CFR 600.2 and subsequent guidance), one semester credit reasonably approximates the learning outcomes expected from one hour of direct faculty instruction and a minimum of two hours of out-of-class student academic engagement each week for 15 weeks. Courses offered in alternative calendars and course types require an equivalent amount of faculty and student engagement and learning outcomes.

### III. Criteria for Determining Credit for Programs

Faculty and review committees determine the quantity of credits for a program in accordance with commonly accepted discipline-specific best practices for undergraduate, graduate, or professional degrees and policies of the ETSU Board of Trustees, Tennessee Higher Education Commission, and Southern Association of Colleges and Schools Commission on Colleges.

### IV. Process for Determining Credit

Faculty develop courses and programs and provide justification for proposed credit amounts. College and university faculty committees conduct rigorous reviews of course and program proposals, including justifications for credit to be awarded, and are responsible for final approval of proposals. Final acceptance of a proposal by each appropriate review committee denotes the review and acceptance of the proposed number of credits.

### V. External Confirmation

Accreditation and program reviewers assess ETSU programs of study in accordance with discipline-specific best practices, including credits awarded for courses. ETSU provides its policy and procedure for awarding of credit for compliance with SACSCOC standards and federal requirements.

**Policy Title:** Reverse Transfer Policies

**Policy Type:** Academic **New/revised:** Revised

**Old Policy #:** 2:02:00:02 Policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

### **Purpose**

The purpose of this policy is to serve as a framework for reverse transfer at East Tennessee State University.

ETSU will participate in reverse transfer as encouraged and supported by the State of Tennessee HB 2827 to allow students who have transferred to ETSU from a community college before earning an associate degree to earn an academic credential if they so choose.

### **Policy**

- I. ETSU participates in reverse transfer as encouraged and supported by the State of Tennessee HB 2827 to allow students who have transferred to ETSU from a community college before earning an associate degree to earn an academic credential if they so choose.
- II. Reverse transfer, an initiative to promote the educational attainment of adult learners through the full cooperation and collaboration among Tennessee institutions of higher education, will result in the generation of student and institutional outcomes where none previously existed.
- III. ETSU is responsible for the accuracy of equivalency tables and degree audits. Equivalency tables and degree audits must be reviewed and updated annually, or as new programs are approved.
- IV. To adhere to the FERPA guidelines, ETSU must have written permission from the student to send the results of the screening degree audit to the associate degree-granting institution for reverse transfer degree audit purposes. The process to obtain student consent must include a reasonable way to identify the individual and authenticate the identity of the student as the source of the consent to the disclosure of the education records. ETSU must obtain written consent (e.g., hard copy, electronic consent) from those students who appear to have the credits for associate degree completion prior to sending the results of the screening degree audit to the associate degree-granting institution. The communication to the student must include the purpose for sending the information, the institution to which the student's information will be sent, and the option to revoke participation in the reverse transfer process at any time. Additionally, ETSU may provide a section on the transfer application to allow for the exchange of the screening degree audit results for reverse transfer audit purposes or to opt out of the reverse transfer degree audit.
- V. If a reverse transfer degree candidate attended more than one associate degree-granting institution prior to transferring to ETSU, the degree confirming institution will be the institution where the student earned the most credits, provided the student earned a minimum of 15 credits at that institution to meet the SACSCOC residency requirement and the student meets



the requirements for an associate degree at that institution. In the event the student has earned the same number of credits and meets the residency and degree requirements at two or more institutions, the institution that the student attended most recently will be considered as the degree-granting institution.

- A. ETSU may not accept all credits earned at the associate degree-granting institution (e.g., grades of “D”) that may in fact count towards the associate degree. Therefore, a threshold of “successfully transferred” credits that is less than the minimum residency credits required at the associate degree-granting institution was established to capture and include those students who may have not had all earned degree credits accepted by ETSU.
  - B. Students meeting this threshold are considered to be “close” to degree completion for purposes of the screening degree audit. The associate degree-granting institution will still have responsibility for the official degree audit and degree conferral, if the student is eligible. The degree-granting institution will conduct the screening degree audit if the student meets the following criteria.
    - 1. Is currently enrolled at ETSU and was previously enrolled as a degree seeking student at a Tennessee community college or other similar institution in another state;
    - 2. Has earned a minimum of 15 college credits towards an associate degree at the associate degree-granting institution; and
    - 3. Has earned a combined minimum of 60 college-level credits.
- VI. Students will not be assessed fees for screening degree audit reports sent to associate degree-granting institutions.
- VII. Reverse transfer degree recipients will not be assessed a graduation fee at the associate degree-granting institution.
- VIII. Each community college and ETSU will designate a contact person for reverse transfer. The contact person will serve as a point of information for students, faculty, and advisors.
- A. Students are afforded due process under the appeals process and procedures outlined in the Catalog at the appropriate institution.
  - B. Once a degree is conferred (baccalaureate or associate), the student will not be considered further for the reverse transfer process.

#### Notes:

##### Background

- A. On April 4, 2012, Tennessee Governor Bill Haslam signed HB 2827 which amended Tennessee Code Annotated, Title 49 relative to higher education. This amendment added the following language to Section 1 Tennessee Code Annotated, Title 49, Chapter 7, Part 1: *The community colleges of the board of regents system are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the universities of the board of regents and the University of Tennessee systems and with private institutions of higher education that are accredited by the Southern Association of Colleges and Schools. The universities of the board of regents and the University of Tennessee systems are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the community colleges of the board of regents system.*
- B. In July 2012, a task force was convened to develop and implement a reverse transfer Process across the State of Tennessee. The original task force was comprised of members from the Tennessee Higher Education Commission, the Tennessee Board of Regents (TBR),

- the Tennessee Independent Colleges and Universities Association (TICUA), and the University of Tennessee (UT) systems.
- C. The full task force defined Reverse transfer as “a credit review of degree seeking students who transfer from a community college to a four-year institution prior to receipt of the associate’s degree to determine if and when the students complete the associate’s degree requirements and, if so, to award them an associate’s degree”. While the remaining courses required for the associate degree are completed at a Tennessee four-year institution, it is the responsibility of the associate degree-granting institution to verify degree completion and to award the two- year degree.
  - D. Subsequently, workgroups were created and charged to develop components of the overall process. The workgroups included members from THEC, TICUA, TBR, and UT. The Policies/Procedures workgroup was charged with the development of academic policy/procedures that will serve as the framework for Reverse transfer across the State of Tennessee and among the three systems of higher education (Tennessee Board of Regents, University of Tennessee, and the Tennessee Independent Colleges and Universities).
  - E. The Tennessee Higher Education Commission will work to identify and make any necessary modifications to the funding formula to reflect a spirit of full collaboration among Tennessee institutions of higher education and reward participating Tennessee institutions accordingly.

**Policy Title:** Commitment to Teacher Preparation

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** A-O45

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to set forth operational guidelines which address the commitment of the University to teacher preparation programs.

**Policy:**

- I. Assessment and Placement Procedures
  - A. Assessment
    1. ETSU teacher preparation programs will have periodic formal performance and disposition assessments based on state and national standards. These assessments will, at a minimum, occur at entry, mid-point, and exit.
    2. Performance-based assessments will be reliable, valid, fair, actionable, and representative.
  - B. Placement
    1. Placement of teacher candidates will be managed collaboratively between ETSU and P-12 Partners.
    2. Teacher candidates will be placed only in settings that conform to appropriate state and national standards, with evidence-based practices being the foundation for training and interaction with the mentor teachers.
  - C. Recruitment and selection
  - D. Formal, aggressive recruitment plans and activities will be implemented to recruit, select, and retain teaching candidates who meet or exceed benchmarks set by the state as well as appropriate national accreditation standards. Particular focus will be on developing a more diverse teacher candidate pool and increasing the number of completers in Tennessee's high demand endorsements.
- II. Program Elements and Design
  - A. The Teaching Quality Initiative is an integral part of ETSU's mission and academic programs. Teacher education programs are founded on an authentic, competency-based model that emphasizes development of content expertise and active learning in school settings.
    1. Close Partnerships with Public Schools.
      - a. ETSU will develop ongoing partnerships with P-12 school and community partners. These partnerships will require consistent, systematic collaboration and communication. Partners will establish mutually agreeable expectations for candidate entry, preparation, and exit.
      - b. Partners will co-select, prepare, evaluate, support, and retain high quality clinical educators who demonstrate a positive impact on candidates' development and P-12 student learning and development.

- c. Formal mutually-beneficial agreements between the parties are necessary components of the partnership. Agreements outline procedures and delineate responsibilities of and benefits to both sides.
  - 2. School-based Residency
    - a. A comprehensive teaching residency will occur primarily during the senior year. Clinical experiences prior to residency will be developed to develop candidates' pedagogical, assessment, and technology skills.
    - b. Preparation for teaching will occur primarily in school settings, under collaborative supervision of university faculty and mentor teachers, and structured around authentic problem-based experiences to attain learning outcomes.
    - c. Residents will work closely with mentor teachers as they merge theory and practice.
  - 3. Integration of Content Coursework and Professional Educational Component
    - a. Professional education faculty, content faculty, and mentor teachers will collaborate to implement and model evidence-based best practices in content courses, pedagogy preparation, and applied experiences.
    - b. Professional education faculty, content faculty, and mentor teachers will collaborate systematically concerning programmatic decision-making and evaluation of student status and progress.
- III. Faculty and Staff Selection and Development
  - A. Faculty and Staff Selection
    - 1. University faculty and mentor teachers from Local Education Agencies collaboratively plan, implement, supervise, and evaluate experiences for residents.
    - 2. Residents will be placed only with university faculty and mentor teachers who demonstrate a positive impact on candidates' development and P-12 student learning and development.
  - B. Professional Development
    - 1. Systematic professional development and training of faculty and mentor teachers is essential to program success.
    - 2. Professional development will be based on needs identified based on program assessments, P-12 partner feedback, and state and national professional association recommendations.
- IV. Program Evaluation and Research
  - A. Program Evaluation
    - 1. Program quality will be based on state and national standards for the various teacher preparation programs. At a minimum these measures will include impact on P-12 learning and development, indicators of teaching effectiveness, results of employer surveys (including retention and employment milestones), results of completer surveys.
    - 2. Program outcomes will be based on state and national expectations including graduation rates, ability of completers to meet licensure requirements, ability of completers to be hired for positions for which they were prepared and other elements of the Tennessee Teacher Preparation Report Card.
    - 3. Program evaluation components and outcomes will be coordinated with and complementary to Council for the Accreditation of Educator Preparation (CAEP) and state standards and requirements.

4. Program evaluation will be routine and continuous and structured with performance indicator data provided to appropriate college, department, and program personnel on an established and regular basis in order that each program may make appropriate improvements as needed.
- B. Research
1. ETSU faculty will be supported in their efforts to research the effectiveness of various program elements and characteristics so as to contribute to the knowledge base on effective teachers and teaching practices.
  2. ETSU will collaborate with other state and local education agencies to explore characteristics of effective teachers and teaching.

**Policy Title:** Collaborative Academic Arrangements

**Policy Type:** Academic                      **New/revised:** New

**Old Policy #:** A-030, A-031, and other pertinent information

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to ensure the quality of educational programs or courses offered through collaborative academic arrangements: consortial relationships, joint academic programs, contractual agreements, articulation agreements, joint academic programs, dual admission agreements, and international university agreements.

**Policy:**

- I. Collaborative academic arrangements should be in compliance with the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) policies and standards. Further, agreements must be in compliance with all applicable program accrediting agencies.
- II. Types of Academic Agreements
  - A. Consortial Relationships: ETSU and another institution (s) share the responsibility to develop courses and programs that meets standards of academic quality.
  - B. Joint Academic Collaborations: ETSU and another institution(s) grant a joint academic award bearing the names, seals, and signatures of each of the participating institutions.
    1. Undergraduate students must earn 25 percent or more of the credits required to earn the degree at each participating institution. Graduate students must earn one-third or more credits at each institution.
  - C. Contractual Agreements: ETSU enters into an agreement with another institution for receipt or delivery of courses/programs or portions of courses/programs.
    1. These agreements provide opportunities for students to enroll in courses not available at their home institutions, and therefore, expand student access to unique course offerings and to libraries and holdings.
    2. Registration in a concurrent enrollment course must be approved by both the student's home institution and the registrar at the institution offering the course.
    3. For purposes of course withdrawals, drops, and refunds, the student is governed by the policies of the institution offering the course. Each student pays current tuition to the home institution for the course(s) selected. Charges for courses that require additional fees (laboratory supplies, etc.) are paid to the institution providing the course.
  - D. Articulation Agreements: ETSU and community colleges document pathways for transfer credit when courses created at other institutions satisfy course and learning outcomes requirements at ETSU.
  - E. Dual Admission Agreements: ETSU and a community college agree to provide guaranteed acceptance to ETSU for students who fulfill the requirements of the Dual Admissions Program.

1. The guaranteed acceptance is to the university and not to any one major or program of study.
  2. The community college forwards applications and intents-to-enroll forms to ETSU and, at the end of each semester, provides ETSU an official transcript for each participant. This work will be posted as transfer credit in the student information system at ETSU providing the authorization for exchange between institutions is approved by the student. Both institutions identify dual admission students in their respective student information systems.
  3. In order to be eligible for dual admission, a student must:
    1. Plan to pursue both an associate's degree and a bachelor's degree.
    2. Complete an application for dual admission and a non-binding intent-to-enroll form that includes authorization for the exchange of all application and academic information between the community college and ETSU.
    3. Meet current admission criteria for the community college.
    4. Have earned 29 or fewer college-level semester credits and an established cumulative college GPA required per the agreement.
    5. Upon graduation from the community college with an associate's degree, reaffirm the information on the original application. Residency classification with regard to fee payment will be determined by ETSU at the time the application for admission is submitted to ETSU.
- F. International University Agreements: Official collaborative relationships involving ETSU faculty, staff, and/or administrations with same at an overseas university or organization to establish an academic link for students and faculty through the following:
1. Exchange of graduate and/or undergraduate students between the two institutions;
  2. Potential exchange of faculty between the two institutions; and
  3. Development of short-term programs for faculty, staff, and students
- III. Standards for all collaborative academic agreements.
- A. All agreements must support the mission of ETSU.
  - B. All agreements must ensure compliance with appropriate SACSCOC requirements and standards.
  - C. Responsibilities of each participating institution must be clearly stipulated in the agreement, including student advisement, duration of the agreement, and provisions for amendments, if appropriate.
  - D. Representatives from ETSU and other institutions meet periodically to discuss enrollment, requirements, course offerings, and common concerns. Course syllabi and faculty credentials are reviewed as needed.
  - E. Agreements should include competencies indicating that the learning outcomes specified in courses offered by the lower-level institution satisfy learning outcomes in similar courses offered by ETSU and descriptions of required proficiency levels and criteria for measurement.
  - F. Syllabi and competency lists of the courses from the institutions involved must be maintained in the appropriate offices of both institutions
  - G. ETSU is responsible for ensuring the quality of the coursework entered on its students' transcripts.
  - H. ETSU is responsible for ensuring the coursework meets standards required of similar programs.

- I. All agreements must be evaluated to ensure the quality of the programs and courses is in accord with the ETSU mission. Renewal dates should be included in each agreement.



**Policy Title:** Transfer of Credit

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** No TBR policy or guideline. Undergraduate catalog, graduate catalog

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to address conditions whereby a student may transfer credit into an ETSU undergraduate degree program or graduate certificate or degree program.

**Policy:**

- I. Transfer of Undergraduate Credit
  - A. ETSU will review for possible credits earned from all institutions of higher education previously attended.
    1. Consideration for transfer of courses will be given to the appropriateness and applicability of the credit earned to the courses offered at ETSU.
    2. Credit earned from institutions of higher education accredited by the Southern Association of Colleges and Schools (or corresponding agencies for other states and regions of the United States) will be evaluated for direct application toward a degree.
    3. Credit earned at institutions outside of the United States that are recognized by the corresponding country's Ministry of Education or similar agency will be evaluated for direct application toward a degree.
    4. Credit earned through non-regionally accredited institutions or non-accredited international institutions of higher education will be reviewed for possible transfer credit on a case-by-case basis at the request of the student. In order to have the credit considered, the student must file a petition with the appropriate academic department. Credit will be recorded on a student's record only after the appropriate academic department(s) and the dean have reviewed the course(s) and determined it to be equivalent in content to an ETSU course(s) and approval is issued by the Vice Provost for Enrollment Services.
    5. The Office of Admissions will evaluate credit for university-wide use based on historical precedent, course descriptions and titles, current articulated program information and/or review by the appropriate ETSU college dean and faculty.
    6. Credit earned in remedial or developmental courses is not transferable for college-level credit.
    7. A student who completes a Tennessee Transfer Pathway (TTP) at a Tennessee community college is guaranteed that ETSU will accept those courses taken in fulfillment of the TTP.
    8. Courses that have no direct ETSU equivalent will be transferred as either lower division or upper division general elective credit and may, as appropriate, be applied as elective credit toward the student's degree.

B. Prior Learning Credit

1. When awarding credit for prior learning the university will use generally accepted principals and best practices, and recognized guides to ensure appropriate awarding procedures are followed.
    - a. Procedures for awarding credits based on prior learning have been developed in accordance with the Southern Association of Colleges and Schools Commission on Colleges principles and policies related to the transfer of credit and the Recommended Standards in Prior Learning Assessment Policy and Practice of Tennessee Public Colleges and Universities (August 7, 2012).
  2. ETSU will review for possible credit evidence of prior learning as provided through standardized exam scores, training provided by non-collegiate institutions, or experiential learning. Possible sources of prior learning assessment include:
    - a. Service in the armed forces
    - b. Dantes – Subject Standardized Tests
    - c. Advanced Placement Exams (AP)
    - d. ACT/SAT credit for first-year English
    - e. International Baccalaureate Exams
    - f. College Level Examination Program (CLEP)
    - g. Cambridge exams
  3. Departmental course challenge exams may be available for undergraduate courses, for which a fee is charged. To be eligible, admitted or enrolled students with satisfactory academic standing, as determined by the appropriate academic department, may request a comprehensive challenge examination. Students may not take the challenge exam in a course previously taken for credit. A grade of “P” for pass (satisfactory performance) or “F” for fail (unsatisfactory performance) is determined by the academic department and entered into official records.
  4. ETSU may award credit for experiential learning for applicants to approved degree programs on well-documented activities and experiences at the appropriate educational level and evaluated based on clearly developed outcomes for the courses or program for which credit is awarded.
- C. When awarding credit to students who are veterans or military service members the university will reference the Joint Services Transcript (JST), DD-214, and/or transcripts from the Army/American Council on Education Registry Transcript System (AARTS), Community College of the Air Force (CCAF) and Coast Guard Institute (CGI). The university will use the American Council on Education (ACE) for awarding credit for military experience, educations, and/or training obtained during military experience.
1. If military experience, education and/or training are equivalent to a course offered by ETSU the credit will be applied for the equivalent course. Otherwise, appropriate course credit will be granted for elective credit.
  2. Should credit not be captured through ACE recommendations, veterans and service members have the opportunity for prior learning assessment through other means. (refer to 1. above)
  3. Military veterans and service members have the opportunity to request that excessive credits applied to transcripts which may affect their financial aid eligibility be removed from the transcript.

- D. Prior learning credit awarded by another Tennessee public institution will be recognized by ETSU.
- II. Transfer of Graduate Credit
- A. Students may petition the Dean of the School of Graduate Studies (Application for Transfer of Graduate Credits) for the transfer of a maximum of nine (9) semester credits of graduate credit earned from ETSU or other regionally accredited U.S. and approved international institutions, if grades of “B” (or equivalent) or higher were earned (“B-” grades do not transfer.) In order to qualify for transfer, requested courses will be evaluated with respect to content, learning outcomes, and credits. Students may be required to submit documentation (e.g., syllabus) prior to transfer credit being approved. ETSU coursework solely is used to compute the grade point average; non-ETSU transfer work is not computed in the GPA.
  - B. All non-ETSU transfer credit must be completed prior to the term of graduation so that the transfer process can be completed in a timely manner early in the graduation term. Transfer of credit may not be initiated after the graduation intent deadline, and official transcripts must be received by the midpoint of the graduation term.
  - C. The degree program time limit (matriculation limit) will begin with the registration date of the first course applied to the degree requirements, including transferred courses. Credit earned prior to the degree time limitations specified in this catalog will not be approved for transfer and transfer credit cannot be revalidated if it later exceeds the matriculation limits.
  - D. Credit cannot be transferred from a completed degree program into a current degree program. Extension or continuing education hours will not be transferred for credit. In general, credit earned at international institutions cannot be transferred, and petitions to transfer international credit are reviewed only if accompanied by a professional course-by-course evaluation.
  - E. When credit is transferred into a graduate certificate program, the School of Graduate Studies rules for transfer of credit will apply. Students who have taken non-degree coursework at ETSU or other universities may petition to transfer up to nine (9) credits into a graduate certificate, but in all cases students must take at least 50% of the certificate program coursework or at least six credits of coursework (whichever is greater) at ETSU in order to complete certificate requirements. Some graduate certificates have specific rules about transfer of credit, and so the graduate certificate curriculum in the catalog should be consulted. Students currently enrolled in a master’s program or doctoral program may not be enrolled in a certificate that duplicates their work in a master’s or doctoral program concentration.

**Policy Title:** Distance Education

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** Distance Education: 2:05:00:00, TBR guidelines A-070 and A-075

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy is designed to define the academic standards, planning, and implementation issues regarding distance education. In addition, this policy will define the legal rights and responsibilities of course/content creators, and distributors of distance education materials at East Tennessee State University including the intellectual property and ownership of copyright of distance education materials created by faculty and employees of East Tennessee State University.

**Definitions:**

- Distance/Online Education: Distance education occurs when there is a physical separation of the teacher and learner and when communication and instruction take place through, or are supported by, any technological means such as telephone, radio, television, computers, satellite delivery, interactive video, or any combination of present and future telecommunication technologies.
- Online Course: A course in which more than 50% of the course content is delivered in an online environment.
- Online Program: Program in which all courses are delivered online even if some courses require students to attend campus on limited occasions during the course of the program.
- Copyright: Applies to any original work of authorship (17 U.S.C § 102(a)) and grants the owner exclusive rights to reproduce the work, to distribute copies of the work, and/or to publicly display or perform the work. (17 U.S.C § 106).
- Work for Hire: Both the university and the employer own East Tennessee State University courses that are developed within the scope of employment or for extra compensation.

**Policy:**

- I. Requirements and Standards
  - A. Distance education courses offered at East Tennessee State University must be consistent with the level, nature, and mission of the institution.
  - B. When a course is offered through distance education, it will carry the same code, title, and credit as other sections of that course.
  - C. Each distance education course must provide for interaction and timely feedback between students and faculty teaching the course.
  - D. Each distance education course must meet the minimum requirements for distance education courses at East Tennessee State University as defined by the ETSU Online Faculty Liaison committee.

- E. Each distance education course must be reviewed on a regular rotation to ensure minimum requirements set forth by the ETSU Online Faculty Liaison committee are met.
  - F. Each distance education course must be delivered through the university's learning management system.
  - G. Each distance education course must include an assessment of the asynchronous delivery mode in its procedure for monitoring and assessing student performance.
  - H. Each student enrolled in a distance education course shall have access to all the academic support services, instructional equipment, and campus events and other non-academic activities provided for other students.
  - I. Faculty involved in distance education must receive specialized training in the use of the medium.
  - J. East Tennessee State University courses and programs must be delivered in compliance with the Memorandum of Understanding (MOU) for Web Courses and the MOU Rubric for Web Courses established by the ETSU Online Faculty Liaison committee.
  - K. Faculty comply with all policies and standards of best practice regarding intellectual property that pertains to distance education.
- II. Administration of Distance Education
- A. East Tennessee State University will provide specialized support relating to distance education delivery and administration.
  - B. East Tennessee State University will provide administrative units to support faculty and academic departments delivering distance education.
  - C. East Tennessee State University shall ensure compliance with all applicable copyright laws concerning the reproduction of printed materials and the use of transmission of films, filmstrips, videotapes, recordings, performances, or other protected works.
  - D. East Tennessee State University shall ensure compliance with all applicable accessibility laws with regard to information materials and technologies.
- III. Federal Requirements
- A. Each distance education course must be delivered through the university's learning management system to ensure compliance with federal requirements as monitored through the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).
  - B. In compliance with the Higher Education Opportunity Act (HEOA), East Tennessee State University must
    - 1. establish a secure login and pass code procedure to ensure that distance students registered for courses are the same students who participate in and complete the courses and programs,
    - 2. protect the privacy of all students enrolled in traditional and distance learning courses or programs by establishing written policies and procedures to protect privacy, including strong password and electronic mail policies, learning management system login procedures, and confidentiality agreements for administrators of the learning management system, and
    - 3. assess no charges or fees related to the verification of student identity in distance education courses or programs.

**Policy Title:** Graduate Admissions

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** [old TBR policy, TBR guideline, ETSU policy number(s) here for reference on draft] in ETSU Graduate Catalog (no numbering system)

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy provides information on admission to graduate school for both domestic and international students.

**Policy:**

- I. Application for admission to graduate study is open to any person with a bachelor's degree from a regionally accredited institution. The transcripts of applicants with bachelor's degrees from non-regionally accredited institutions will be reviewed individually. If additional coursework is required to meet East Tennessee State University's minimum accreditation standards for graduation, it should be specified at the time of admission.
  - A. For admission to the School of Graduate Studies, a minimum undergraduate grade point average (GPA) of 2.5 (on a 4.0 scale) is required. Some programs have higher requirements. Applicants should consult the graduate catalog section on the program to which they are applying for information on specific requirements for admission. Specialist, doctoral, and international students are subject to additional specific requirements and should refer to the appropriate sections in this document or in the graduate catalog.
  - B. When all pertinent materials are received, including payment of the non-refundable application fee, the School of Graduate Studies will review the application and, if university requirements are met, forward the materials to the graduate program for evaluation. Applicants must be sure to submit all program requirements for admission (e.g., Graduate Record Examination (GRE), Graduate Management Admission Test (GMAT), letters of recommendation, etc.) or applications will not be referred to the graduate program for review.
  - C. All application materials become the property of the university and will not be forwarded or returned. Incomplete applications are maintained in an active file for 12 months, after which the file is purged. Files in inactive status for 12 months may be purged, after which the student will be required to resubmit all new application materials prior to the deadline dates for the term in which registration/enrollment is anticipated.
  - D. Applicants seeking admission to the School of Graduate Studies should have complete applications on file by the following preferred dates: June 1 for the fall semester, November 1 for the spring semester, and March 15 for the summer session. These deadlines are for U.S. residents. International students should follow the calendar listed in the Admission of International Students section of this catalog. Individual programs

may have earlier admission deadlines. For this information, students should contact the graduate coordinator for the program they wish to enter or consult the program section in the graduate catalog. Since decisions regarding financial support (fellowships, assistantships, and scholarships) for the academic year are normally made in March and April of each year, applicants seeking financial assistance and admission for the fall semester are advised to submit completed applications for review by March 1. Applications can be submitted electronically via the web.

- E. Applications for admission must be approved by the last day of registration (official census date) of a semester in order to be effective for that semester.
- F. Graduate program admission requirements are defined under Graduate Program Listings in the graduate catalog. Applicants denied admission may appeal this decision in writing to the Dean of the School of Graduate Studies. The final decision to admit or reject an applicant rests with the university through the Dean of the School of Graduate Studies.

## II. Complete and Correct Application Information

Applicants seeking admission to East Tennessee State University (ETSU) should be aware that failure to submit correct and complete application information shall be considered utterance of a false oath on an official document and may result in the immediate dismissal of a student without refund of fees, as determined by a judicial review board.

## III. Admission Categories

- A. Unconditional Admission - A graduate student accepted unconditionally is a degree-seeking student who has fulfilled all of the School of Graduate Studies requirements and the criteria of the program to which the applicant is applying.
- B. Unconditional Admission with Provision(s) - This category of admission is designed for applicants who are in the process of completing prerequisite courses or degrees or whose credentials are less competitive. Unconditional admission with provision(s) will not be granted when significant admission criteria are missing, such as required standardized testing, sufficient letters of recommendation, or in the case of international students, proof of equivalent U.S. accredited undergraduate degrees.
  - 1. Provision(s) will be outlined in the admission letter and must be removed by the date specified. If no date is specified, they must be removed prior to the completion of 15 graduate credits or one calendar year, whichever is later. The student must submit a Satisfaction of Required Provision(s) Form. The Dean of the School of Graduate Studies reviews the request upon recommendation from the degree program coordinator or program admissions committee. A student who has not met the provision(s) deadlines will not be allowed to continue to register as a degree-seeking student and cannot be admitted to candidacy until the provision(s) have been met. Ultimately, failure to meet the provision(s) will result in dismissal from the program.
- C. Visiting Student Admission - Admission as a visiting student is reserved for students who plan to earn a limited number of credits for transfer to a college or university where they are enrolled for a degree program. Visiting students may be admitted with a letter of good standing from the college where they are enrolled for a graduate degree program and with completion of a non-degree application.
- D. Graduate Non-Degree Admission - This category of admission is for individuals who wish to enroll in graduate courses but who are not admitted to a graduate program at ETSU. These students are expected to have, at a minimum, a bachelor's degree from an

accredited institution and must submit an official transcript verifying the bachelor's degree prior to the end of the first term of enrollment. If official proof of degree is not submitted prior to the end of the first term of enrollment, the ETSU transcript showing credit earned in non-degree status will not be released. Departments may exclude non-degree students from designated courses, and it is a department's prerogative to require non-degree students to have its approval prior to registering for any class. ETSU cannot assure a non-degree student that all or any work completed in this status will apply toward a degree. A student may petition to have a maximum of nine credits accepted for transfer credit upon subsequent admission to a degree program.

IV. Appeal of Admission Denial

- A. Applicants denied admission may appeal this decision in writing to the Dean of the School of Graduate Studies. In all cases the final decision to admit or reject an applicant rests with the university through the Dean of the School of Graduate Studies.

V. Application for Admission to a Master's Degree Program

- A. For admission to a master's degree program in the School of Graduate Studies, a minimum 2.5 undergraduate GPA (on a 4.0 scale) is required. Some master's degree programs have higher requirements and international students are subject to additional specific requirements and should refer to the appropriate sections in this document or in the graduate catalog. Students with less than a 2.5 GPA who wish to apply must address the low GPA in the personal essay (see #4 below).
- B. The following must be submitted before an applicant will be considered for admission:
  1. Nonrefundable application fee.
  2. A completed application form.
  3. One official transcript from each undergraduate or graduate institution attended, except previous coursework taken at ETSU. Applications will not be considered without all transcripts.
  4. A personal essay.
  5. Additional materials required for admission to a specific program (See Graduate Program Listings in the graduate catalog.)

VI. Application for Admission to a Graduate Certificate Program

- A. For admission to a graduate certificate program in the School of Graduate Studies, a minimum 2.5 undergraduate GPA (on a 4.0 scale) is required. Some certificate programs, such as post-master's or post-doctoral certificate programs, have higher requirements. International students are subject to additional specific requirements and should refer to the appropriate sections in the graduate catalog. Students with less than a 2.5 GPA who wish to apply must address the low GPA in the personal essay (see #4 below).
- B. The following must be submitted before an applicant will be considered for admission:
  1. Nonrefundable application fee.
  2. A completed application form.
  3. One official transcript from each undergraduate or graduate institution attended, except previous coursework taken at ETSU. Applications will not be considered without all transcripts.
  4. A personal essay.
  5. Additional materials required for admission to a specific certificate program (see Graduate Program Listings in the graduate catalog).

VII. Application for Admission to the Educational Specialist Degree Program



- A. An applicant seeking admission to the specialist in education degree must hold a bachelor's degree and a master's degree. The following must be submitted before an applicant will be considered for admission:
    1. Nonrefundable application fee.
    2. A completed application form.
    3. One official transcript from each undergraduate or graduate institution attended, except previous coursework taken at ETSU. Applications will not be considered without all transcripts.
    4. A personal essay.
    5. A photocopy of the teaching certificate.
    6. Fours (4) letters of recommendation.
- VIII. Application for Admission to a Doctoral Degree Program
- A. An applicant seeking admission to a doctoral degree program must hold a bachelor's or master's degree. For doctoral programs that will admit students with only a bachelor's degree, a minimum 2.5 undergraduate GPA (on a 4.0 scale) is required however most doctoral degree programs have higher requirements. International students are subject to additional specific requirements and should refer to the appropriate sections in this document or in the graduate catalog. The following must be submitted before an applicant will be considered for admission:
    1. Nonrefundable application fee.
    2. A completed application form.
    3. One official transcript from each undergraduate or graduate institution attended, except previous coursework taken at ETSU. Applications will not be considered without all transcripts.
    4. A personal essay.
    5. Official scores on the general portion of the GRE.
    6. Three (3) letters of recommendation.
- IX. Admission into ETSU Accelerated Bachelors to Master's Degree Program
- A. Purpose: The accelerated bachelors to master's degree program provides high performing ETSU undergraduate students an opportunity to complete both the bachelor and master degrees at an accelerated pace. Participating students can apply as many as 12 credits of graduate-level coursework toward both of their degrees.
  - B. Benefit: Participating students will benefit by accelerated completion of two degrees, reducing time and cost. Programs will benefit by recruiting motivated students who desire such an opportunity. Particularly motivated students with a number of dual-enrollment or advanced placement courses could additionally reduce the time and cost of earning both degrees.
  - C. Eligibility: ETSU students may apply to the program once they have completed 75 credits in their undergraduate programs, including credits earned from dual enrollment or advanced placement. They must apply and be accepted to the accelerated program (including acceptance into the graduate program) prior to earning the undergraduate degree. Transfer students must have completed at least one year (2 semesters) at ETSU prior to requesting admission to the accelerated program.
  - D. Minimum GPA: Students must have a minimum ETSU undergraduate GPA of 3.25 to request admission to the program. Individual programs may impose higher GPA requirements.
  - E. Admissions: Admission to an accelerated program is contingent on meeting requirements of the respective programs and the School of Graduate Studies.

Permission to pursue developing a proposal for the accelerated program will not guarantee admission to the graduate program.

- F. Application process:
1. Students meeting the eligibility requirements and wishing to pursue an accelerated program should contact their undergraduate advisor and the graduate program coordinator to schedule a meeting to create a proposal.
  2. Once the accelerated program proposal is agreed upon by the student and coordinators, the graduate program coordinator will make a Plan of Graduate Work memo for the student's file that contains the following specific information:
    - a. Plan of study for both degrees that includes:
      - i. The list of the graduate credits (up to 12) that will apply toward both degrees.
      - ii. The courses that will be taken after matriculating into the master's program.
    - b. Permission to pursue the program from both coordinators.
    - c. The rationale for substitution for each graduate course that will be applied toward the undergraduate degree. The rationale can be based on an analysis of course objectives, competencies, or other objective measures.
    - d. Target dates for graduation. Note that it is expected that most students will earn the bachelor degree en route to the master's degree but some programs may require simultaneous awarding of both degrees. This must be specified in the plan.
    - e. A copy of the plan will be provided to the Dean of the School of Graduate Studies for review.
  3. When the student has earned at least 75 undergraduate credits toward a bachelor's degree and is otherwise eligible, the student will then seek admission to the School of Graduate Studies using the standard application form, making a note to check the box indicating the intent to apply for the accelerated program.
    - a. Standard School of Graduate Studies application procedures will be followed. Where a graduate program also requires a specialized application service the student applying for the accelerated program will not be required to use this service and will only use the ETSU application for admission for graduate study.
    - b. Regular School of Graduate Studies application fees must be paid.
    - c. In general, students applying for the accelerated program will not be required to take standardized admissions tests, however programs may elect to require a test in some cases. This must be reflected in the Plan of Graduate Work.
- G. Acceptance or Denial: Upon review of the submitted materials, the graduate program admissions committee will recommend to the School of Graduate Studies that the Dean make an offer of acceptance or denial to the student. The Dean's letter should state that award of the graduate degree will be contingent on meeting the stated accelerated program requirements. Copies of this letter will be sent to the graduate program coordinator and the undergraduate advisor.

- H. Modifications: Any modifications to the agreed-upon plan of study will be requested through the same mechanism that the student used when outlining the original request; i.e., both the undergraduate advisor and the graduate coordinator will be involved and the changes will be approved by the Dean of the School of Graduate Studies.
- I. Student Classification: Students accepted into the Accelerated Bachelor to Master's Degree program will be classified as undergraduate students during the first year in the program and tuition will be billed at the undergraduate rate for all courses. This is the year when they are taking both undergraduate and graduate (up to 12 credits) courses. For all subsequent terms, students will be classified as graduate students and will be billed at the graduate rate for all courses.
- J. Graduate Tuition Scholarships and Graduate Assistantships: Students in the accelerated program are not eligible for graduate Tuition Scholarships. Once students are classified as graduate students, they may be considered for a Graduate Assistantship (GA) if they are eligible per policy in the GA Handbook.
- K. Additional Requirements:
  1. Students must receive a grade of B or better in the courses to be applied toward both the bachelor and master degrees.
  2. No more than twelve (12) credits of graduate work may be counted towards the requirements of both degrees.
  3. If a student's cumulative undergraduate and graduate GPA falls below the required program minimum, then he/she will need program and graduate school approval to continue in the accelerated program. Program approval of continuation must be written and copied to the student's undergraduate and graduate files.
  4. A student who withdraws or is administratively withdrawn from the accelerated program may not subsequently count courses for both degrees; the student may count eligible courses toward one degree only.
- L. Matriculation limits: Because of the nature of the Accelerated Bachelor to Master's Program, it is fully expected that the student will meet the timeline specified in the Plan of Graduate Work for completion of both degrees. In a rare instance of significant impediment, a revised plan for completion must be submitted and approved by the graduate program coordinator and the Dean of the School of Graduate Studies. Note that graduate degree matriculation limits will apply and matriculation limits start from the date of the first course taken that will apply toward the master's degree. See "Matriculation Limits" in the graduate catalog.
- M. Withdrawal: A student who wishes to withdraw from the accelerated program may do so by notifying the appropriate undergraduate and graduate coordinators in writing, copying the Dean of the School of Graduate Studies. Staff in the School of Graduate Studies will work with the ETSU Office of the Registrar to amend the student's records.
- N. Formalized articulation: Graduate programs that wish to set up formalized articulated programs will be encouraged to create articulation agreements between the participating bachelors and masters programs. Articulation agreements require the cooperation of the undergraduate and graduate programs and faculty, and must be approved by the College Curriculum Committee(s), College Dean(s), Undergraduate Curriculum Committee, Graduate Council, Academic Council, ETSU President, and the Board of Trustees.
- X. Admission Using Graduate Academic Fresh Start

- A. Graduate Academic Fresh Start is a process by which a former ETSU graduate student with poor academic performance can petition to enter/reenter graduate study and avoid having his/her previous low grades adversely affect the GPA calculation for newly taken coursework. A previously-enrolled ETSU master's, doctoral, graduate certificate, or non-degree seeking graduate student who has not been enrolled at ETSU for at least 2 academic years can petition for admission/readmission under the Graduate Academic Fresh Start policy. Graduate Academic Fresh Start can be used for admission into a new graduate program or for readmission into the prior program; the latter could be for the same or for a different concentration. Students who were dismissed for academic misconduct are not eligible for Graduate Academic Fresh Start.
- B. A student wishing to pursue this option should contact the Graduate Coordinator of the program of interest and the appropriate School of Graduate Studies Graduate Program Specialist to discuss the policy and application process. Students applying for admission under Graduate Academic Fresh Start must follow all normal processes for admission to the School of Graduate Studies and file a Petition for Graduate Academic Fresh Start. This petition will include a personal statement from the student that addresses professional and/or personal growth during the time absent from ETSU Graduate Studies as well as information that will inform the program of current potential for academic success. Once the application for admission is complete and if materials meet standards of initial review by the School of Graduate Studies, the application and the Graduate Academic Fresh Start petition will be referred to the program admission committee for recommendation.
- C. Students admitted under the Graduate Academic Fresh Start program will receive an unconditional admission with provision(s). One provision of admission will be to earn a grade of "B" or better in each graduate course for the first 12 credits in the program. Program admission committees can impose additional provisions of admission with approval by the School of Graduate Studies. There will be no consideration of a petition to waive any provision(s) of admission.
- D. When a student is admitted under this policy, the transcript will show all courses taken and grades received; however, previous graduate courses will be excluded from the GPA and earned credits calculations. The transcript also will contain the note "Admitted under Graduate Academic Fresh Start" or "Readmitted under Graduate Academic Fresh Start", as appropriate. Once the academic record is changed, the change cannot be reversed. The student's catalog of record will be the catalog for the year of Graduate Academic Fresh Start admission/readmission. A student can be granted only one Graduate Academic Fresh Start at ETSU.
- E. Up to six (6) previous graduate credits for a person seeking admission into a graduate certificate program or up to nine (9) previous graduate credits for a degree program may be applied to the student's new program of study at the discretion of the program admission committee and will be treated as transfer credits. The student must have earned a "B" or better in these courses. Transfer courses must be identified at the time of application and they will be excluded from GPA calculations. Note that these transferred courses will affect matriculation limits and that these courses cannot be considered for revalidation if they exceed matriculation limits. Thus, a student may need to retake a course if the degree is not completed within the course's matriculation limits. See "Matriculation Limits" in the policy on Degree Requirements or in the graduate catalog.

- F. Students admitted or readmitted under Graduate Academic Fresh Start are not eligible for graduate Tuition Scholarships. They may be considered for graduate assistantships if they have terms of eligibility remaining per policy in the GA Handbook.
  - G. This policy is independent of financial aid regulations. Financial aid requirements at the time of application will apply. Therefore, a Graduate Academic Fresh Start applicant should check with his/her financial aid counselor for guidance.
- XI. **Second Graduate Programs**  
 A student holding an earned master's degree from a regionally accredited U.S. institution may qualify for a second master's degree by completing a minimum of 21 semester credits of ETSU graduate work for thesis programs, or 24 credits of ETSU graduate work for non-thesis programs, approved by the student's advisory committee. All specific program requirements, with the possible exception of electives or duplicative courses, must be met for the second degree. Such requirements include the comprehensive exam or culminating experience, such as thesis, project, strategic experience, etc. A student with a prior master's degree or doctoral degree may also, in warranted circumstances, have a reduced program of study in a graduate certificate program (as long as all required coursework is completed and courses are within matriculation time limits) with the approval of the student's graduate program coordinator, advisory committee (if applicable), and the Dean of the School of Graduate Studies. In all cases, students must take at least 50% of the certificate program coursework or a minimum of six credits of coursework (whichever is greater) at ETSU in order to complete certificate requirements. Please consult the curricula of individual graduate certificates for further information.
- XII. **Dual Degree Program Admission**  
 In warranted circumstances, a student may seek admission simultaneously to (1) two master's programs, or (2) a master's program and a graduate certificate program, (3) a doctoral program and graduate certificate program, or (4) a doctoral program and a master's program. Prior to admission to the second program, approval must be granted by the graduate program coordinator in each program and by the Dean of the School of Graduate Studies. All requirements of both programs and the School of Graduate Studies, including matriculation limits, must be met. With the exception of formal articulated dual degree programs, students will not be permitted to enroll simultaneously in a master's degree and in a doctoral program at ETSU.
- XIII. **Advanced Admission for Undergraduates**  
 A senior, lacking no more than nine semester credits for graduation at ETSU, may register for graduate coursework. The total course load for a senior enrolled in graduate coursework may not exceed 12 credits. Requirements for the undergraduate degree must be completed during the semester in which the student is allowed to register for part-time graduate work. Petition forms, available in the School of Graduate Studies, must be signed by the undergraduate department chair and the Dean of the School of Graduate Studies.
- XIV. **Admission of Faculty Members**  
 Tenure track faculty, or administrative staff holding faculty rank, are ineligible to receive a graduate degree from ETSU. Exceptions to this policy may be granted by the Dean of the School of Graduate Studies upon recommendation by the appropriate department chair and college dean when graduate study at ETSU will be a special advantage to the university and when graduate study elsewhere is not feasible. Members of the ETSU faculty may be admitted to the School of Graduate Studies as non-degree students through established procedures. A faculty member will not retain graduate faculty status while matriculating in a graduate program.
- XV. **Criminal Background Investigation**

- A. In Tennessee and nationally, due to legislative and accreditation requirements, many schools, childcare facilities, and health care facilities require that students in health-related professions be required to submit to a Criminal Background Investigation (CBI) before participating in any educational/patient care activities at their sites. These educational/clinical activities are an essential requirement for graduation or subsequent licensure and the inability to complete this requirement may result in a student's failure to meet the admission or graduation requirements of certain programs in the ETSU Colleges of Arts and Sciences, Clinical and Rehabilitative Health Sciences, Education, Nursing, and Public Health. Students will be required to do the following:
  - 1. Truthfully answer all questions, including those pertaining to felony convictions, on the student undergraduate or graduate application. Students who do not answer the questions truthfully and completely shall not be eligible for acceptance or enrollment. Discovery that the section dealing with felony convictions was not completely or truthfully answered by an enrolled student may result in dismissal.
  - 2. Complete a CBI prior to placement at an affiliated institution that requires a CBI, as determined by the academic department.
  - 3. Notify the Program Chair of any criminal charges within five (5) working days of their occurrence during enrollment in the program. Failure to notify the Chair of such events may result in immediate dismissal.
  - 4. Check college or departmental guidelines for procedures for obtaining the CBI and follow up as needed.

XVI. Requirements for Entering Teacher Training Programs

- A. All students wishing to enter approved teacher training programs shall be required to:
  - 1. Agree to the release of all investigative records to the administrator of the selected teacher training program;
  - 2. Supply a fingerprint sample and submit to a criminal history records check to be conducted by the Tennessee Bureau of Investigation (TBI); and
  - 3. Sign an authorization and release form provided by the department or board, authorizing a qualified Tennessee licensed private investigation company by and on behalf of the board to complete a criminal history records check.
- B. As used in subdivision A.1.C, "qualified Tennessee licensed private investigation company" means a company that is licensed by the department of commerce and insurance, insured with at least three million dollars (\$3,000,000) worth of errors and omissions insurance and carries sufficient indemnification coverage.
- C. Any reasonable costs incurred by the TBI in conducting an investigation of an applicant shall be paid by the applicant. The applicant shall be provided a copy of all criminal history records check documentation. In lieu of additional criminal history records checks for subsequent applications to the selected teacher training program, the applicant may submit copies of the applicant's initial criminal history records check documentation and shall not be required to pay any additional costs.
- D. Any criminal history records check performed pursuant to this section shall not be submitted and used for the criminal history records check required under ' 49-5-4 13 for employment by an Local Education Agency (LEA) or child care program as defined in ' 49-1-1 102. [Acts 2007, Ch. 454,' 1.]

XVII. Readmission – Reapplication

If a student has not been active in a graduate program for more than a year, a readmission form must be filed and approved by the Dean of the School of Graduate Studies prior to re-enrollment.

XVIII. Misrepresentation of Academic Credentials

- A. It is a Class A misdemeanor to misrepresent academic credentials. A person commits the offense of misrepresentation of academic credentials who, knowing that the statement is false and with the intent to secure employment at or admission to an institution of higher education in Tennessee, represents, orally or in writing that such person:
1. Has successfully completed the required coursework for and has been awarded one (1) or more degrees or diplomas from an accredited institution of higher education;
  2. Has successfully completed the required coursework for and has been awarded one (1) or more degrees for diplomas from a particular institution of higher education; or
  3. Has successfully completed the required coursework for and has been awarded one (1) or more degrees or diplomas in a particular field or specialty from an accredited institution of higher education.

XIX. Immunization Requirements

- A. Failure to submit the appropriate documentation could prevent a student from completing the class registration process or could limit the number of credits in which a student is able to enroll. The State of Tennessee requires all students to meet the following immunization requirements:
1. All enrolling students will be required to provide health information that, at a minimum, establishes the student's compliance with rules promulgated by the Tennessee Department of Health regarding requirements for immunization against certain diseases prior to attendance and compliance with the latest standards for immunization for meningococcal disease as set forth by the recommended immunization schedule issued by the Center for Disease Control Advisory Committee on Immunization practices.
  2. Prior to full-time enrollment, the student must provide documentation of receipt of required immunizations or provide positive quantitative laboratory serology reports.
  3. New, incoming students who live in on-campus student housing must comply with the latest standards for immunization for meningococcal disease as set forth by the recommended immunization schedule issued by the Center for Disease Control Advisory Committee on Immunization Practices.
  4. Admission to some programs may have additional requirements.
- B. Exemptions:
1. Information regarding immunizations will be posted on the Student Health Services website.

XX. Admission of International Students

- A. International students must meet the same program-specific requirements for admission to the graduate program that apply to citizens of the United States. An international student must have an equivalent four-year bachelor's degree with at least a "B" average on various grading scales. European students with three-year Bologna bachelor's degrees and Indian students with three-year bachelor's degrees from Indian universities ranked A (3.01- 4.0) through the National Assessment and Accreditation

Council (NAAC) accreditation process will be considered to have equivalent four-year degrees. The B average requirement on various grading scales would indicate:

1. 3.0 on a 4.0 scale;
  2. 16 on a 20-point scale;
  3. 80.0 from Chinese institutions;
  4. 1st Class, 2nd Class Honors, or 1st and upper 2nd Division from Indian institutions;
  5. Upper 2nd Class Honors on various British systems.
- B. Other grading systems will be evaluated upon receipt of official transcripts. Please note that the ETSU School of Graduate Studies provides this general GPA converter as a free service to convert country-specific grades to a 4.0 scale. Applicants whose transcripts come from a country with multiple grading systems may wish to pursue a more specific GPA converter (such as offered by World Education Services (WES)).
- C. An international student may apply for admission any semester. International student application materials should be received by: April 30 - fall semester; September 30 - spring semester; February 1 - summer session. The School of Graduate Studies must be notified of any change in the entering date after admission has been granted. Individual programs may have early admission deadlines and additional requirements. For this information, students should contact the departments whose program they wish to enter.
- D. The following must be submitted before an applicant will be considered for admission:
1. Completed application form.
  2. Nonrefundable application fee.
  3. Official or attested university records (including proof of all degrees received), with certified translations if the records are not in English. Records must be attested by the awarding institution; notarized copies and third-party attestations are not acceptable. Individual year marksheets from Indian institutions are required; summary marksheets will not suffice.
  4. A personal essay.
  5. Certification of English proficiency. Graduate students whose native language is not English must submit a minimum score of 79 (Internet-based), 550 (paper-based) on the Test of English as a Foreign Language (TOEFL), taken within the past two years; a minimum score of 6.5 on the International English Language Testing System (IELTS); a minimum score of 53 on the PTE Academic; successful completion of the English Language Services Program at Level 112; or have earned a baccalaureate degree from an accredited U.S. institution. (All international students who receive a tuition scholarship or graduate assistantship must sit for an oral English proficiency interview immediately upon their arrival at ETSU.)
  6. Official scores on the GRE or GMAT, if required.
  7. Letters of recommendation or rating forms, if required.
  8. Evidence of acceptable insurance coverage.
- E. Qualified international students may be considered for graduate non-degree admission to ETSU, (See Visiting Students Admission Category.)
- F. Applicants denied admission may appeal this decision in writing to the Dean of the School of Graduate Studies. In all cases the final decision to admit or reject an applicant rests with the university through the Dean of the School of Graduate Studies.



- G. The ETSU International Programs and Services Office will contact admitted students with guidance on issuance of I-20, health insurance requirements, and other requirements for enrollment at ETSU.
  - H. International students may enroll in fully online programs of study if present in the United States under an immigration status, other than student, that permits study. Alternatively, admitted students may enroll full- or part-time in online classes if accessing them from outside the United States and having the intent to remain outside the U.S.
  - I. Admission must be granted and financial documentation and degree confirmation must be received prior to issuance of an I-20 or DS-2019 form needed to obtain a visa.
  - J. The university will not enroll any student who has not been approved initially or for transfer by the United States Citizenship and Immigration Services (USCIS) to attend East Tennessee State University. International students accepted for graduate study at ETSU will receive a letter of acceptance from the university. This letter and the Student and Exchange Visitor Information System (SEVIS) I-20 form furnished by the university must be presented to the consular officer of the United States to whom the applicant applies for a student visa. ETSU will not accept visas issued for admission to other colleges or universities. International students admitted to graduate study are encouraged to arrive on campus two weeks prior to the beginning of classes and should contact the Office of International Programs as soon as they arrive.
  - K. It is the responsibility of a nonimmigrant applicant to comply with current INS regulations in regard to collegiate enrollment. New Department of Homeland Security regulations may prohibit the enrollment of an individual in B-1 or B-2 status.
  - L. The ETSU Office of International Programs administers the university's international student (F status) and exchange visitor (J status) programs. Other nonimmigrant applicants may consult with this office.
- XXI. Medical Insurance for International Students
- A. Students enrolled pursuant to an F visa must have and maintain medical and hospitalization insurance as a condition of initial and continued enrollment at the institution.
  - B. In addition, the following procedures have been established:
    1. In the letter of admission, in the I-20, and in the IAP-66, all international, nonimmigrant students will be informed of this requirement, of the extent of coverage required, which may vary slightly from year to year, and of the approximate cost to obtain the coverage.
    2. All international, nonimmigrant students will be required to enroll in the Student Comprehensive Health Insurance Plan. The only exception to this requirement will be international, nonimmigrant students who have a scholarship that includes the purchase of an insurance policy on their behalf. This policy must meet or exceed the level of coverage provided to participants in the Student Comprehensive Health Insurance Plan.
    3. Students will be covered for twelve months. Exception to this rule will be made in the case of international students who abandon their F status, by leaving the U.S., by changing to another nonimmigrant status, or by adjusting status to that of an immigrant.
    4. Students under Practical Training will not be required to purchase the coverage. Students under Practical Training, however, may purchase the coverage during the period of training.

5. Once the insurance premium is paid, there will be no refunds.

**Policy Title:** Graduate Student Retention Standards

**Policy Type:** Academic                      **New/revised:** New

**Old Policy #:** [old TBR policy, TBR guideline, ETSU policy number(s) here for reference on draft] from the graduate catalog; no numbering system exists

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to provide requirements for progressing in graduate certificate or degree programs.

### Policy

I. Graduate Course Load

The full-time course load for graduate students is nine (9) graduate credits. Graduate course loads in excess of 15 credits require approval of the departmental chair and Dean of the School of Graduate Studies.

II. Academic Probation

To remain in good standing, a graduate student (degree or non-degree), must maintain an overall grade point average of 3.0 (B) or better on all graduate work attempted. In order to graduate, students must have a minimum 3.0 grade point average overall, and on the program of study. When the cumulative grade point average falls below 3.0, the graduate student will be placed on academic probation. If the student does not achieve a 3.0 cumulative grade point average at the conclusion of one probationary semester, the Dean of the School of Graduate Studies and appropriate college/departmental/program officials will determine whether the student should be dismissed from graduate study at East Tennessee State University or continued on probation. No student will be allowed more than two probationary semesters, whether consecutive or cumulative. At the end of a second probationary semester a student whose cumulative grade point average is still below 3.0 will be dismissed from graduate study. Students whose performance results in a GPA so far below 3.0 as to make it mathematically impossible to attain an overall GPA of 3.0 after one semester may be subject to dismissal without a probationary term. A student will be removed from probationary status upon attaining a cumulative 3.0 grade point average. When an "I" grade converts to an "F" after one calendar year, the GPA is adjusted retroactively; consequently, a student may be subject to dismissal without a probationary term.

III. Dismissal

Students may be dismissed from the School of Graduate Studies for such reasons as academic misconduct, failure to meet conditions of admission, failure to meet a requirement of the program, or for exceeding the allowed number of probationary semesters.

IV. Reinstatement

A. Students who have been dismissed from the School of Graduate Studies for academic reasons may address a written request for reinstatement to the chair of their department or major. The request should include reasons why the reinstatement should be considered.

- B. The department will review the request for reinstatement and make recommendations to the Dean of the School of Graduate Studies. If the request is denied at the departmental level, the student may then direct a written appeal to the Dean of the Graduate School, and a final decision will be made in accordance with policies established by the Graduate Council.
- V. Adding a Course
 

A course(s) may be added through the late registration/late add period without special permission, unless the course has reached the established maximum enrollment. To add any class that has reached the enrollment limit requires permission of the instructor and department chair. After the late registration/late add period, special permission must be obtained from the instructor, the department chair, the Dean of the School of Graduate Studies, and the registrar and may be granted only in extenuating circumstances.
- VI. Dropping a Course
  - A. A course(s) may be dropped during the first eight calendar weeks of a regular semester. Courses dropped during the first two weeks will not appear on the student's permanent record. Students who drop a course after the second full week of classes through the eighth calendar week will receive a grade of "W". (During the summer session or when courses do not conform with established term dates, this schedule is adjusted appropriately to fit the condensed time frames. Consult the Academic Calendar for exact dates.)
  - B. After the eighth week a student may not drop a course, except where verifiable extenuating circumstances can be documented. A petition for a late drop may be presented by the student for consideration by the Dean of the School of Graduate Studies. Verifiable extenuating circumstances may include illness, accidental injury, or other appropriate reasons. A course may not be dropped if there is an unresolved charge of academic misconduct.
  - C. If a late drop is approved by the Dean of the School of Graduate Studies, the student will receive a grade of "W" (Withdrawn) or "WF" (Withdrawn-Failing), as assigned by the instructor of the course. All approved petitions for late drops must be received in the Office of the Registrar no later than 4:30 p.m. two days before the end of classes for all academic terms. Under no circumstances will a student be permitted to drop a course after that time.
- VII. Auditing Courses
  - A. Students are permitted to enroll in regular university courses as auditors. Registration fees are the same for audit as for credit. Regular attendance is required. Audit enrollment will not be considered part of the minimum credits required for full-time enrollment. Audit enrollment will be counted in determining overloads.
  - B. After the published "Last Day to Add a Course" students may not change their enrollment status in a course from credit to audit or from audit or credit. Instructors may administratively drop auditors for unsatisfactory class attendance.
- VIII. Change of Field of Study
 

Students seeking to change their field of graduate study from one program to another must formally apply to the new graduate program. The student is responsible for ensuring that all admissions materials required by the new program are on file in the School of Graduate Studies prior to any program deadlines. Students must resign from the program in which they are currently enrolled prior to accepting admission into the new program. Students seeking to change concentrations within a program may do so by completing a Change of Program of Study form, which can be obtained from the School of Graduate Studies.

IX. Class Attendance

It is expected that students will attend class regularly and provide the faculty with a reason for any absence. Failure to attend class regularly can affect students' grades and financial aid. East Tennessee State University does not specify a fixed number of class absences as university-wide policy, but each department within the university has the right to set a maximum number of absences (including absences due to university activities and illnesses) permitted during an academic term. Departmental class absence policy is subject to approval by the dean of the school/college. At the beginning of the course each faculty member must provide a written statement governing attendance policy (including laboratory/clinical sessions where applicable) for the course so that all students may be fully informed of their attendance responsibilities, including penalties that may be imposed for failing to meet these responsibilities. If a student is not in attendance during the class meeting in which the class attendance policy is discussed it is the student's responsibility to ascertain the policy in that class.

X. Classification of Courses by Level

Enrollment in the 5000, 6000, and 7000 series is limited to graduate students. Undergraduate students may not enroll in courses numbered higher than one year above their current classification unless the undergraduate student meets an exception. (Please see Advanced Admission for Undergraduates in the undergraduate catalog for more information.) At least 70 percent of all courses taken in a master's program must be in the 5000 series; at least one-half of all courses taken on the doctoral level must be in the 6000 and 7000 series.

XI. Enrollment

Every student is required to enroll at the time and in the manner prescribed by the registrar. All charges for the ensuing semester must be paid, or otherwise provided for, before registration is completed.

XII. Combined Graduate and Undergraduate Enrollment (5xx7 and 5956 Courses)

- A. In some curricula, master's level students may enroll in 5xx7 and 5956 courses which are co-listed with 4xx7 and 4956 undergraduate courses. A student who has taken the 4xx7 or 4956 course for undergraduate credit cannot repeat the course for graduate credit. Graduate students enrolled in 5xx7 and 5956 courses shall be required to do specified work over and above that required of undergraduate students enrolled in companion 4xx7 and 4956 courses.
- B. Specialist degree students may not enroll for 5xx7 and 5956 courses (except for 5957 "Topic in" courses); they must choose courses from the regular graduate-only series of 5000 and 6000 level courses, with at least one-half of all courses being at the 6000 level.
- C. Doctoral students may not enroll for 5xx7 and 5956 courses (except for 5957 "Topic in" courses); they must choose from the regular graduate-only series of 5000, 6000, and 7000 courses, with at least one-half of all courses being at the 6000 and 7000 levels.
  1. Limitation on 5xx7 and 5956 Courses: No more than 30 percent of all courses taken in any program may come from the 5xx7 / 5956 series. Some doctoral programs disallow 5xx7 and 5956 courses.

XIII. Independent Studies, Problems, and Workshops

- A. Students who wish to pursue individual studies, problems, or workshops of special interest may enroll for these courses provided that the topic for study has been defined and approved by the professor and the student's advisor. Under no circumstances should registration for independent studies, problems, or workshop courses be used to attend a course with a different number or title at any level of course classification.
- B. Limitations on Independent Studies, Problems, and Workshops - No more than 30 percent of the semester credits for a graduate degree program may be taken in

independent studies, problems, or workshops or in any combination of these types of courses.

XIV. Incomplete Grades

A grade of "I" (incomplete) indicates that a student was passing the course at the end of the semester, but due to circumstances beyond the student's control, was unable to complete the course requirement. It also indicates that the student has received consent from the instructor to complete the work for which an "I" is assigned. The "I" grade cannot be used to allow a student to do additional work to raise a deficient grade or to repeat a course. An "I" grade must be removed no later than one calendar year from the time the grade is awarded. Time extension requests for removal of "I" grades must be submitted to and approved by the Dean of the School of Graduate Studies before the allotted time expires. An "I" grade not removed under the guidelines noted above will be converted to an "F." When an "I" grade converts to an "F" after one calendar year, the GPA is adjusted retroactively; consequently, a student may be subject to dismissal without a probationary term. A student cannot withdraw from or drop a course after a grade of "I" has been assigned or after one year has elapsed. To remove an "I" grade, the student must complete the work independently and must not register for the course a second time or attend the same course at a later time in order to complete the course requirements.

XV. Repeating a Course

If a student chooses to repeat a course, all grades earned are computed in the grade point average. The grade earned on the repeat does not replace the original.

XVI. "S", "SP", and "U" Grades

The letter grades of "S" (Satisfactory Completion), "SP" (Satisfactory Progress), and "U" (Unsatisfactory) are given for Readings and Research, Capstone Projects, Thesis, and Dissertation. A grade of "S" carries graduate credit and indicates satisfactory completion of the course. Each program must specify the number of credits required for Thesis/Dissertation. Degree completion requires an "S" on the most recent credits associated with Thesis/Dissertation or Readings and Research. "SP" indicates progress toward project or research completion, but carries no credit. This grade does not affect the student's GPA. Students who receive an "SP" must, in subsequent semesters (including summer), enroll in additional credits of Thesis/Dissertations or Readings and Research until the requirements are completed. The "U" grade carries no credit and indicates unsatisfactory progress toward research or project completion. Students who receive a "U" must enroll for the course the following semester, including summer. The "U" is equivalent to an "F". The first "U" does not affect the GPA; however, all subsequent "U" grades will convert to an "F" and will be figured into the GPA.

XVII. Continuous Enrollment

- A. Students who wish to use support services of the university (computer, library, laboratories, studios, etc.) and/or require faculty guidance for studies, research, or preparation of a prospectus and are not enrolled for coursework, thesis, or dissertation must be registered for the appropriate non-degree credit course (5990, 6990, 7990) in Readings and Research each term university support or facilities are being used, including summer term. Students who have previously registered for thesis, dissertation, and/or readings and research must be continuously registered for a minimum of one graduate credit hour every subsequent semester, including summer, until completion of the degree.
- B. Readings and Research cannot count toward degree requirements.

- C. Candidates for a master’s degree with a thesis option must continue to register each semester (minimum of one credit) from the time of the initial registration for 5960- Thesis until the thesis is accepted by the School of Graduate Studies. (Individual programs may require minimum enrollments of up to 3 graduate credits.) No less than three credits nor more than six credits of thesis may be applied toward the master’s degree.
- D. Candidates for doctoral degrees must continue to register each semester from the time of the initial registration for 7960-Dissertation until the dissertation is accepted by the School of Graduate Studies. (Individual programs may require minimum enrollments of up to 3 graduate credits.) No less than 12 credits nor more than 21 credits of dissertation credit may be applied toward the doctoral degree.
- E. A student must be enrolled for a minimum of one graduate credit hour during the term of graduation, with one exception: a student who does not meet the deadlines for completing degree requirements, including thesis/dissertation defense and orals, but does complete all requirements, including approval of the thesis/dissertation by the Dean of the School of Graduate Studies, before the first day of classes for the following semester, will not be required to register for the term in which the degree is awarded.

XVIII. Experiential Learning Credit

- A. No graduate credit can be awarded for experiential learning that occurs prior to admission into a graduate program and which has not been under the supervision of the institution.
- B. Extension and Correspondence: All work completed at any approved ETSU site is residential and not extension credit. No correspondence work can be applied to any graduate program at East Tennessee State University.

XIX. Time Limits (Matriculation Limits)

Graduate Certificate	4-6 years	Specialist Degree	5 years
Master’s Degree	6 years	Doctoral Degree	7 years*
		<i>*(5 years for persons previously awarded an Ed.S.)</i>	

*\*Time for completion of the degree is counted from the date of registration for the first course applied toward the degree requirements, including transfer work.*

XX. Withdrawal from the University

Students withdrawing from the university-discontinuing matriculation in the university- during the first eight weeks of classes will receive a grade of “W” in all courses. Withdrawals from the university after the eighth week will be recorded with “W” or “WF” at the discretion of the instructor. (During the summer semester, or other shortened terms, this schedule is adjusted appropriately to fit the condensed time frame.) All requests for withdrawal must be received in the Office of the Registrar no later than 4:30 p.m. two days before the last day of classes of any academic term. Under no circumstances will a student be permitted to withdraw from the university after that time.

A student who does not withdraw by the official procedure will receive an “F” for each course. (Consult the Schedule of Classes for more details.)

XXI. Grade Reports and Appeals

Grade reports are available through *GoldLink* to all students who complete registration each term. Academic departments are required to retain grade documentation for a period of one year. Specific student concerns regarding academic records, other than the Grade Appeal process described in the graduate catalog must be addressed within one academic year from the date of posting of grades for the term in question.



**Policy Title:** Graduate Degree and Certificate Requirements

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** from the graduate catalog; no numbering system exists

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here) not sure what to check here?

**Purpose:** The purpose of this policy is to provide requirements for earning a graduate certificate or degree from ETSU.

**Policy:**

- I. Specific course and other requirements for earning a graduate certificate, master's degree, education specialist degree, or doctoral degree from ETSU can be found by referencing specific requirements in the graduate student's catalog of record.
  - A. Master's degree programs will be offered through two (2) options (not all programs offer both options):
    1. Thesis Option-minimum of 30 credits of graduate coursework (including at least three (3) credits for the thesis).
    2. Non-thesis Option-minimum of 33 credits of graduate coursework including a research requirement to be satisfied by one (1) or more courses which introduce the student to the tools and methods of research and scholarly activities and a writing requirement on a topic in the student's major field which conforms to the style and standards of the discipline.
  - B. All programs of study, research requirements, and writing requirements must be approved by the Graduate Council.
- II. Culminating Experience
  - A. All degree programs should involve a culminating experience that includes an integrating activity and a comprehensive evaluation of the student's performance.
    1. The integrating activity is intended to help students synthesize knowledge and skills acquired throughout the degree curriculum. The form of this activity may vary according to the particular discipline and may or may not involve academic credit. Examples include, but are not limited to, a thesis or dissertation, analytical essay, artistic presentation, practicum, capstone project, professional portfolio, and team consulting project. Graduate programs shall identify in the graduate catalog the integrating activity provided and required in each degree.
    2. A comprehensive evaluation of the student's performance should include a written or oral examination or evaluation to determine whether the student has achieved mastery of the student's discipline. Assessment of a student's performance shall be made by a committee established for that purpose consisting of a minimum of three (3) ETSU graduate faculty members. Experts from outside the university are also permitted to serve on such committees, with approval from the Dean of the School of Graduate Studies. The

committee's written assessment of the student's performance shall become a part of the student's permanent academic records.

- B. The student's performance in the final examination or evaluation may be classified into one (1) of three (3) categories. They may (1) pass; (2) fail with no opportunity for re-examination or re-evaluation; or (3) fail with an opportunity for further study and re-examination by the committee. The nature of such further study and a schedule for reexamining or re-evaluating the student's performance will be established by the committee. A second failure by any candidate will result in the student's dismissal from the graduate program.
- C. The format of the final examination and standards for the three (3) categories of performance must be approved by the Graduate Council and should be included in the graduate catalog along with other degree requirements.

### III. Advisory Committee

- A. During the period before candidacy, graduate students are advised by the graduate program coordinator or advisor as assigned at the time of admission.
  - 1. Students in a graduate certificate program usually will not have an advisory committee. Please check information on specific certificate program in the graduate catalog.
  - 2. For master's degree students, students should form the graduate advisory committee no later than the second semester in which coursework is undertaken. For students in a thesis option, the advisory committee also serves as the thesis committee and is responsible for guiding the student through the thesis research and writing, as well as accepting or rejecting the manuscript. The committee will assist the candidate in planning the program of study and research. It must be composed of at least three (3) faculty members who hold ETSU graduate faculty status; the committee chair must hold member or senior member status. In warranted circumstances, a fourth committee member who does not have graduate faculty status may be added if the Dean of the School of Graduate Studies approves the individual for a temporary graduate faculty appointment.

The advisory committee is responsible for administering the comprehensive examination to the master's candidate and certifying that the candidate has completed all requirements in the program for the master's degree.
  - 3. For doctoral degree students, students should form the graduate advisory committee no later than the second semester in which coursework is undertaken. For students in a program requiring a dissertation, the advisory committee also serves as the dissertation committee and is responsible for guiding the student through the dissertation research and writing, as well as accepting or rejecting the manuscript. The committee will assist the candidate in planning the program of study and research. It must be composed of at least three (3) faculty members who hold ETSU graduate faculty status; the committee chair must hold member or senior member status. In warranted circumstances, a fourth committee member who does not have graduate faculty status may be added if the Dean of the School of Graduate Studies approves the individual for a temporary graduate faculty appointment.

The advisory committee is responsible for certifying that the candidate has completed all requirements in the program for the doctoral degree.

- B. If changes in the composition of the advisory committee are needed, an approval form, available at the School of Graduate Studies office or on the website, must be completed. It requires signatures of the retiring member(s), replacement member(s), the committee chair, the graduate program coordinator, and the Dean of the School of Graduate Studies.
- IV. Admission to Candidacy
- A. Admission to the School of Graduate Studies and the approval to pursue a degree program, does not in any way imply that a student is admitted to candidacy for the master's degree. To be admitted to candidacy the student must:
    1. Remove all provisions required at the time of admission by the School of Graduate Studies.
    2. Complete at least one (1) semester (9-12 credits) of study following admission to the School of Graduate Studies.
    3. Meet the specific requirements of the major program. This is especially important for classification of doctoral students as early stage or late stage.
    4. Have an overall GPA of 3.0 and be in good academic standing.
    5. Submit the completed forms for admission to candidacy and an approved program of study to the Dean of the School of Graduate Studies
- V. Approval of the Program of Study
- A. Ideally, the program of study is filed well in advance of the published deadline. When the application for candidacy is approved, the student may be considered a candidate for the graduate degree. When the program of study is filed with the School of Graduate Studies after the published deadline, graduation will be delayed until all program requirements have been verified.
  - B. Changes in the planned program of study for candidacy must be approved by the Dean of the School of Graduate Studies. Forms for program changes are available in the School of Graduate Studies office or through its web site.
- VI. Residency Requirements
- The residency requirement is primarily to provide doctoral students with significant time for sustained participation with peers and faculty members in scholarly and creative activities. Each doctoral degree program specifies how these residency requirements can be fulfilled. Non-doctoral graduate degree students may be required to complete one or more semesters of full-time study as determined by the degree program. Students should consult program requirements for details on specific residency requirements in their graduate catalog of record.
- VII. Thesis or Dissertation Process
- A. All students in a program requiring a thesis or dissertation will register for the appropriate thesis or dissertation course, undertake a research project, and write a thesis or dissertation. The topic will be selected by the candidate with the advice and approval of the thesis or dissertation director and the student's advisory committee. The student must prepare a prospectus describing the research problem, its full limits, and the research methods. A copy of the prospectus will be given to each member of the student's committee. Changes in the prospectus may be made at the committee's discretion, with the consent of the student. After the thesis or dissertation topic has been researched and written, and approved by the advisory committee members, the oral defense must be scheduled with the School of Graduate Studies. Copies of the thesis or dissertation should be distributed to committee members at least one (1) week prior to the oral defense. Following successful completion of the defense, the thesis or dissertation must be prepared in final form, reviewed by the chair of the advisory

committee, and submitted to the Dean of the School of Graduate Studies for review and approval through the electronic thesis/dissertation website. The chair of the advisory committee will also submit an originality report (e.g. Turnitin) to the Thesis/Dissertation Coordinator at the School of Graduate Studies.

- B. Students must submit theses in the format prescribed at the time of submission. The School of Graduate Studies publishes a Guide to the Preparation of Theses and Dissertations, available on their website. All students submitting theses and dissertations must pay an archiving microfilming fee. More detailed instructions on the electronic submission and review process are available from on the School of Graduate Studies website.
- C. Institutional Review Board (IRB) - All research involving human subjects must be approved by the East Tennessee State University Institutional Review Board prior to initiation of the research. IRB approval is necessary to protect the rights of human subjects involved in physical, psychological, or social research. Following approval of the proposed research by the review board, the subject involved must be informed of the study and consent to participate. The application forms for research involving human subjects and review of such research projects are available on the Office of Research and Sponsored Programs website.

VIII. Graduate Faculty Representation at Thesis or Dissertation Defense

- A. The defense of the thesis or dissertation is a formal gathering at which the degree candidate presents and defends the thesis or dissertation to members of the university community. The defense is a capstone event in the development of graduate students as scholars, professionals, or future teachers and must entail open and fair exchange of scholarly views. A member of the graduate faculty from outside the candidate's committee and department must be present at the defense to monitor the process.
- B. The procedure to be followed in scheduling an oral defense and the format for the graduate faculty representative's narrative report are available in the School of Graduate Studies office and the form is on the School of Graduate Studies website. The defense must be scheduled according to dates specified in the Academic Calendar published in the graduate catalog of records, on the Registrar's website, and on the School of Graduate Studies website.

IX. Graduation

- A. Credits Earned Above Requirements for a Degree
  - 1. When students earn credits in addition to those required in the planned program of study, a request may be made to the Dean of the School of Graduate Studies to have the extra coursework defined on the transcript as post-degree credit. The request must be made prior to awarding of the degree and cannot be so defined once the degree is awarded. The School of Graduate Studies will not interpret or alter the transcript once the degree is awarded.
- B. Required GPA
  - 1. In order to graduate, students must have a minimum 3.0 grade point average overall and on the program of study for all degrees.
- C. Intent to Graduate
  - 1. Students must file an Intent to Graduate Form with the School of Graduate Studies no later than the end of the second week of the semester in which the student expects to complete the requirements for a graduate degree. If the student does not graduate in that term, a new Intent Form must be

completed and submitted prior to the published deadline for the next term (see Academic Calendar.)

D. Matriculation (Time) Limits

1. The time limit for the use of credit toward a certificate is four (4) to six (6) years from the date of enrollment in the earliest course applied toward the certificate, including transferred courses. (Consult graduate catalog of record for more specific information)
2. The time limit for the master's degree is six (6) years from the date of enrollment in the earliest course applied toward the degree, including transferred courses.
3. For the education specialist degree, the time limit is five (5) years from the date of enrollment in the earliest course applied toward the degree, including transferred courses.
4. The time limit for completion of the Ed.D. Educational Leadership program by a student who holds the Ed.S. degree or equivalent is five (5) years from the date of enrollment in the earliest course applied toward the degree, including transferred courses.
5. The time limit for completion of a doctoral program by students who begin a program after a bachelor's or master's degree is seven (7) years from the date of enrollment in the earliest course applied toward the degree, including transferred courses.

E. Revalidation of ETSU Coursework that Exceeds Matriculation Limits-It is the graduate program's responsibility to recommend to the School of Graduate Studies one of the following actions for revalidating course content in each instance that exceeds the matriculation limits. The department may:

1. Examine the student (orally or in writing) and report the results to the School of Graduate Studies.
2. Design an independent study if no course currently exists by which the student may update course content.
3. Have the student repeat the outdated course.
4. Have the student complete additional coursework.
  - a. This procedure may not be used to revalidate coursework for transfer purposes when the course already exceeds the matriculation limit at the time of application. All Requests for Extension of Time and Revalidation plans must be approved by the Dean of the School of Graduate Studies.

X. Graduation Instructions

The ETSU Registrar and School of Graduate Studies publishes graduation information for each term on their websites and provides all deadlines and instructions for meeting graduation requirements.

**Policy Title:** General Education

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:01:00:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy describes East Tennessee State University's undergraduate general education requirements.

## **Policy**

- I. General Education Requirements
  - A. ETSU's general education requirements are as follows:
    1. Communication (9 credits, consisting of 6 credits of written composition and 3 credits of oral communication)
    2. Humanities and Fine Arts (9 credits, consisting of 3 credits of literature, 3 credits of fine arts, and 3 credits of humanities electives)
    3. Social and Behavioral Sciences (6 credits)
    4. History (6 credits)
    5. Natural Sciences (8 credits)
    6. Mathematics (3-4 credits)
  - B. ETSU's undergraduate catalog publishes a list of courses satisfying these requirements.
  - C. Students who have completed an associate degree designed for transfer at a regionally accredited college or university have satisfied ETSU's general education requirements.
  - D. ETSU's general education requirements do not apply to students who have completed a baccalaureate degree at ETSU or another regionally accredited college or university and are pursuing a second bachelor's degree.
- II. Transfer Credits and General Education
  - A. Transfer students from Tennessee Board of Regents community colleges without associate degrees who completed blocks of general education requirements at those schools have satisfied the corresponding blocks in ETSU's general education core.
  - B. ETSU will conduct a course-by-course evaluation and apply transfer courses toward its general education requirements as appropriate for transfer students from TBR community colleges who did not complete general education blocks and transfer students from other institutions.
  - C. When ETSU requires students to complete a particular general education course with a minimum grade (e.g., C), this requirement also applies to that course in transfer.
  - D. Some majors at ETSU require students to complete courses that also satisfy general education requirements. Transfer students who took other courses at previous institutions to meet those general education requirements must still take the courses required for the major at ETSU.

**Policy Title:** Learning Support

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** Guideline A-100

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy describes how ETSU determines undergraduate students' need for learning support and the paths by which students complete learning support requirements.

### Policy

- I. Initial Assessment of Need for Learning Support
  - A. ETSU evaluates all admitted undergraduate students' valid ACT or SAT test scores, other assessment scores, and college transfer credit to determine their need for learning support.
  - B. To be considered valid, ACT and SAT scores and other assessment scores must be no more than five years old from the date of admission.
  - C. ETSU defines ACT or equivalent SAT scores that require students to participate in learning support.
  - D. Assessment of transfer students' need for learning support
    1. Transfer students entering without initial assessment scores or transferable credit for a college-level English course equivalent to ENGL 1010 or higher will be placed in learning support for writing, with the option of challenge testing.
    2. Transfer students entering without initial assessment scores or transferable credit for a 3-credit, college-level course will be placed in learning support for reading, with the option of challenge testing.
    3. Transfer students entering without initial assessment scores or transferable credit for a 3-credit, college-level mathematics course will be placed in learning support for mathematics, with the option of challenge testing.
  - E. If a student's high school transcript or other academic documentation indicates college readiness, ETSU may use holistic assessment to determine learning support requirements.
  - F. If a student wishes to take courses for personal or professional development, ETSU will determine the need for learning support assessment on a case-by-case basis.
- II. Learning Support Placement
  - A. Students required to complete learning support in mathematics must enroll in a learning support-enhanced section of a designated general education math course.
  - B. Students required to complete learning support in writing must enroll in a learning support-enhanced section of a designated general education composition course.
  - C. Students required to complete learning support in reading must enroll in a learning support-enhanced section of a designated general education course.
  - D. Students may challenge a learning support placement by taking an approved, nationally normed standardized assessment identified by the university. Students may take the assessment challenging a learning support placement only once.

- III. Self-Referral into Learning Support-Enhanced Courses
  - A. Students not required to participate in learning support who wish, for their own benefit, to enroll in a learning support-enhanced section of a course will be accommodated based on course capacity and availability.
  - B. Students required to participate in learning support will have priority for enrollment in learning support-enhanced course sections.
- IV. Dropping Learning Support-Enhanced Courses
  - A. To drop a learning support-enhanced course section, a student must receive permission from the University Advisement Center.
- V. Completing Learning Support Requirements
  - A. Students must complete learning support requirements in the first two semesters of enrollment at ETSU.
  - B. Students complete learning support requirements as follows:
    - 1. Students complete learning support in mathematics by passing:
      - a. a mathematics support-enhanced section of a designated general education math course or
      - b. any other college-level math course
    - 2. Students complete learning support in writing by passing:
      - a. a writing support-enhanced section of a designated general education composition course or
      - b. any other college-level English course equivalent to ENGL 1010 or higher
    - 3. Students complete learning support in reading by passing:
      - a. a reading support-enhanced section of a designated general education course or
      - b. any other college-level course
  - C. Students may also satisfy learning support requirements by completing the Seamless Alignment and Integrated Learning Support (SAILS) program prior to enrolling at ETSU and presenting a certificate of completion to the University Advisement Center.



**Policy Title:** Undergraduate Admissions

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:03:00:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy provides information on admission to East Tennessee State University for domestic and international undergraduate students.

## Policy

### I. General Provisions

- A. This policy has been developed consistent with the provisions of Section 504 of the Rehabilitation Act of 1973 (Non-discrimination on the Basis of Handicap) and the Americans with Disabilities Act of 1990 and submitted to the East Tennessee State University Governing Board for approval.
- B. East Tennessee State University does not discriminate against students, employees, or applicants for admission or employment on the basis of race, color, religion, creed, national origin, sex, sexual orientation, gender identity/expression, disability, age, status as a protected veteran, genetic information, or any other legally protected class with respect to all employment, programs, and activities.
- C. Medical or Health Information
  - 1. All enrolling students will be required to provide health information that, at a minimum, establishes the student's compliance with rules promulgated by the Tennessee Department of Health regarding requirements for immunization against certain diseases prior to attendance and compliance with the latest standards for immunization for meningococcal disease as set forth by the recommended immunization schedule issued by the Center for Disease Control Advisory Committee on Immunization practices.
  - 2. Prior to full-time enrollment, the student must provide documentation of receipt of required immunizations or provide medical positive quantitative serology immunity reports.
  - 3. New, incoming students who live in on-campus student housing must comply with the latest standards for immunization for meningococcal disease as set forth by the recommended immunization schedule issued by the Center for Disease Control Advisory Committee on Immunization Practices.
  - 4. Admission to some programs may have additional requirements.  
Exemptions:  
Information regarding immunizations, including exemptions, will be posted on the University Health Services website.

### II. General Admission Provisions

- A. Admission of Non-Tennessee Residents

1. The University has the authority to establish minimum criteria for the admission of residents of states other than Tennessee which exceed the minimum criteria established for Tennessee residents.
- B. Residency Classification
1. ETSU shall, in the admission or readmission process, assign each student a residency classification using approved regulations for classifying students in-state or out-of-state for the purposes of paying university fees and tuition and for admission purposes.
- C. Admission to Specialized or Limited Enrollment Programs
- D. ETSU has the authority to limit enrollment in particular courses or programs for which there is limited space availability or are specialized in nature.
- E. These limitations will be based on selective criteria appropriate to the course or program which apply equally to all prospective students.
- F. A number of factors such as accreditation and professional certification standards, limited clinical and classroom space, faculty availability, and a concern for appropriate student progress influence the selective admission process to certain undergraduate programs.
1. Students must meet the application criteria, be reviewed and accepted for admission, and make satisfactory progress to continue in these academic programs.
  2. Individual programs may make adjustments to the admission criteria based on an analysis of student success characteristics with appropriate approval.
- G. ETSU charges a one-time application fee. This fee may be waived at the discretion of the institution.
- III. Undergraduate Admission Categories
- A. Admission of First-Time Freshmen
1. Applicants for degree admission as first-time freshmen shall be considered for admission using the following criteria.
    - a. High School Graduation or Equivalency—Except as provided for below (f.1.), applicants for degree admission as first-time freshmen must provide an official transcript showing graduation from high school.
    - b. Minimum High School Grade Point Average—Applicants for degree admission as first-time freshmen must meet established minimum high school grade point average and/or ACT or SAT scores.
    - c. High School Course Requirements
      - i. The following high school units are required for students who are not yet 21 years of age and who graduated from high school in 2012 or before.
        - 4 units of English
        - 2 units of Algebra
        - 1 unit of Geometry or other advanced math
        - 2 units of Natural/Physical Sciences, including at least one unit with a laboratory in either biology, chemistry or physics
        - 1 unit of United States History
        - 1 unit of Social Studies from world history, world geography, ancient history, modern history, or European history
        - 2 units of the same foreign language
        - 1 unit of Visual or Performing Arts

- ii. The following high school units are required for students who are not yet 21 years of age and who graduated from high school in 2013 or after.
            - 4 units of English
            - 2 units of Algebra
            - 1 unit of Geometry or other advanced math
            - 1 additional unit of advanced math
            - 3 units of Natural/Physical Sciences, including at least one unit with a laboratory in either biology, chemistry or physics
            - 1 unit of United States History
            - 1 unit of Social Studies from world history, world geography, ancient history, modern history, or European history
            - 2 units of the same foreign language
            - 1 unit of Visual or Performing Arts
  - d. Standardized Examination Scores
    - i. Applicants for admission as first-time freshmen who are under the age of 21 must present ACT or SAT scores from an exam taken in the past five (5) years. Applicants who are 21 years of age or older may submit ACT or SAT scores or scores from an approved nationally normed standardized assessment of mathematics, reading and writing.
    - ii. These scores may be used in the admissions process, advisement, and as a component in placement decisions, including placement into Learning Support.
- B. Early Admission of First-Time Freshmen
  - 1. The minimum requirements for applicants in this category are as follows.
    - a. Completed the 9th 10th and 11th grades with a minimum cumulative grade point average of 3.5 based on a 4.0 scale;
    - b. An ACT Composite score of 25 or a comparable SAT score;
    - c. A written statement from their high school principal specifying the college courses that will be substituted for the remaining high school courses needed for high school graduation; and
    - d. Written endorsements from their high school counselors and from their parents or guardians.
- C. Freshman Admission by Exception
  - 1. Freshman Applicants under the age of 21 who are deficient in high school units may be admitted under special circumstances based upon ACT or SAT scores and high school grade point average. The requirements include:
    - a. Minimum ACT composite score of 21 (or equivalent SAT score) and up to two unit deficiencies.
    - b. ACT score of 19 or 20 (or equivalent SAT Score) and a minimum high school GPA of 2.5 on a 4.0 scale with up to two unit deficiencies. Vice Provost for Enrollment reviews these applications for admission
- D. Alternative Admission
  - 1. A limited number of freshman applicants under the age of 21 who do not meet the requirements outlined above may be admitted through alternative admission. The requirements include:

- a. Tennessee residents must have a minimum high school GPA of 2.0 on a 4.0 scale or an ACT composite score of 17 (or equivalent SAT score).
    - b. Non-residents of Tennessee must have a minimum high school GPA of 2.3 on a 4.0 scale or an ACT composite score of 19 or higher (or equivalent SAT score).
  - E. Admission of Freshmen aged 21 or older
    - 1. Freshman applicants age 21 or older who are high school graduates and provide an official high school transcript certifying the receipt of a regular, state, or honors diploma are eligible for admission.
      - a. Admitted students age 21 or older without ACT/SAT scores less than five (5) years old will be required to complete a placement exam prior to enrollment.
  - F. Admission of Students with a High School Equivalency Diploma (HSE)
    - 1. Applicants for freshman degree admission may present either the GED or the HiSET exam in lieu of a high school diploma. In addition applicants under the age of 21 must provide ACT or SAT test results.
    - 2. Students must provide an official copy of HSE results that indicate a passing score on the battery of tests and a passing score on each subsection of the test.
- IV. Admission of Transfer Students
  - A. Applicants for degree admission as transfer students will be considered for admission using the following criteria.
    - 1. Evaluation of transfer coursework and grade point average on college-level coursework.
    - 2. Students who have completed fewer than 12 semester credit hours will be considered for admission based on their high school record consistent with the freshman admission policy.
  - B. Transfer applicants must provide official transcripts of credit from all institutions of higher education previously attended.
  - C. Transfer applicants must provide proof of high school completion either by an official high school transcript or HSE results.
  - D. Transfer applicants may be required to meet certain transfer GPA requirements for a subset of courses for admission to specialized programs at the discretion of the department offering the program.
  - E. Students will be considered for admission in a manner that is consistent with ETSU's academic retention standards and readmission criteria for its native students.
  - F. Transfer applicants must meet the grade point average requirements based on the number of attempted college-level hours below:
 

Attempted Hours	GPA
12-29	1.4
29.1-45.0	1.7
45.1-59.9	1.9
60+	2.0
  - G. Transfer applicants who do not meet the standards outlined above and who have not been enrolled in any institution of higher education for a minimum of three years may be admitted through individual review by the Vice Provost for Enrollment or his/her designee.

- H. Grades transferred to ETSU will not be reflected in the student’s overall GPA at ETSU. Courses completed at other institutions will be counted toward the cumulative number of hours earned but the grades will be entered in such a way that they are not calculated in the student’s overall ETSU GPA.
  - I. Additional information about transfer of credit is available in the “transfer of credit” policy.
- V. Readmission
- A. All former ETSU students who have not been enrolled for one major term (Spring or Fall) must apply for readmission.
    - 1. In order to be readmitted, students who have attended no other institution of higher education after enrollment at ETSU must be eligible to return to ETSU based on the university’s retention standards or must have served the appropriate academic suspension period to be eligible for re-enrollment.
    - 2. In order to be readmitted, students who have attended another institution of higher education after enrollment at ETSU must meet the transfer admission requirements outlined above.
- VI. Undergraduate Special Student Admission
- A. This admission is available to persons over 18 years of age. Students admitted as Undergraduate Special Students are not required to submit full application materials (official transcripts or standardized test scores). This category applies to persons who:
    - 1. Plan to enroll only in undergraduate courses
    - 2. Are not admitted into an undergraduate degree program
    - 3. Plan to enroll in a limited number of courses
- VII. Visiting Student Admission
- The classification of Visiting Student is provided to persons enrolled in a degree program at another institution who wish to take a limited number of classes at ETSU. Students must be in “good standing” at their home institution and provide proof through either an official transcript or letter of good standing.
- VIII. Admission of Joint/Dual Enrollment of high school students and academically talented/gifted students
- A. Dual enrollment: a high school student taking one or more college course(s) for which the student will be awarded both high school and college credit.
  - B. Joint enrollment: a high school student taking one or more college course(s) for which the student will earn only college credit.
  - C. A high school student who has completed his/her sophomore year in high school may be admitted for either joint enrollment or dual enrollment to complete university courses based on the following criteria:
    - 1. The applicant must have a minimum 3.2 high school GPA on a 4.0 scale.
    - 2. The applicant must have a minimum ACT composite score of 19 with no subscore below 19 or appropriate score on the Acuplacer exam or other approved exam.
    - 3. The applicant must have approval from the high school and, if under the age of 18 years, approval from a parent or guardian to enroll.
    - 4. The applicant must submit an official high school transcript.
    - 5. The student may not enroll in more than seven (7) semester hours per term.
    - 6. The student must meet any prerequisite requirements to enroll in a specific course.

7. A student with unique talents may be granted permission to enroll in specific courses with approval of the Director of Admissions.
- D. An academically talented/gifted student in grades 9-12 in public or private high schools in Tennessee whose program of study is planned on an individual basis by a multidisciplinary team may, with the endorsement of the high school and the university, enroll for prescribed courses and earn university credit if such a student has a GPA of 3.2 on a 4.0 basis and if such a placement is part of the student's planned Individual Education plan. Students may register for no more than seven (7) credits when enrolled in this program.
- IX. International Student Admission
- A. Students who are not U.S. citizens or U.S. permanent residents (international students) are required to submit proof of successful completion of secondary education. Applicants who have attended institutions of higher education must submit official transcripts from all institutions attended.
1. International freshman applicants under the age of 21 who graduated from a U.S. high school must submit official ACT or SAT scores.
  2. International freshman applicants who completed secondary education in countries other than the U.S. are not required to submit ACT or SAT scores.
  3. International applicants whose first language is not English must provide proof of English proficiency by submitting one of the following:
    - a. Paper-based TOEFL score of 500, computer based TOEFL score of 173 or internet based TOEFL score of 61.
    - b. Proof of successful completion of level 112 English in an approved ELS program.
    - c. ACT reading and English scores of 19.
    - d. SAT evidence based reading score of 500 on the new SAT or critical reading score of 450 on the old SAT.
    - e. Two semesters or three quarters of college-level English composition from an accredited U.S. institution of higher education with a grade of C- or better.
    - f. Evidence of English proficiency as demonstrated through successful completion of writing-intensive courses from an accredited U.S. institution.
    - g. Minimum of one year of attendance as an exchange student in or graduation from a U.S. high school as reflected on an official high school transcript.
    - h. Results from another nationally recognized, comparable, standardized English proficiency exam that indicates requisite English proficiency.
- B. Students who cannot demonstrate satisfactory proficiency in English may be offered conditional admission to study English at the ELS Center on ETSU's campus. Admission must be granted and financial documentation and degree information must be received prior to the issuance of an I-20 or IAP-66 form needed to obtain a visa.
- C. Students enrolled pursuant to an F visa must have and maintain medical and hospitalization insurance as a condition of initial and continued enrollment at the institution.
1. In addition, the following procedures have been established:
    - a. In the letter of admission, in the I-20, and in the DS-2019, all international, nonimmigrant students will be informed of this

requirement, of the extent of coverage required, which may vary slightly from year to year, and of the approximate cost to obtain the coverage.

- b. All international, nonimmigrant students will be required to enroll in the Student Comprehensive Health Insurance Plan. The only exception to this requirement will be international, nonimmigrant students who have a scholarship that includes the purchase of an insurance policy on their behalf. This policy must meet or exceed the level of coverage provided to participants in the Student Comprehensive Health Insurance Plan.
  - c. Students will be covered for twelve months. Exception to this rule will be made in the case of international students who abandon their F status, by leaving the U.S., by changing to another nonimmigrant status, or by adjusting status to that of an immigrant.
  - d. Students under Practical Training will not be required to purchase the coverage. Students under Practical Training, however, may purchase the coverage during the period of training.
  - e. Once the insurance premium is paid, there will be no refunds.
- X. Second Undergraduate Degree Admission
- A. Students who hold a bachelor's degree from ETSU or any other regionally accredited institution of higher education may apply to earn a second bachelor's degree. Applicants for second undergraduate degree admission must submit official transcripts from all institutions of higher education attended.
  - B. Academic requirements for the successful completion of a second undergraduate degree can be found in the policy for academic degree requirements.
- XI. Enrollment of Disabled Persons and Persons Over 60 Years of Age
- A. Disabled persons who are domiciled in Tennessee and who have a permanent disability which totally incapacitates them from employment and persons 60 years of age or older may audit courses without the payment of regular maintenance fees. The student is responsible for any course or online fees associated with the class.
  - B. Disabled persons described above and persons 65 years of age or older who are domiciled in Tennessee, may enroll for credit without the payment of regular maintenance fees. The student is responsible for a service fee required to defray the cost of record keeping and any course or online fees associated with the class.

**Policy Title:** Undergraduate Academic Retention Standards

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:03:01:01

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy defines the minimum criteria for evaluating undergraduate students' academic progress at ETSU and describes means by which students not making satisfactory progress may re-enroll.

**Policy:**

- I. ETSU publishes undergraduate academic retention standards in the undergraduate catalog, applies these standards uniformly to all students, and promptly enforces the standards at the close of each semester.
- II. Grade Point Average (GPA)
  - A. The grade point average (GPA) equals the total of all quality points earned in all courses attempted, divided by the total number of credits attempted.
    1. Quality points earned in a course are based on the final grade in the course times the credits earned or, in the case of an F or FN, attempted, as follows:

Final Grade	Quality Points = Value below x Credits earned or attempted
A	4.0
A-	3.7
B+	3.3
B	3.0
B-	2.7
C+	2.3
C	2.0
C-	1.7
D+	1.3
D	1.0
F	0.0
FN	0.0

2. The following kinds of grades are not included when calculating the GPA:
  - P (Pass)
  - CR (Credit)
  - I (Incomplete)



Au (Audit)  
W (Withdrawal)  
WF (Withdrawal Failing)  
NR (Not Reported)

3. The following grades and credits attempted or earned are not included in the GPA:
    - a. remedial and developmental courses
    - b. courses from which the student withdrew in good standing
    - c. courses transferred to ETSU on or after August 1, 2015
    - d. passing grades (P) and credits earned in courses taken on a pass/fail basis
  4. Although passing grades (P) and credits earned in courses taken on a pass/fail basis are not included in GPA calculations, failing grades (F) and credits attempted in such courses are included.
- III. ETSU use the following kinds of GPAs for the purposes indicated below:
- A. Overall GPA (Includes all institutional and articulated transfer coursework, excluding pre-college level courses. Does not include transfer coursework received on or after August 1, 2015.)
    1. required GPA for graduation
    2. determining graduation honors
    3. determining term honors
  - B. Overall combined GPA (Includes all institutional and articulated transfer coursework and includes pre-college level courses. Does not include transfer coursework received on or after August 1, 2015.)
    1. determining suspension and probation
    2. determining financial aid eligibility
    3. determining athletic eligibility
  - C. Lottery GPA  
ETSU follows prescribed state practices for calculating the GPA needed for continuing eligibility for the Tennessee Lottery Scholarship Program, which includes all courses taken after graduation from high school.
- IV. Repeating Courses
- A. Students may repeat courses in which the final grade is C+ or lower for the purpose of increasing mastery in the course or raising the grade point average.
  - B. Students may repeat a course in which they earned a grade of B- or higher only with the approval of the chief academic officer.
  - C. ETSU uses repeated courses in calculating the GPA and total credits attempted as follows:
    1. If a student repeats a course once, ETSU uses only the most recent attempt (excluding I, W, or WF grades) in calculating the GPA.
    2. If a student repeats a course two or more times, ETSU uses all grades earned in the third and subsequent attempts in calculating the GPA.
    3. All courses repeated count in credits attempted.
    4. All courses repeated appear on the academic transcript.
    5. When a student repeats a course at another institution, ETSU will use its repeat policy to exclude the grade/credit originally earned.
- V. Academic Retention Standards

- A. Academic probation: For baccalaureate and undergraduate certificate programs, students who fail during any semester to attain an overall combined GPA at or above the level indicated below, based on the total credits attempted thus far, will be placed on academic probation for the subsequent semester (including summer session) of their enrollment.

Semester Credits Attempted	Required Overall Combined GPA
0-29	1.4
29.1-45	1.7
45.1-59.9	1.9
60+	2.0

- B. Academic Suspension
  - 1. Students who fail to attain either the overall combined GPA standard or a 2.0 GPA for the semester of academic probation will be suspended for one major term (spring or fall semester). The summer semester does not count as a term of suspension.
  - 2. On the second suspension for failure to meet academic retention standards, the period of academic suspension is for two major terms.
  - 3. Students wishing to re-enroll after a period of suspension must apply for readmission.
  - 4. Students who enroll at other institutions during a period of academic suspension from ETSU must meet ETSU’s transfer admission requirements.
- C. When low grades are related to extenuating circumstances, students may petition to waive the period of suspension.
  - 1. The petition must describe the verifiable extenuating circumstances, which may include illness as evidenced by medical documentation; personal problems, such as divorce or serious domestic problems; accidental injury; or other circumstances beyond the student’s control.
  - 2. Upon receipt of the written petition, a current academic transcript, and any supporting documents, the office of student affairs will make a preliminary decision about whether extenuating circumstances warrant a formal appeal hearing. If granted, the student will be notified of the time and place of the appeal hearing before representatives of the office of student affairs and the dean’s office of the college of the student’s major. If the request for an appeal hearing is declined, the student may ask the dean of the college in which he or she is majoring to review the decision.
- D. If grades earned at other regionally accredited institutions during a period of academic suspension from ETSU make a student admissible as a transfer student, the director of undergraduate admissions may admit the student prior to completion of the academic suspension period.

VI. Academic Fresh Start

- A. Academic Fresh Start is a plan of academic forgiveness available to transfer and readmission students.
- B. Candidates may apply for Academic Fresh Start prior to admission or readmission as a degree-seeking student or at any time after enrollment by filing an application with the Office of Admissions, requesting the Academic Fresh Start.
- C. Eligibility criteria for Academic Fresh Start

1. A period of at least four years (48 months) has elapsed since the candidate last attended an institution of higher education.
2. The candidate has not previously been granted academic forgiveness according to this or a similar provision at any institution of higher education.
3. A student who has been granted Fresh Start in the past is not eligible for a second opportunity.

D. Academic Fresh Start provisions.

1. The student's permanent academic record will remain a record of all course work and will include "Granted Academic Fresh Start" and the effective date. However, courses taken and previously failed will be excluded from the calculation of the GPA. Courses with a D grade will also be excluded from the GPA calculation and total credits earned when a C or better is required in the student's current major. The GPA and total credits earned will reflect all other courses for which passing grades are earned.
2. The current major will be considered the major the student has selected at the time the Academic Fresh Start is applied. Courses excluded from the GPA calculation will not be reviewed or reconsidered should the student change majors Academic Fresh Start has been applied.
3. Grades for courses transferred from other institutions will be included in the GPA and are subject to ETSU's policy on use of transfer courses in GPA calculations.
4. The application of retained credit toward degree requirements will be determined by the requirements in effect when the Academic Fresh Start is conferred. Specific program requirements must also be met.
5. Previously satisfied learning support placement requirements will not be forfeited upon conferral of an Academic Fresh Start. Academic Fresh Start applicants who did not satisfy learning support placement requirements at the time of previous enrollment must meet current learning support requirements.
6. ETSU will honor an academic forgiveness plan offered at another institution so long as it is clearly noted on the official transcript from the previous institution.
7. Students in Academic Fresh Start will be subject to ETSU's academic retention standards.
8. Academic Fresh Start does not alter financial aid requirements and regulations.
9. Once applied, Academic Fresh Start is irrevocable.

VII. Drop and Withdrawal Standards

- A. Courses dropped during the first two weeks of the term will not appear on the student's permanent record. Students who drop courses after the second full week of classes through the eighth week will receive grades of W. During the summer session or when courses do not conform to established term calendars ETSU will adjust this schedule appropriately.
- B. After the eighth week of the term students may drop courses only when they can demonstrate verifiable, extenuating circumstances beyond their control, such as illness or accidental injury. Poor performance in a course is not an extenuating circumstance.
- C. Students seeking permission for late drops must present a petition to the dean of the college or school in which they were majoring at the beginning of the term. Students

who have not yet declared majors will present petitions to the University Advisement Center. If a late drop is approved, the student will receive a grade of W (Withdrawal) or WF (Withdrawn-Failing), to be determined by the instructor of the course.

**Policy Title:** Undergraduate Degree Requirements

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:01:00:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy describes East Tennessee State University's undergraduate degree requirements.

**Policy:**

- I. The undergraduate catalog lists all undergraduate degree requirements. These requirements include the following:
  - A. Earn a minimum grade point average (GPA) of 2.0 in each of the following:
    1. All courses taken at ETSU
    2. Major
    3. Minor (if applicable)
    4. Overall

See the policy on Undergraduate Academic Retention Standards for information on how ETSU calculates these GPA. Students must meet all other published GPA requirements for their degree programs.
  - B. Minimum of 120 semester credits, with the exception of degree programs approved to exceed the minimum.
    1. At least 50 of the credits required for the degree must be earned at four-year colleges or universities.
    2. At least 25% of the total credits required for the degree must be earned at ETSU.
    3. At least six credits in the major must be earned at ETSU.
  - C. Fulfillment of general education requirements
    1. General education requirements are as follows:
      - a. Communication (9 credits, consisting of 6 credits of written composition and 3 credits of oral communication)
      - b. Humanities and Fine Arts (9 credits, consisting of 3 credits of literature, 3 credits of fine arts, and 3 credits of humanities electives)
      - c. Social and Behavioral Sciences (6 credits)
      - d. History (6 credits)
      - e. Natural Sciences (8 credits)
      - f. Mathematics (3-4 credits)
    2. ETSU's undergraduate catalog lists courses satisfying general education requirements.
    3. Students who have completed an Associate of Arts, Associate of Science, or Associate of Science in Teaching degree at a regionally accredited college or university have satisfied ETSU's general education requirements.

4. ETSU's general education requirements do not apply to students who have completed a baccalaureate degree at ETSU or another regionally accredited college or university and are pursuing a second bachelor's degree.
  5. See ETSU's general education policy for other provisions governing fulfillment of general education requirements, including application of transferred courses.
- D. Credits earned in remedial or developmental courses are not applicable to ETSU's baccalaureate degree requirements.

**Policy Title:** Approval of Academic Programs, Units, and Modifications

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** 2:01:01:00; A-010; A-040

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to establish the procedures and processes for the submission and approval of academic action requests for developing or modifying academic programs or units. In all academic endeavors, East Tennessee State University promotes academic quality to meet student demand, employer need and societal requirements.

**Policy:**

- I. East Tennessee State University complies with the academic policies of the Tennessee Higher Education Commission (THEC).
- II. ETSU has authority to create new courses; substantially modify or make minor edits or updates to existing courses; inactivate existing courses; determine course content or design; establish minors; revise existing academic degrees, certificates, concentrations or minors; and establish institutes and centers that are not cost centers without approval from THEC.
- III. Approval processes are delineated in the Academic Approvals table below.
  - A. ETSU places primary responsibility for the content, quality, and effectiveness of its curriculum with its faculty. Curricular academic actions, therefore, must be approved by the faculty of the originating department (so noted by its chair) and the college and university-level curriculum committees.
  - B. When an academic action is reviewed and approved by Academic Council, the Council determines if the action represents a substantive change in accordance with ETSU's Substantive Change policy.

Academic Approvals

Academic Action	Department Chair	College Curriculum Committee	Teacher Education Advisory Committee	College Dean	UG Curriculum Committee/Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
<b>THEC Academic Polices</b>										
<b>A1.0 New Academic Programs: Approval Process</b>										
Establish New Academic Program	x	x	if appropriate	x	x	x	x	x	Approve	Approve
Establish New Certificate 24 – up credits	x	x	if appropriate	x	x	x	x	x	Approve	Approve
<b>THEC Academic Polices</b>										
<b>A1.1 Academic Program Modifications</b>										
Change or add a program degree designation when change does not involve a significant curriculum shift in redefining the program’s purpose	x			x		x	x	Notify	Notify	Approve
Change degree designation for an existing academic program or concentration per written recommendation of a disciplinary accreditation body	x			x		x	x	Notify	Notify	Approve
Establish free-standing academic degree program from an existing concentration with steady	x	x	if appropriate	x	x	x	x	Notify	Notify	Approve



Academic Action	Department Chair	College Curriculum Committee	Teacher Education Advisory Committee	College Dean	UG Curriculum Committee/Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
enrollment/degrees awarded within both the degree designation and all concentrations under that degree for a period of the last three years.										
<b>THEC Academic Polices A1.3 New Academic Units</b>										
Establish College/School: Instructional unit that includes several departments and is administered by a dean or director	x			x		x	x	x	Approve	Approve
Establish Division: Two or more departments within a college or university which may be administered by an assistant or associate dean	x			x		x	x	Notify	Notify	Approve
Establish Academic Department: Organized around common and similar academic areas and administered by a department chair	x			x		x	x	Notify	Notify	Approve
<b>THEC Academic Polices</b>										

Academic Action	Department Chair	College Curriculum Committee	Teacher Education Advisory Committee	College Dean	UG Curriculum Committee/Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
<b>A1.5 Academic Actions Notification*</b>										
Establish New Certificate 12-23 credits	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Name/Title Change for Program/Concentration	x			x		x	x	Notify	Notify	Notify
Establish New Concentrations	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Change (increase or decrease) in number of hours of an existing program	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Consolidation of two or more existing academic programs into a single academic program without an essential change in the original approved curriculum and without a net gain in the number of programs an existing academic program	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify
Extension of an existing academic program to an approved off-campus center	x			x		Notify		Notify	Notify	Notify
Change of the primary delivery mode for an existing academic program. The extension to 100% off-campus delivery requires	x			x				Notify	Notify	Notify

Academic Action	Department Chair	College Curriculum Committee	Teacher Education Advisory Committee	College Dean	UG Curriculum Committee/Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
additional action if the location of delivery is to be converted from an off-campus site to a center										
Inactivation of an existing academic program or concentration. If the inactivated academic program or concentration is not reactivated within a period of three years, the academic program or concentration will automatically be terminated and removed from the institution's inventory	x	x	if appropriate	x		Notify		Notify	Notify	Notify
Reactivation of an academic program or concentration that was placed on inactivation within the past three years. The date of inactivation and the date of the proposed reactivation must be provided	x	x	if appropriate	x		Notify		Notify	Notify	Notify
Termination of an academic program or concentration. A teach-out plan should accompany the notification of termination	x	x	if appropriate	x	x	x	x	Notify	Notify	Notify + teach-out plan
<b>ETSU Academic Actions</b>										

Academic Action	Department Chair	College Curriculum Committee	Teacher Education Advisory Committee	College Dean	UG Curriculum Committee/Graduate Council	Academic Council	ETSU President	Academic and Student Affairs Committee	ETSU Board	THEC
Admission, Progression, Retention, Graduation Policies (University)	x	x		x	x	x	x	Approve	Approve	N/A
Admission, Progression, Retention, Graduation Policies (Program)	x	x	if appropriate	x	x	x	x	Notify	Notify	N/A
Establish minor (18-21 credits)	x	x	if appropriate	x	x	x	x	Notify	Notify	N/A
Significant revision of existing academic program: degree, certificate, concentration, or minor	x	x	if appropriate	x	x	x	x	Notify	Notify	N/A
Establish Institutes and Centers (not a budget line item)	x			x		x	x	Notify	Notify	N/A
Site Codes	x			x				N/A	N/A	Assign
<b>*THEC Notification Schedule for A1.5 Actions</b>										
May 15	Actions approved between Jan 1 and April 30					The chief academic officer at each university will submit all academic program actions designating that each action has been approved through appropriate institutional and/or governing board processes.				
August 15	Actions approved between May 1 and July 30									
January 15	Actions approved between Aug 1 and Dec 31									

**Policy Title:** Development & Operation of Study Abroad Programs

**Policy Type:** Academic                      **New/revised:** Revised (2/15/17)

**Old Policy #:** TBR Policies 2:08:10:00 and 2:08:20:00; and TBR Guideline A-076

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** To identify and adopt relevant best practices to assist in enhancing and improving education abroad activities and processes.

**Policy:**

- I. ETSU is committed to providing a broad spectrum of international experiences for our students and faculty. We strongly encourage study abroad in ETSU-sponsored programs, in TnCIS programs, and in other approved international programs. ETSU's international educational programs will follow policies and procedures consistent with the best practice standards established through the Forum on Education Abroad as recognized by the U.S. Department of Justice as the Standards Development Organization for Education Abroad. The International Advisory Council abroad must approve ETSU faculty-led programs.
- II. Best Practices: ETSU is committed to identifying and adopting relevant best practices to assist faculty in enhancing and improving education abroad activities and processes, including,
  - A. undertaking steps to be informed of and comply with applicable laws both at home and in the host country
  - B. avoiding arrangements that violate those laws or accepted business practices of the U.S. or host country
  - C. creating sustainable, mutually beneficial local relationships that are respectful of economic, social and environmental concerns
  - D. establishing and maintaining reasonably safe and non-discriminatory work, study and living conditions for employees and students
  - E. communicating clearly with students the anticipated environmental conditions of the location abroad
  - F. making available current ETSU policies, procedures and job descriptions
  - G. exercising due diligence in cost control and adopting clear and reasonable billing procedures for participants
  - H. establishing transparent protocols for any data collected
    - I. maintaining sufficient financial resources to meet obligations and exigencies for unanticipated obligations
    - J. emphasizing academic integrity within the international education experience
    - K. managing all provider arrangements for oversight and evaluation
    - L. following the established US Import/Export Guidelines.
- III. Types of Programs and Program Documentation
  - A. Courses taken abroad for academic credit should provide academic learning opportunities appropriate to the mission of the student's program of study or meet general education requirements at ETSU. Internships may not always be acceptable for

- credit. Regardless of the provider, global study opportunities should be comparable in contact hours to those expected of students taking courses on ETSU campuses.
- B. Students apply for study abroad through ETSU’s study-abroad online application system that requires a minimal application fee. Interested students should visit the ETSU Office of International Programs Study Abroad office for advice on international education opportunities and on eligibility requirements for study abroad.
  - C. ETSU Faculty-Led Programs Abroad
    - 1. Faculty-led programs abroad comprise ETSU courses designed and approved for location in a country outside the U.S. Course content must be approved by the faculty member’s Department Chair and have a specific course number (“Independent Study” and “Special Topics” courses are not approved for study abroad). The faculty member’s Dean must approve budget. The International Advisory Council (IAC) must approve course logistics, student costs and course sustainability. Course proposals are due to the IAC in September before a course takes place in the following summer and by April 1 for winter session.
    - 2. If for any reason an ETSU course is taught abroad by an instructor *not* employed by ETSU, or hired as part of a consortial arrangement with an institution outside the U.S., the ETSU faculty member proposing the course and his/her Department Chair must ensure that the teaching faculty meets SACSCOC credential requirements, a requirement for all adjunct instructors.
  - D. Tennessee Consortium for International Studies Programs (TnCIS): TnCIS invites students enrolled in Tennessee colleges and universities to apply to any one of their many study abroad programs (credit only) offered in summer terms. These courses are taught by faculty in SACS accredited Tennessee colleges/universities. Some of the TnCIS courses are offered by ETSU; some are offered by other TN institutions. ETSU accepts transfer credit with prior approval. See policy on transfer credit.
  - E. International Student Exchange Programs (ISEP): ISEP is one of the largest study abroad networks in the world, offering semester abroad programs (including summer) to member organizations like ETSU in over 50 countries. Students who meet the 2.75 GPA requirement and are interested in one semester or longer programs should work with the ETSU Study Abroad Advisor and their academic advisor to choose an international program that fits their academic goals. ETSU accepts transfer credit when applicable. See policy on transfer credit.
  - F. Other Programs Abroad: Students engaging in international programs that are not a part of agreements in place with ETSU must secure transfer agreements prior to taking courses. Faculty must meet SACS credential requirements.
- IV. Defining Roles within Study-Abroad Programs
- A. Individuals approved for participation in ETSU sponsored international programs (including TnCIS programs) consist of the following categories. ETSU faculty and students participating in TnCIS and other programs abroad must follow the guidelines of those organizations.
    - 1. Student Participants: In keeping with best practices, only students enrolled at ETSU may participate in ETSU faculty-led study abroad courses.
    - 2. Orientation: Faculty must provide orientation for students participating in their faculty-led programs abroad.
    - 3. Disabilities: Programs abroad should comply with the American Disabilities Act when possible. Issues related to reasonable accommodation should be resolved after a student with a disability is accepted into an international

educational experience but before the students depart on the trip. ETSU may, however, restrict participation in an international program for students or faculty determined to be at excessive medical risk or with serious physical constraints.

4. Health Insurance: All students and faculty participating in study abroad are required to have documentable medical insurance covering medical treatment outside of U.S. borders at a minimum of \$250,000 per accident or sickness as well as evacuation and repatriation insurance at a combined minimum of \$50,000. Questions about health insurance can be directed to the Study Abroad Advisor in International Programs.
  5. Conduct and Discipline: ETSU faculty teaching abroad have the right to take disciplinary action, including expulsion of students, using the same Code of Conduct and processes of action and appeal as those in place on the ETSU campus. Complaints of disruptive behavior, harassment or discrimination must be reported to the Office of International Programs and Services. Faculty teaching an ETSU course abroad have the right to review student records prior to approving the class roster.
  6. Scholarships: Students may apply through the Office of International Programs and Services for scholarships funded by International Education Fees. Students should also check with the Office of Financial Aid to see if they are eligible for other means of support for study abroad.
- B. ETSU Faculty and Academic Staff: Faculty and academic staff abroad must adhere to the following.
1. Orientation: Must complete the Office of International Programs' online orientation/training for faculty with international program responsibilities abroad.
  2. Policies: Are governed by the same policies that define faculty and academic staff rights and responsibilities on the home campus.
  3. Compliance with the Law/Awareness of Customs: Must act in accordance with the laws of the host country and should make themselves aware of the local customs.
  4. Contracting Requirements: Shall adhere to all applicable contracting requirements, including appropriate contract approval and legal review.
- C. Spouses and Minors Accompanying Faculty: Participation in ETSU study abroad programs is limited to students enrolled in the program and to ETSU faculty or academic staff providing instruction. Only under special circumstances may faculty request that a spouse, domestic partner or minor accompany them on the trip at no cost to ETSU; these individuals may not attend classes or participate in class activities. Faculty must submit an "Assumption of Risk" form to the IAC along with the course proposal; requests are reviewed on a case-by-case basis. Spouses, domestic partners and children may not accompany students in the class. Contact the Office of International Programs and Services for information on procedures.
- V. Safety and Risk Management  
Safety and Welfare—Faculty and academic staff directing and teaching abroad should be trained in the liabilities and responsibilities accompanying their role abroad. Faculty are required to complete an online training module through International Programs and Services and to demonstrate knowledge of the course site and of crisis response before leaving the U.S.
- VI. Recruitment, Admission, Program Evaluation:

- A. Recruiting for Study Abroad: ETSU faculty often recruit for their own study abroad courses, and the Office of International Programs and Services publishes all opportunities for global study on its website. Students should visit the International Programs Study Abroad Advisor for questions about specific programs offered through ETSU and through other organizations.
- B. Admission to International Education Programs/Study Abroad: Admission is based on a minimum GPA (2.5 for undergraduate students and 3.0 for graduate students) for all ETSU-led courses; faculty leading ETSU courses may post other requirements for eligibility and limit the number of participants in the class. International study opportunities outside ETSU may have different requirements. Costs to students should be clearly stated.
- C. Program and Course Evaluations: Student participants and international program leaders are expected to complete program evaluation forms so that the Office of International Programs and Services can gather data on the effectiveness of recruitment, admissions, pre-departure orientation, the educational and personal value of the program and recommendations for continuation of the course in the future. Results are distributed to course instructors to support continuous improvement.

VII. Financial Management

- A. Student Records & Expenses: ETSU is responsible for the charging of tuition and fees, receipt of student payments, administering financial aid, and registration and reporting of grades for ETSU faculty-led international programs in the same manner as for domestic programs. Students may, however, direct enroll for some programs.
- B. Faculty & Academic Staff: International education activities at ETSU are expected to be financially self-sustaining over time and accountable for good financial management practices. The use of program and course fees should be transparent to students, Deans and Financial Accounting. Faculty should use the ETSU-approved method for collecting student payments, etc.
- C. Faculty Compensation: Faculty compensation for summer sessions and intersession international education programs are not subject to ETSU's policy on Faculty Compensation during Summer Session, Winter Session, and Intersessions. ETSU's International Advisory Council recommends that faculty teaching an ETSU course abroad receive compensation; however, it also realizes that the ability to cover salary is based on enrollment revenue and travel expenses.
  - 1. Faculty compensation and payment of faculty expenses are based on course enrollment and tuition-generated revenue. Faculty members and their Department Chairs and Deans should discuss compensation before the course takes place abroad.
  - 2. If course revenue is not sufficient to cover faculty compensation, the IAC Study Abroad Subcommittee suggests the faculty member request a course release from his/her chair the semester prior to the course offering for preparation, etc.
  - 3. ETSU faculty teaching abroad for TnCIS must submit an Adjunct Faculty Contract and travel authorization at ETSU to be forwarded to the TnCIS Office.



**Policy Title:** Substantive Change

**Policy Type:** Academic                      **New/revised:** New

**Old Policy #:** [http://www.etsu.edu/sacs/substantive\\_change/etsupolicy.htm](http://www.etsu.edu/sacs/substantive_change/etsupolicy.htm)

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to ensure that all substantive changes regarding the nature and scope of East Tennessee State University (ETSU) are reported to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) in accordance with defined standards and federal regulations.

**Definitions:**

Significant departure: a program that is not closely related to previously approved programs at the institution or site or for the mode of delivery in question. The addition of courses or programs that represent a significant departure, either in content or method of delivery, from those that were offered when the institution was last evaluated, are included in this policy. To determine whether a new program is a “significant departure,” it is helpful to consider the following questions:

- What previously approved programs does the institution offer that are closely related to the new program and how are they related?
- Will significant additional equipment or facilities be needed?
- Will significant additional financial resources be needed?
- Will a significant number of new courses will be required?
- Will a significant number of new faculty members will be required?
- Will significant additional library/learning resources be needed?

**Policy:**

- I. ETSU maintains compliance with the substantive change policy and procedures of SACSCOC.
  - A. ETSU recognizes the responsibility of SACSCOC to review substantive changes that occur between decennial reviews and to determine if the University continues to meet defined standards and federal regulations.
  - B. ETSU notifies SACSCOC of significant modification or expansion of the nature and scope of the university and, when required, seeks approval prior to the initiation of changes.
  - C. If unclear as to whether a change is substantive in nature, ETSU contacts SACSCOC staff for consultation.
- II. ETSU faculty and administrative officials that approve substantive changes for academic programs and off-campus instructional sites do so in accordance with established procedures.
  - A. *Academic Programs* include changes to current academic degree programs, dual or joint degrees, offerings through contractual agreements or consortia, and certificate programs. The most common substantive changes for academic programs include:
    1. expanding at current degree level (significant departure from current programs);
    2. initiating degree completion programs;

3. initiating dual or joint degrees involving program expansion (significant departure from current programs);
  4. initiating dual or joint degrees with other SACSCOC accredited institution(s);
  5. initiating programs or courses offered through contractual agreement or consortium;
  6. initiating a certificate program at a new off- campus site at employer's request and on short notice (previously approved program);
  7. initiating a certificate program that is a significant departure from previously approved programs at employer's request and on short notice;
  8. closing a program, approved off-campus site, branch campus, or institution where the institution plans to teach out its own students.
- B. *Off-campus Instructional Sites* are teaching sites located geographically apart from the main campus of ETSU. These sites are not independent of the main campus in terms of faculty and administrative or supervisory organization or budgetary and hiring authority. The most common substantive changes for off-campus instructional sites include:
1. initiating a new off-campus site where students can obtain 25- 49% of credits toward a program or certificate;
  2. initiating a new off-campus site where student can obtain 50% or more credits toward a program or certificate;
  3. expanding program offerings at previously approved off- campus sites by adding programs that are significantly different from current programs at the site and at the institution; and
  4. moving an approved off-campus site within the same geographic area to serve essentially the same pool of students.
- III. Substantive changes that are unlikely to occur at ETSU are included in this policy. A complete list of substantive changes is provided in the Substantive Change for SACSCOC Accredited Institutions Policy Statement, available on the SACSCOC website ([www.sacscoc.org](http://www.sacscoc.org)). These changes include:
- A. altering significantly the educational mission of the institution;
  - B. altering significantly the length of a program;
  - C. changing governance, ownership, control, or legal status of ETSU;
  - D. relocating ETSU's main campus;
  - E. initiating a branch campus;
  - F. adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing;
  - G. adding a site under a U.S. military contract for a previously approved program;
  - H. entering into a contract with an entity not certified to participate in USDOE Title IV programs if the entity provides any portion of an educational program offered by ETSU;
  - I. initiating dual or joint degree with at least one institution not accredited by SACSCOC;
  - J. initiating a merger/consolidation with another institution;
  - K. initiating a direct assessment competency-based program;
  - L. acquiring any program or site from another institution; and
  - M. closing a program, approved off-campus site, branch campus, or institution where the institution plans contracts with another institution(s) to teach-out students.
- IV. SACSCOC requires notification when initiating distance education for the first time. However, ETSU was approved by SACSCOC to offer distance education in Fall 2001; therefore, this policy does not include substantive changes for initiating distance learning.

Note: SACSCOC Substantive Change policy refers to “Branch Campus” which is a location of an institution that is geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is:

- permanent in nature;
- offers courses in educational programs leading to a degree, certificate, or other recognized educational credential;
- has its own faculty and administrative or supervisory organization; and
- has its own budgetary and hiring authority.

ETSU has no branch campus.

**Policy Title:** Posthumous Degrees

**Policy Type:** Academic                      **New/revised:** Revised

**Old Policy #:** TBR 2:01:00:02

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:**

The purpose of this policy is to establish procedures for awarding a degree posthumously.

**Policy:**

In the unfortunate event of a student's death during an academic term in which it may reasonably be assumed that he or she would have completed all degree requirements, a degree may be awarded posthumously to the student.

The decision as to the likelihood that the student would have completed his or her work during the term shall be at the discretion of the president.

Recommendations from the faculty and dean of the college to the president for awarding a degree posthumously should be in accordance with the established institutional process for conferral of degrees.

The special nature of the award should be reflected on all pertinent records.

**Policy Title:** Guidelines for Filling Faculty, Administrative, and Clerical/Support Vacancies

**Policy Type:** Human Resources                      **New/revised:** Revised

**Old Policy #:** PPP-35; 5:01:00:00, P-010, G-070

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to provide guidelines for an efficient and consistent competitive hiring process that promotes equal employment opportunity and a highly effective workforce.

**Policy:**

**I. General Provisions**

**A. The Search Committee**

1. The structure of a search committee is vital to the success of the committee's objective. Search committees should be composed of individuals having a vested interest and direct knowledge of the position (faculty/administrative professionals from within the same school, college or department), and individuals having diverse backgrounds (faculty/administrative professionals from various departments across campus). Individuals from diverse backgrounds provide the committee with a broad knowledge base and a variety of perspectives. Minorities and females should be included on all committees. Committees may also include students, clerical/support staff, retirees (professor emeritus, dean emeritus, etc.), and community members.
2. The individual supervisor is responsible for the coordination of all activities involved with the selection of new clerical/support staff. A supervisor may choose to enlist the assistance of a search committee, and a search committee chair.
3. A well-structured committee and a carefully selected chairperson will enhance the capabilities of the search committee and insure a commitment to affirmative action issues.
4. The composition of search committees for department chair and academic dean vacancies are outlined in the ETSU Faculty Handbook ([www.etsu.edu/senate/facultyhandbook](http://www.etsu.edu/senate/facultyhandbook)).

**B. Access**

Search committee members who are ETSU employees automatically have access to the electronic *Jobs at ETSU* system, hereafter referred to as *eJobs*, to view electronically stored candidate applications and support documentation. Search committee members who are not ETSU employees will be granted access to *eJobs* as a "Guest User". The *eJobs* system is accessible on and off-campus through the Internet.

**II. Search Committee Procedures**

**A. Recruitment Plan**

The chair of the search committee/supervisor is responsible for the coordination of all activities involved with the selection of new personnel. Prior to taking any recruitment

action, the chair of the search committee/supervisor must contact the Affirmative Action Officer to review search procedures. The chair or supervisor conducting the hire may then submit the electronic recruitment plan through the *eJobs* which includes:

1. Proposed advertisement.
2. Composition of the search committee and responsibilities of the members, i.e., direct contacts, reference checks, interviews, etc.
3. An advertising plan, which provides the following:
  - a. For Administrative/Professional and Faculty
    - i. advertisement of the position in appropriate professional journals, minority publications, regional newspapers and Internet sites;
    - ii. requests for nominations from organizations devoted to leadership training (American Council on Education Office of Leadership Development);
    - iii. participation by other-race and/or minority members on all search, selection or advisory committees and,
    - iv. direct contacts to ensure that qualified minorities are aware of the vacancy and are encouraged to apply.
  - b. For Clerical/Support
    - i. If a committee will be used, the composition of the committee and the responsibilities of the members must be determined.
    - ii. Obtain and review the vacant position's current position description. The position description should list "essential" and "secondary" functions (see Part IX - Americans With Disabilities Act and the Search Process). Position advertisements are required to include a list of the position's "essential functions." Secondary functions may also be listed in the advertisement; however, selection criteria (minimum qualifications) must be based on the requirements needed to perform the essential functions.
    - iii. Develop the advertising and recruitment plan, including the advertisement of the position in appropriate regional and local newspapers, and *eJobs*.

**B. Correspondence with Applicants**

1. No direct correspondence with an applicant is required. By applying through *Jobs at ETSU*, applicants will receive a confirmation message and number, and may view the status of their application electronically.
2. Nominations should be acknowledged to the nominator and a letter (or email) sent to the nominee inquiring of his/her interest in the position, and directing the applicant to *Jobs at ETSU* ([www.etsu.edu/jobs](http://www.etsu.edu/jobs)) to officially apply for the position.

**C. Confidentiality of the Search**

All search committee members must treat candidate information with confidentiality. Human Resources strongly recommends that the chair of the search committees use the Search Committee Confidentiality Form (Appendix O) to insure all committee members are aware of the confidentiality of searches, and the ramifications of violating that confidentiality. It is recommended the chair of the search committee have each member of the search committee sign the form and keep the originals in the search file.

**D. Maintenance of Candidate Files**

ETSU applications, curriculum vitas and other requested materials are maintained indefinitely in *eJobs*. To store additional information, search committees should maintain:

1. A file should be developed for each candidate to house all additional correspondence and materials related to that candidate.
2. Finalists should be requested to send transcripts and letters of reference prior to interview (maintain as hardcopy or through *eJobs*). Files should be secured to insure confidentiality.
3. Copies of the ETSU application, resume, curriculum vitae and other materials may be accessed through *eJobs*, or circulated via hard copy to members of the search committee as appropriate.
4. After the position has been filled, all physical files should be maintained within the department as required by the Disposal of Records policy.

**E. Hints for Screening of Applicants**

1. Members of a search committee may find the candidate rating form (Appendix A) to be useful when screening applicants. A checklist provides each committee member a quick reference as to why individual candidates are preferred.
2. It is important to keep the position description in mind when reviewing applications.
3. Search committee members might find it helpful to request copies of publications from selected applicants.
4. Letters of reference should be carefully examined.
5. The Senate Joint Resolution 211 adopted by the 1984 General Assembly seeks assurance that all faculty at institutions are proficient in oral and written English. Procedures for review and evaluation of oral and written English are described in Appendix B. When recommending a candidate for hire, the appropriate approving authority will be prompted in *eJobs* to certify the candidate's communication proficiency.
6. After finalists are certified for interview by the Affirmative Action Officer, applicants who are not among the finalists do not need to be notified through a personal letter. *eJobs* will automatically notify the applicants at the close of the search that the position has been filled.
7. One of the most productive approaches to enhancing the employment success and long-term retention of persons hired for positions offered at ETSU is to determine that the candidate is fully qualified and suited to the position offered. A key element in this hiring process is the checking of references, employment histories, and prior employers. References are required in the candidate's application or letter of interest for all ETSU positions. Supervisors are requested to ensure that employment histories are reviewed carefully. Further reference checks can be conducted on the finalists (with the finalists' consent) through focused telephone interviews of references (Appendix C, Form for Recording Reference Checks/Telephone Conversation Notes). This method allows for comprehensive coverage of significant data. It also allows for follow-up on interesting or unclear responses.

- F. Contact should be made with prior supervisors, along with the references offered by the candidate. The purpose of this check is to determine if the applicant's skill level, his/her

work habits, attendance and ability to work as a productive member of a team. Your questions should be aimed to discern these characteristics.

- G. Supervisors should be particularly thorough in evaluating local records of applicants who previously worked at ETSU. Records are available in the Office of Human Resources and contact should be made with supervisors in the candidate's previous work center. You are entitled to information pertaining to quality of work and reasons for resignation or termination from departments within the University.
- H. A statement must be included in the electronic hire request certifying that employment history and local records checks have been conducted for candidates who are recommended for hire for University positions.
  - 1. *NOTE: Professional and personal references must be contacted prior to submitting a pool for certification and interview. Please inform the applicants that professional and personal references will be checked. Contacting an applicant's current supervisor must be done for the final recommended candidate following the interview, and after the proper notification of the candidate.*
- I. A good reference check can take only ten minutes to conduct. A sample follows:
  - 1. How would you evaluate his/her academic experience and scholarly achievements?
  - 2. Probes (if not mentioned spontaneously): National recognition through scholarly publications, research grants, creative activities; teaching experience and evaluations; appreciation of the role of scholarship; understanding of what constitutes legitimate research and other creative activities.
  - 3. How would you describe him/her as a person?
  - 4. Probes (if not mentioned spontaneously): personal and professional integrity; ability to stimulate enthusiasm among others (i.e., subordinates, colleagues); consideration, support, equitable treatment of others; effective communication skills.
  - 5. What are his/her principal strengths for this position?
  - 6. What are his/her principal limitations for this position?
- J. These questions are only samples, and will vary according to information included in the candidates' resume.

### III. Recommendation of the Search Committee

#### A. Deliberation and Recommendations of Search Committee

- 1. For faculty and chair positions, the search committee will seek the advice of the entire faculty in the department and others as desired. An interview rating sheet may be developed to gather this input and provide a consistent format.
- 2. Discussions/deliberations of the search committee should remain confidential. Lists of applicants should not be released without authorization from the director/dean and/or vice president/chief.
- 3. Recommendations submitted by the search committee should follow agreed upon procedures between the search committee, chair, and dean or director. Some chairs/deans/directors may prefer a priority ranking of candidates, and others may only wish to know whether the search committee finds each finalist acceptable or unacceptable.
- 4. Recommendations should be made to the appropriate administrator. When necessary, negotiations concerning faculty rank and salary will be conducted between the dean and the vice president/chief, prior to submission of the



electronic request to hire; or for administrative positions negotiations concerning salary will be conducted between the director, vice president/chief and the Office of Human Resources.

5. At the end of the search, the chair of the search committee/supervisor is responsible for entering each applicant's status into eJobs. The Affirmative Action Office will generate from this data an "Applicant List" report.

**B. Offer of Position and Follow-Up Activities**

1. Only the University President is authorized to offer a position to a faculty or administrative/professional candidate.
2. The Chief Operating Officer is authorized to offer a position to a clerical/support candidate.
3. The department director/chair uses *eJobs* to submit their request to hire a candidate. The electronic submission will be routed through the dean to the vice president/chief, Budget Office, Office of Human Resources, Affirmative Action Officer, and the Chief Operating Officer or the University President. The electronic online system will prompt users to complete all required data fields and comments required to process the request.
4. **NOTE:** ETSU employs only U.S. citizens and aliens authorized to work in the United States. Recommended candidates must possess the required documents, as listed on an official employment application, for employment in the United States. Contact the Office of Human Resources for additional information.
5. Appointments Requiring Approval by the Board: No offer of employment can be made for positions requiring the Board's approval until the appointment form has actually been signed by the Board or his/her designee and the monitor, where required. The university must submit the following positions for approval:
  - a. All vice president/chiefs (academic, business, student affairs, etc.) or other executives reporting directly to the President including all interim appointments.
  - b. Directors and chairs of the centers of emphasis and excellence, including interim appointments.
  - c. Any other position which may be designated by the Board.
6. When recommending a salary for administrative/professional and clerical/support positions, salaries requested for new employees must conform to standard university policy, *East Tennessee State University Compensation Plan Guidelines*. An entry salary for newly hired administrative/professional employees may range from the minimum salary of each pay/grade level up to 90% of each level's midpoint. Newly hired clerical/support employees are normally paid at the minimum rate up to 90% of each level's midpoint in the skill level corresponding to their job classification. Grant funded positions must also comply with these guidelines.
7. The University President's or Vice/ President/Chief Operating Officer's electronic approval of a *Request to Hire*, *initiates correspondence with the candidate concerning the official offer and contract. When a Request to Hire has been approved and the employment contract is ready for signature, the Office of Human Resources will contact the hiring department. Human Resources will call the contact telephone number listed on the Request to Hire.*

8. After the decision is made by the President/Vice President/Chief Operating Officer to offer the position to a candidate and the department has been notified, the Office of Human Resources will move the position advertisement in eJobs to a "Filled" status. eJobs will then send an automatic e-mail to all "Not Hired" applicants noting that the position they applied for has been filled.
9. In accordance with the University President's memorandum, dated June 22, 1990, no employee is to be allowed to begin work prior to notification from the Office of Human Resources that the appointment has been approved. At that time, the department should contact the employee and set a starting date. Employees who begin work prior to the approval will not be paid by East Tennessee State University for the time worked. Department heads that allow potential employees to begin work prior to formal approval may be personally liable for wages due during the period prior to formal approval being obtained.
10. Contracts for all regular budgeted positions will be generated by Human Resources (excluding Faculty Appointment Letters & Contracts for College of Medicine and Family Medicine, which will be generated by the college and sent to Human Resources). All employees will be required to visit Human Resources to sign their contract and complete their W-4, I-9 and direct deposit information upon initial hire. Offsite locations should contact Human Resources to coordinate the proper submission of paperwork.
11. All physical files should be maintained within the department as required by the Disposal of Records policy.

#### **IV. Legal Basis of Equal Employment Opportunity**

##### **A. Affirmative Action**

1. East Tennessee State University is fully in accord with the belief that educational and employment opportunities should be available to all eligible persons without regard to race, creed, color, sex, religion, age, national origin, physical or mental disabilities, veteran status, or sexual orientation/gender identity.
2. The university fully complies with Executive Order 11246, as amended; the Rehabilitation Act of 1973, as amended; the Vietnam Era Veterans Readjustment Act of 1974, as amended; the Equal Pay Act of 1963, as amended; the Pregnancy Discrimination Act; the Age Discrimination Act of 1967 and as amended in 1975; Titles VI and VII of the Civil Rights Act of 1964, as amended, and the CRA of 1991; the American with Disabilities Act (ADA) of 1990, the ADA Amendments Act of 2008 (ADAA); Title IX of the Education Amendments of 1972; all applicable Federal and State statutes and regulations; and all ETSU Board policies and/or guidelines.
3. The university will not permit discriminatory employment practices or behavior, and will take affirmative action to ensure equal employment opportunity and equitable treatment in all areas of employment which include, but are not limited to: Recruitment; hiring practices; promotion; tenure or retention; termination; layoff and rehiring; leave policies; salary and fringe benefits; job classification; job assignments; lines of progression and seniority; anti-nepotism policy; condition or privilege of employment.

##### **B. Equal Employment Opportunity/Affirmative Action Program**

Responsibility for overall development, implementation, coordination, and monitoring of academic and non-academic affirmative action programs rests with the University President. He has appointed the Affirmative Action/Equal Employment Opportunity Officer for both academic and non-academic employees. The Affirmative Action Officer has been delegated authority to represent the University President in matters assuring that the university, through the vice presidents/chiefs, the deans, and the Office of Human Resources, is meeting Affirmative Action requirements.

**V. Affirmative Action Procedures/Guidelines**

- A. ETSU specifically finds that diversity of faculty, administrators and staff is a crucial element of the educational process and reaffirms its commitment to enhancing education through affirmative action to increase diversity at all levels. ETSU will take affirmative action and document good faith efforts to identify and employ minority applicants. The following procedures should be followed for all searches, and should be incorporated into the search committee's electronic recruitment plan:
  1. The chair of each search committee/supervisor shall discuss with the Affirmative Action Officer, prior to initiating search procedures, to review the procedures outlined in this manual for conducting a search. The Affirmative Action Officer should meet with each search committee.
  2. Advertisements/job descriptions that are distributed, must clearly describe criteria for selection.
  3. Faculty advertisements should be placed in at least: *The Chronicle of Higher Education*, and either *INSIGHT Into Diversity*, or *Diverse: Issues in Higher Education*, or other appropriate minority publication.
- B. All full-time and one year temporary administrative positions (with benefits) will require at least regional advertisement, and/or national advertisement (listed above) as determined by the Affirmative Action Officer.
- C. Some positions will also require advertisement in newspapers from major metropolitan areas in Tennessee and the Southeast region.
- D. Professional journal advertisements are encouraged. (Depending upon the professional nature of the position, journals may be used in lieu of minority publications with concurrence of the Affirmative Action Officer.)
- E. Exceptions to any of the above must have prior approval of the Affirmative Action Officer.
- F. A list has been developed of on-line Diversity Links to assist search committees in advertising and diversifying job search pools. (Appendix L, *Diversity Links*)
- G. Nominations can be solicited from professional organizations, institutions, groups, and/or individuals likely to generate diverse applicants by: Direct contacts with professional organizations; mailings/contact with appropriate counterparts at other colleges and universities including Historically Black Colleges and Universities (HBCU'S), institutions with high minority enrollment, and/or institutions with high Hispanic enrollment; mailings/contact with professional organizations; review of minority data banks; and, telephone calls/contact with counterparts at other institutions.
- H. When making direct contact for nominations, contact should be made to personal/professional acquaintances whenever possible: Contact should be made to appropriate departments or units (Appendix D, "Historically Black Colleges and Universities; or, U.S. Department of Education, *Institutions with High Hispanic Enrollment*, [www.ed.gov/about/offices/list/ocr/edliteminorityinst-list-hisp-tab.html](http://www.ed.gov/about/offices/list/ocr/edliteminorityinst-list-hisp-tab.html)); requests should be to "enhance pool of candidates"; ask for names of potential

candidate, either from that institution or current/former students of that institution or professional colleagues.

1. A log of all contacts should be maintained (Appendix E "Personal Contact Log").
  2. \*\*The Affirmative Action Officer will determine the number of appropriate direct contacts to generate diverse applicants.
- I. Make direct contact with those diverse individuals nominated. Describe the position/institution; determine interest; if interested, request the individual apply for the position through *eJobs at ETSU*.
  - J. Do not prematurely rule out apparently minimally qualified diverse applicants on the basis of resume/applications; follow-up applications with direct contact and describe position/institution and request any additional information required.
  - K. In all instances provide adequate time for responses from applicants.
  - L. Include diverse individuals in search/selection process.
  - M. The interviewee pool should be representative of the applicant pool. (The question to ask in determining whether to invite a diverse applicant for an interview is whether or not the individual meets the minimum qualifications.)
  - N. *eJobs* will prompt search committee chairs/supervisors to verify the completion of all necessary affirmative action procedures. Search Committee chairs/supervisors should follow the "Check List for Affirmative Action Procedures" (Appendix F) and maintain any additional hard copy documentation within the search files.

#### VI. Procedures for Advertising

- A. There are several basic steps to advertising a position through *eJobs*. A vacancy exists when the division's vice president/chief authorizes a position to be filled. The receipt of a letter of resignation does not necessarily establish a vacancy in a particular department. The need for a line replacement must be established with approval from the dean and the vice-president/chief. This approval is documented through the submission of an advertising request through *eJobs*.

#### B. Position Advertisements

1. A position advertisement (Appendix G, Advertisements Short and Long Examples) is submitted through *eJobs*. For all current regular budgeted positions, the system will download basic data about the position as noted in the ETSU Banner system. Changes to this data can be made as needed to note current or requested changes to a position. *eJobs* will require all pertinent information be entered before saving or submitting the request to advertise. Job advertisements for newspapers, journals, internet sites, etc. should include the following information:
  - a. **College and Department where vacancy exists;**
  - b. **Position Title;**
  - c. **Description of Position** (search extended, re-advertisement, part-time, contingent upon grant funds, etc., see Advertising Definitions);
  - d. **Effective/Starting Date** (Fall 2010; Spring semester 2011; etc.);
  - e. **Description of Essential Functions;**
  - f. **Minimum Education and Experience Qualifications Required;**
  - g. **Application Deadline Date** (if the pool of potential candidates is small, a deadline date is not appropriate or required);

- h. **Application Review Date/Statement** (Review of applications will begin immediately and continue until the position is filled; Review of applications will begin September 2011 etc.); and
  - i. **Affirmative Action Statement.** Additional information may also include:
  - j. **Rank and Salary** (a noncommittal statement such as "commensurate with education and experience" allows for negotiation);
  - k. **Brief Description of the College and Department; Brief Description of the University and Community.**
2. **NOTE:** *Because ETSU uses an Electronic Application System, all applicants for ETSU positions must complete and submit an application through eJobs at [www.etsu.edu/jobs](http://www.etsu.edu/jobs) Suggested language for newspaper and journal advertisements: Apply at [www.etsu.edu/jobs](http://www.etsu.edu/jobs)*
  3. The Office of Human Resources presently uses the following standard description of the university and community:
    - a. East Tennessee State University is a regional state-supported institution serving approximately \_\_\_\_\_ students yearly, and is located in a beautiful, prosperous, Southern Appalachian Mountain community. The northeast corner of Tennessee, which surrounds Johnson City (population \_\_\_\_\_) is metropolitan in population (a million people within a seventy-five mile radius) but provides a friendly, small town atmosphere. The area abounds in scenic beauty and in places of historical interest.
  4. The Office of Human Resources will review all advertisements for proper content and will make any necessary changes. Major changes/problems in advertisement content, will be discussed with the department chair, or appropriate authority.
  5. **Reminders:**
    - a. Designate a deadline date for receipt of applications (unless your pool of applicants is expected to be small). When calculating a deadline date allow enough time for your request to be processed and consider lead times and publishing schedules for regional and national journals and publications.
    - b. Keep in mind that all faculty and administrative positions must remain open for a minimum of 30 days (calculated from the date the advertisement appears in national journals); all clerical/support positions must remain open for a minimum of 14 days.
    - c. All external advertisements must contain the following affirmative action statement: **East Tennessee State University is an Equal Opportunity/Affirmative Action Employer (or AA/EOE)**
    - d. All positions are required to be advertised on *Jobs at ETSU*, ([www.etsu.edu/jobs](http://www.etsu.edu/jobs)).
  6. Full-time and one year appointment faculty positions, must be advertised in *The Chronicle of Higher Education* and in an appropriate minority publication, i.e., *INSIGHT Into Diversity*, or *Diverse*. (*INSIGHT Into Diversity* is published once a month; *Diverse: Issues in Higher Education* is published twice a month; *The Chronicle* is published weekly.) Advertisements may also be placed in local and regional newspapers (Appendix H, Newspaper and Journal Listings).

7. Regular full-time and one year temporary administrative positions will require at least regional advertisements and/or national advertisements as determined by the Affirmative Action Officer.
8. Clerical/support positions are required to be advertised on *Jobs at ETSU*. Advertisements in local and regional newspapers are optional.
9. Exceptions to advertising in appropriate publications will be made after consultation with the Affirmative Action Officer for positions where advertisement in professional journals is required to reach potential applicants, i.e., College of Medicine physicians, professional positions and faculty, and coaching positions. Prior approval should be obtained from the Affirmative Action Officer.
10. The university has an annual agreement with HigherEdjobs.com to provide unlimited Internet advertising for vacant positions. Advertising on this site is free of charge to all university departments.
11. The Office of Human Resources will coordinate the posting of jobs upon request from the department. Please note when submitting your electronic recruitment plan that you wish to advertise using Higheredjobs.com.
12. The Office of Human Resources (HR) automatically “tweets” all job advertisements on the HR *Twitter* web page, <http://twitter.com/etsuhr>. The tweets list the job’s working title, department, and the direct *eJobs* link to the position. The Office of Human Resources also maintains *Facebook* and *LinkedIn* social networking sites. On these sites users may utilize links directly to the *eJobs* applicant web site and/or the Office of Human Resources’ homepage. Human Resources does not directly post vacant jobs on *Facebook* or *LinkedIn* sites.
13. There is no requirement to advertise one-semester temporary faculty positions or less than one-year temporary administrative positions. But, to advertise such positions, the same advertising steps must be completed; advertisement in national journals and minority publications would not be required.
14. Temporary one-year positions with benefits must be advertised.
15. Advertisements to be used at conferences, conventions, professional meetings, etc., must also be submitted to the Office of Human Resources ([jobs@etsu.edu](mailto:jobs@etsu.edu)) for approval.
16. All applicants must apply through ETSU’s Electronic Online Position and Employment System. All advertisements must direct applicants to “*Apply at www.etsu.edu/jobs*”.
17. Advertisements for Internet advertisement sites (free or paid sites) must also be submitted to the Office of Human Resources for approval. When purchasing access to a position listing site through eBucs, please remember that all applicable university search procedures remain in effect. Any changes to current advertisements and any new advertisements must be reviewed and approved through signatory channels before they can be listed on the Internet.

**C. Advertising Definitions**

Advertisements must contain a thorough description of the position. The following is a list of commonly used terms which, if apply, must be included in the job advertisement:

1. **Revised:** If you have advertised a position within the past 12 month period, and then decide to readvertise the position and revise the ad (upgrade

qualifications, change position duties and responsibilities, etc.), the new ad must state that it is Revised.

2. **Re-advertised:** If you have a position which has been advertised, the search has been closed, and you then decide to again advertise the position within a 12 month period, the new ad must state that it is a Re-advertisement.
3. **Contingent upon Grant or Extramural Funding:** A position which is funded in any part through a grant is Contingent upon Grant Funding. If funded in any part through outside funding (contract with local hospital) it is Contingent upon Extramural Funding.
4. **Search Extended:** If you have advertised a position within the past 12 month period, stating a deadline for receipt of applications, and then decide to re-advertise the position to obtain additional applicants, the new ad must state that the Search is Extended.
5. **Temporary:** Temporary employees are appointed for periods of less than one-year. Such positions must be designated as Temporary. Faculty who are not tenure track and have a one year appointment are also designated as Temporary.
6. **Part-time:** Academic and/or administrative personnel who are employed on a continuing basis, expected to exceed one year and who have a regular work week of less than 37.5 hours or who are scheduled to carry less than a full teaching load or its equivalent are part-time employees. Such positions must be designated as Part-time.

#### D. Employment Opportunities

1. Effective October 1, 2009 all regular budgeted university positions are posted to East Tennessee State University's Electronic Online Position and Employment System, *Jobs at ETSU*.
2. **eBucs Electronic Requisition System**
3. Effective in 2007, all requisitions are processed through the university's eBucs electronic purchasing system.
4. **eBucs Tips:** All advertisements must be processed on the eBucs system's Advertising Employment Screen. Requisitions must include start and end dates. Advertisements must be attached to the electronic requisition as a Word document. Requisition numbers for each journal/vendor must be listed on the electronic recruitment plan.
5. Advertisements to be placed "free of charge" in professional journals, newsletters, etc., should be noted on the electronic recruitment plan.
6. No advertisement should be posted prior approval by the Office of Human Resources. Please do not contact vendors directly to post advertisements. Vendors should be contacted for price quotes only.

#### E. Background Checks

1. Effective in October 2011, hiring departments must conduct background checks for new employees and volunteers in the positions listed below:
  - a. Positions with master key access
  - b. Cashiers and/or other personnel paying or receiving monies
  - c. Staff assigned the business, human resources, and procurement offices
  - d. New employees in housekeeping and maintenance who have access to student rooms and/or apartments

- e. New employees in information technology who have direct access to student rooms and/or apartments
  - f. New staff hired in student housing with access to student rooms and/or apartments
  - g. Critical positions as identified by the University President
  - h. Candidates for any position that self-identify on employment application that they have committed a felony
  - i. Additional state and/or federally mandated background checks or screenings
2. The requirement to conduct a background check must be stated in the position advertisement. Those hiring departments that conduct employee background checks through state registries and/or the TBI in accordance with state and/or federal law must also state such requirement in the position advertisement. See PPP-77, Background Checks.

## VII. The Applicant Pool

- A. In accordance with the university's Affirmative Action Plan the search committee/supervisor must create a broad and diverse pool of applicants. The applicant pool must generally reflect the availability data for the defined vacancy, as determined by the appropriate job group in the university's Affirmative Action Plan.
- B. To enlarge the pool of applicants, position advertisements should be placed in a variety of professional and minority publications; direct contacts should be made with qualified other-race individuals; and nominations must be sought from institutions, groups, and/or individuals likely to generate diverse applicants.
- C. The Affirmative Action Officer must review and approve through *eJobs*, all applicant pools prior to the scheduling of interviews. After reviewing all candidate applications/resumes/vitas, the search committee chair/supervisor will choose those applicants they wish to interview, and note why other candidates were not chosen for interview. This information is inputted into the electronic system, i.e., *Recommended for Interview, Not Recommended for Interview*, etc. The chair/supervisor will then submit an email through their appropriate chain of command to the Affirmative Action Officer requesting to certify the pool of candidates and conduct interviews.
- D. All candidates *Recommended for Interview* must be interviewed. Committees have the option to recommend additional candidates as alternates to be interviewed if necessary. Denote alternates as *Recommended Alternate for Interview*.
- E. The Affirmative Action Officer must approve the use of telephone or electronic interviewing methods prior to the interview. In *eJobs* note that a candidate is *Recommended for Phone/Electronic Interview*, and advise the Affirmative Action Officer in your e-mail that you wish to use telephone, *Skype*, video conferencing, etc., methods to interview candidates.
- F. **For the Divisions of the Chief Financial Officer, Chief Operating Officer, University Advancement, and Health Sciences**
  - 1. An email must be sent directly to the Affirmative Action Officer (equity@etsu.edu) asking for the pool to be reviewed and certified. The email (Appendix I, Sample E-mail for Pool Certification) should include the posting number, title of the position, contact information for questions, and certification that professional and personal references have been checked on the recommended candidates. You will receive approval to begin interviews via email from the Affirmative Action Officer or his/her designee. Only



applicants with a status of *Approved for Interview* may be interviewed. Comments about the pool candidates who are not certified will be included in the email from Affirmative Action.

**G. For the Division of Academic Affairs**

1. In the College of Arts and Sciences, College of Education, College of Business and Technology, School of Continuing Studies and Academic Outreach, School of Graduate Studies, University Libraries, and Honors College an email must be sent to the Chair asking for the pool to be reviewed and approved. The email (Appendix I, Sample E-mail for Pool Certification) should include the posting number, title of the position, contact information for questions, and certification that professional and personal references have been checked on the recommended candidates. The Chair must forward his or her approval to the Dean, and the Dean must forward his or her approval to the Affirmative Action Officer (equity@etsu.edu), who will review and certify the pool.
2. All other areas within Academic Affairs should verify with their Vice Provost whether or not the pool must be reviewed before submission to the Affirmative Action Officer. If no review is required, the pool should be submitted directly to the Affirmative Action Officer (equity@etsu.edu) for certification.

H. Please see the *eJobs Information Page* ([www.etsu.edu/humanres/hiring/ejobsinfo.aspx](http://www.etsu.edu/humanres/hiring/ejobsinfo.aspx)) for additional information.

I. In addition, some Upper Level administrative vacancies require submission to the ETSU Board for approval prior to the scheduling of interviews. These upper level administrators include all vice presidents, chiefs, executives reporting directly to the President (including interim appointments), and directors and chairs of the centers of emphasis and excellence.

**VIII. Campus Visits and Interviews**

**A. Coordination of Campus Visit**

1. For faculty, executive, upper level administrative and certain professional positions university recruitment accounts **may** be used to cover the costs of the campus visits. Contact the dean or vice president/chief's office for the account to be used. Search committees who are recruiting candidates for positions not covered under university reimbursement accounts, should extend to out-of-town candidates similar courtesies as those mentioned below. All search committees must remember that a candidate's first impression of the university comes from their interaction with the search committee.
2. The number of candidates a search committee decides to interview is dependent upon the uniqueness of the position and the size and quality of the applicant pool. Usually three to five candidates are invited to visit the campus for personal interviews. Positions should not be filled, as a rule, with only one person interviewed.
3. The committee should seek approval from the dean/director and/or the vice president/chief on the number of candidates to be brought to campus for interviews.
4. For accounting purposes, it is preferred that candidates pay their own hotel and transportation costs for which they will be reimbursed. Travel advances are not available, but the Office of Financial Services provides quick

turnaround on reimbursement. Encourage candidates to submit their travel reimbursement forms as soon as possible.

5. Transportation costs for spouses who accompany the candidates will not be reimbursed, except under special circumstances approved in advance by the vice president/chief.
6. Hotel reservations should be made for the candidate. The reservations clerk may need to be told that the university will guarantee late arrivals.
7. Each candidate should be transported to and from the airport by a search committee member.
8. Local transportation should be provided by a member of the search committee to transport the candidate to and from the university for dining occasions. These arrangements should be made prior to the candidate's arrival in Johnson City.
9. Each candidate should be given a name and home telephone number of a search committee member to contact in case of emergency.
10. Candidates should be mailed an information packet about ETSU and the Tri-Cities area prior to their visit. Include such items as an Accent and Catalog, and specific program information related to the position which is vacant. The Office of University Relations may have additional items to be included in the packet. Contact the Chamber of Commerce for additional information concerning Johnson City and the surrounding area.
11. The "Compensation Calculator" allows search committee chairs to calculate a candidate's proposed total compensation, including university payments for retirement, health/life insurance, FICA, FICA-Med, 401K, and longevity. This calculator may be valuable when discussing salaries and benefits with potential candidates. You may access the calculator here, <http://etsupws.etsu.edu/CompensationCalculator/>.

**B. Coordination of Campus Interview Appointments**

1. For faculty, executive, upper level administrative and certain professional position, members of the search committee should accompany the candidate to lunch and dinner. In order to minimize expenses, discretion must be used in determining the number of committee members who will accompany the candidate to meals. Should the candidate bring his/her spouse, the spouses of the committee members would also be welcome. Retain receipts for all meals and indicate on the expense voucher the names of all people dining with the candidate. Turn in all expense vouchers with receipts to your vice president/chief's office via the office of the dean. (Prior approval should be obtained from the appropriate vice president/chief regarding payment of meals for spouses of committee members.)
2. Candidates and committee members should know that tips and alcohol are not reimbursable.
3. An "Interview Schedule" (Appendix J, Sample Interview Schedule) and a listing by name and title of search committee members should be developed for the candidate's visit, and distributed to the candidate and those participating prior to the visit.
4. A hard copy of the candidate's curriculum vitae/resume and application (or guest access to *eJobs*) and the Interview Schedule should be made available to those persons on campus involved in the interview.

5. Persons to include in the Interview Schedule should be determined in consultation with the department chair/director and dean. All faculty in the department should have an opportunity to meet each candidate.
6. The Provost/Vice President for Academic Affairs is usually not involved in the interview process except for candidates at the level of professor, department chair or equivalent positions, or executive/upper level administrative positions. However, if such an interview is deemed necessary by the dean, it should be arranged.
7. The Vice President for Health Affairs and the Associate Vice President interview all dean candidates. The Associate Vice President interviews all faculty and chair candidates.
8. Note: Check with the appropriate vice president/chief to determine their requirements to be involved in the interview process.
9. The interview schedule should include an appointment with the Office of Human Resources to discuss employee benefits.
10. Candidates are easier to compare if the same questions are used in each interview. Search committees need to keep in mind the position description and the needs of the department.
11. There are questions or inquiries that must be avoided in the interview process, including those during the informal time spent with the candidate. The *Pre-Employment Inquiry Guide*, Appendix K, has a list of permissible inquiries, and a list of inquiries which must be avoided.
12. A time for informal conversation should be a part of the interview schedule. The candidate should also be given an opportunity to ask questions; an interview is a mutual exchange of information.

**IX. The Americans with Disabilities Act and the Search Process**

- A. The Americans with Disabilities Act (ADA) of 1990 was signed into law on July 26, 1990 and amended through the ADA Amendments Act of 2008 (ADAA). The Act gives civil rights protection to individuals with disabilities similar to those rights provided to individuals on the basis of race, color, religion, national origin and sex (Civil Rights Act of 1964). To be protected under the ADA, an employee or an applicant for employment must meet the definition of the term "disability," as stated in the law. Under the ADA, an individual with a disability is a person who has: (1) a physical or mental impairment that substantially limits one or more major life activities; (2) a record of such an impairment; or (3) is regarded as having such an impairment.
- B. The ADA makes it unlawful to discriminate in all employment practices such as: recruitment, hiring, promotion, training, lay-off, pay, firing, job assignments, leave, benefits, and all other employment related activities. Search committee members and search chairpersons must not discriminate against applicants with disabilities during the advertising, interviewing and hiring processes.
- C. The law prohibits using qualification standards, employment tests or other selection criteria that screen out an individual with a disability unless the qualification standard, test or other criteria, is shown to be job-related for the position.
- D. Advertisements**
  1. Position advertisements are required to include a list of the position's "essential functions." As stated in the Equal Employment Opportunity Commission's rules and regulations (29 CFR, Part 1630, Equal Employment Opportunity for Individuals With Disabilities; Final Rule), the determination of

which functions are essential can be critical to the determination of whether or not the individual with a disability is qualified. A job's essential functions are those functions that must be performed by an individual unaided or with a reasonable accommodation. A job function may be determined as "essential" when one or more of the following apply: (1) The position exists primarily to perform the function(s) and the absence of the function(s) would alter the job; (2) The number of other employees among whom the performance of the job function(s) can be distributed is limited; (3) The function(s) requires a highly specialized skill, expertise or ability to perform the function(s). 21

2. Secondary position functions may also be listed in the advertisement; however, selection criteria (minimum qualifications) must be based on the requirements needed to perform the essential functions.

#### **E. Pre-Employment Testing**

1. Under the ADA, employers may use pre-employment tests as selection criteria. The tests must be administered to all applicants seeking similar employment. If the tests tend to screen out applicants with disabilities, the employer must demonstrate that the test is job related and consistent with business necessity.
2. The Office of Human Resources discontinued the administration of mandatory typing tests for all clerical positions effective October 1, 2008. Departments are discouraged from independently administering any pre-employment tests. Those departments desiring to administer pre-employment tests, i.e., computer software application, typing tests, etc., must seek prior approval in writing from the Office of Human Resources.

#### **F. Interviewing**

1. Pre-employment questions regarding the nature or severity of disabilities may not be asked during the interviews or throughout the search process. The following interviewing guidelines are adapted by permission from the authors of *College and University Personnel Association ADA Compliance Manual for Higher Education; A Guide to Title I*, 1992 (Chapter 6), and should be applied throughout the entire search process.

#### **G. Inquiries You Cannot Make**

1. These are examples of questions that cannot be asked in interviews or during reference checks.
2. DO NOT ask questions about whether the individual has a current disability or a past disability.
3. DO NOT ask whether the individual has any serious illness (such as AIDS), back problems, a history of mental illness or any other physical or mental condition.
4. If the individual has a disability that is obvious to the interviewer (such as an applicant that is missing a limb or uses a wheelchair),
5. DO NOT inquire how the individual became disabled or the prognosis for the applicant.
6. DO NOT ask questions about the nature or severity of the applicant's disability.
7. DO NOT comment in any way on the individual's physical condition except as described below.

8. DO NOT ask whether the individual wears a hearing aid or needs to wear glasses while on the job.
9. DO NOT ask questions about the applicant's past-on-the-job injuries.
10. DO NOT ask about the applicant's medical problems by requesting the applicant to identify if he or she has or has ever suffered from a list of ailments, such as: diabetes, ulcers, back problems, heart conditions, hearing problems, hepatitis, arthritis, migraines, visual problems
11. DO NOT ask whether the applicant has ever been treated for any mental condition.
12. DO NOT ask applicants to list any conditions or diseases for which they have been treated in the past.
13. DO NOT ask whether the individual has ever been hospitalized and, if so, for what condition.
14. DO NOT ask whether the individual has ever been treated by a psychiatrist or psychologist and, if so, for what condition.
15. DO NOT ask whether applicants have had a major illness in prior years, or whether they have any current illnesses.
16. DO NOT ask whether the applicant has ever been treated for drug addiction or alcoholism.
17. DO NOT ask how many days the applicant was absent from work last year because of illness.
18. DO NOT ask whether applicants are taking or have been taking any prescribed drugs.
19. DO NOT ask whether the applicant has a sexually transmitted disease, such as the HIV virus.
20. DO NOT ask whether an applicant has ever requested and/or received assistance or assistive devices in performing past jobs.
21. DO NOT inquire about an applicant's past or current need for or receipt of medical or disability benefits.
22. DO NOT ask about an applicant's past drug use or alcohol use.
23. DO NOT ask any questions regarding whether an applicant is or ever has been a drug addict or an alcoholic.
24. DO NOT ask whether the individual has ever filed a workers' compensation claim.
25. DO NOT ask whether the individual has ever received an award of workers' compensation benefits.
26. DO NOT ask whether an individual has ever been found to be disabled.
27. DO NOT ask whether the individual has a spouse, children or other friends with disabilities.
28. DO NOT ask about problems the individual has had because of a disability.
29. DO NOT ask questions of applicants with disabilities that you do not ask of other applicants, except as described below.
30. DO NOT ask whether the individual has any disabilities or impairments that may affect performance in the position.
31. DO NOT ask whether the applicant has any physical defects that preclude the applicant from performing certain kinds of work, or ask the applicant to describe such defects or specific work limitations.

## **H. Inquiries You Are Permitted To Make**

1. These are questions you may ask in interviews or during reference checks if they are asked of all persons applying for a particular category of job, regardless of disability.
2. YOU MAY ask whether the individual needs any reasonable accommodations or assistance during the hiring or interviewing process.
3. YOU MAY ask about the individual's ability to perform essential job functions.
4. YOU MAY give the individual a copy of the job description that identifies all essential functions and ask whether the individual is able to perform all of those essential functions with or without a reasonable accommodation. (ETSU Note: It is not however permissible to ask anything else that relates to reasonable accommodation except in situations described in "Final ADA Guidance on Interviews", see below)
5. YOU MAY describe the job and ask whether the individual can perform those functions.
6. YOU MAY ask about current use of illegal drugs or current alcohol use.
7. YOU MAY state the institution's standards and expectations and ask if the individual can meet those standards. For example:
8. YOU MAY state the drug policy;
9. YOU MAY state the standards against on-the-job alcohol consumption;
10. YOU MAY state the smoking policy;
11. YOU MAY state the standards for attendance, including the availability or lack of availability of leave for newly hired employees;
12. YOU MAY state the expectations for a particular position.
13. YOU MAY ask questions about any of the qualifications that are required for the position, including: Education; Experience; Licenses; Training; Basic reading and writing skills; mathematical skills; and other minimum qualification standards determined to be defensible that do not expressly relate to physical or mental conditions.
14. YOU MAY ask about the individual's attendance at prior jobs, if the question is limited to days off or number of days late for any reason, and is not limited to days missed due to illness.
15. YOU MAY ask whether the individual has ever been involved in an accident on-the-job that injured co-workers or members of the public.
16. YOU MAY ask about an individual's accident record, especially accidents involving injury to property (such as traffic accident history for persons who will do driving) if you avoid questions about the individual's own injuries.
17. YOU MAY ask an individual how he or she could perform tasks, and with what accommodations, if the applicant indicates that he or she can perform the tasks with an accommodation.
18. YOU MAY ask an individual to voluntarily disclose whether he or she has a disability.

## **I. Questions You May Ask**

1. If the individual has an obvious disability or another disability known to you that you believe may interfere with or prevent the individual from being able to perform the essential functions of the job:

- a. YOU MAY ask the individual to explain or demonstrate how he or she can perform the essential functions of the job, with or without a reasonable accommodation.
- b. If an applicant has a known or obvious disability that would not interfere with or prevent performance of the job, you CANNOT ask or require the applicant to demonstrate performance of a job function, unless all applicants for those positions are required to do so.

**J. Inquiries You Must Make During the Hiring Process**

- 1. If the individual indicates that he or she has a disability and may require a reasonable accommodation during the application and hiring process; or at the pre-offer stage, an otherwise qualified individual indicates that he or she may require a reasonable accommodation to perform essential job functions:
  - a. YOU MUST inquire about the types of accommodations the individual believes may be necessary.
  - b. YOU MUST make inquiries with the individual and, if necessary, with others, as to the nature and costs of the accommodations that may be necessary.
  - c. If the individual has an obvious disability or a disability known to you that you believe will interfere with the *applicant's ability to complete the pre-employment procedures, including pre-employment testing,*
  - d. YOU MUST raise that concern with the individual and inquire whether the individual will require any reasonable accommodation during the hiring process.

**K. Final ADA Guidance on Interviews**

- 1. Final guidance regarding pre-employment interviews was issued by the Equal Employment Opportunity Commission on October 10, 1995. Two pre-employment questions may be asked by employers to applicants:
  - a. Will you need a reasonable accommodation to perform the functions of the job?
  - b. What type of accommodation will be needed?
- 2. **Important:** These two pre-employment questions may only be asked if the employer becomes aware of the possible need for an accommodation under one of the following circumstances:
  - a. The applicant enters the interview and has an obvious disability. Obvious disabilities are considered to be mobility, visual, hearing, speech and amputees.
  - b. The applicant voluntarily discloses during the interview that they have a hidden disability.
  - c. The applicant voluntarily discloses that he/she needs reasonable accommodation during the interviews.

**L. Reasonable Accommodation**

- 1. An applicant is considered a "qualified individual with a disability" if the applicant can perform the essential functions of the position with or without reasonable accommodation. An accommodation is any change in the work environment or in the way things are customarily done that enables an individual with a disability to enjoy equal employment opportunities.
- 2. Standards for determining whether an accommodation to an otherwise qualified disabled applicant or employee is "reasonable" or imposes an

"undue hardship" are adopted from the principles and considerations *outlined in the College and University Personnel Association ADA Compliance Manual for Higher Education: A Guide to Title I, 1992 (Chapters 9 and 10)*.

3. For the accommodation to be "reasonable":
  - a. It must be effective.
  - b. It reduces barriers to employment related to the person's disability.
  - c. It need not be the best accommodation available, as long as it is an effective accommodation.
  - d. It is not primarily for personal use.
  - e. An accommodation which exceeds ADA's requirements will not set an adverse precedent. It is made with respect to the known limitations of an otherwise qualified individual with a disability.
  - f. Some examples of "reasonable" accommodations:
    - i. Reassigning a disabled employee to a vacant position.
    - ii. Making existing facilities used by employees readily accessible to and usable by individuals with disabilities.
    - iii. Allowing part-time or modified work schedules.
    - iv. Acquiring or modifying equipment or service. For the accommodation to impose an "undue hardship":
  - g. The cost of providing the accommodation would have a significant impact on the financial resources of the institution.
  - h. The accommodation would fundamentally alter the way the job is performed and have a detrimental effect on the operation of the university in that it would substantially disrupt the provision of services.
  - i. The cost of providing the accommodation would jeopardize the institution's ability to continue to provide essential services and academic programs to students and employees.
  - j. Some examples of accommodation which would impose an "undue hardship" to the university:
    - i. Providing the accommodation would render an economic blow resulting in the layoff of other employees.
    - ii. Providing the accommodation would result in the closure of essential academic programs or services for students and employees.
    - iii. Providing the accommodation would necessitate reallocating essential functions of the position to other employees.
4. The following steps will be taken to ensure adequate documentation of any decisions regarding refusal to hire or promote due to undue hardship:
  - a. The supervisor will submit through supervisory channels to the Office of Human Resources a detailed statement of justification for the decision regarding refusal to hire or promote due to undue hardship. It will include, as a minimum, the following information:
    - i. Job description (including essential functions of the position).
    - ii. Description of the disability.
    - iii. Type of accommodation requested by the employee/applicant.
    - iv. Estimated cost of the requested accommodation.
    - v. Description of any non-cost effects of the requested accommodation.



- vi. Justification of why the accommodation should not be provided.
- vii. Impact on financial resources, programs, and services if the requested accommodation is provided.
- viii. Alternative accommodation proposed, if any, and whether it would be effective.
- b. The Office of Human Resources will review justification and consult with the supervisor, the
- c. Affirmative Action Officer, the employee/applicant, and other university officials as appropriate.
- d. A written recommendation on the supervisor's request will be submitted to the Chief Operating Officer and/or the President, as appropriate, for final decision.

**X. Moving Allowance**

- A. Newly hired full-time employees who relocate from their former residence to a new residence within the first 12 months of employment may be issued a one-time moving allowance, if deemed appropriate through the approvals of the Moving Expense Allowance Request Form (See Attachment M).
- B. If the institution recruits and hires more than one person from the same family, only one moving allowance is permitted.
- C. To be eligible to receive a moving allowance and to comply with the current guidelines published by the Internal Revenue Service (IRS), the move must meet the minimum IRS distance test of 50 miles from the location of the former residence.
  - 1. For example, if the location of the former workplace was 3 miles from the employee's former home, the location of the employee's new workplace must be at least 53 miles from the employee's former home.
  - 2. If the employee did not have a former workplace, the new workplace must be at least 50 miles from the employee's former home.
  - 3. The distance between the two points is the shortest of the more commonly traveled routes between them.

**D. Arranging for Moving and Payment**

- 1. The moving allowance is paid directly to the employee, reported as taxable income, and is subject to all tax liability at the time of payment. The amount of the moving allowance will be included in boxes 1, 3, and 5 of the employee's W-2.
- 2. The employee will make all arrangements for the move without the involvement of the institution.
- 3. The employee does not submit moving expense receipts to the institution, but is advised to keep them for personal tax return purposes.
- 4. The employee may be able to recover the income tax withheld by filing the appropriate IRS forms with their tax return (IRS Form 3903 Moving Expenses).
  - a. This recovery is dependent on the IRS regulation in force at the time of payment.
  - b. The employee receiving the moving allowance will be responsible for documenting expenses on their federal tax return required by IRS Publication 521 Moving Expenses.
- 5. Advance approval from the Supervisor, Chair, Dean and Vice President/Chief is required for moving allowances through the completion of the Moving

Expense Allowance Request Form. Once approval is granted, the potential employee is also required to sign the Moving Expense Allowance Request Form before the hiring process is begun. This is to provide knowledge of the tax implications to all parties if the allowance is approved through the hiring process and the potential employee is made an official position offer by the University.

**6. Other Provisions**

- a. Moving allowances will be paid only after a Moving Allowance Agreement is executed between the employee and the institution. (See attachment B, which is completed by the Office of Human Resources when the contract is generated.)
- b. All required forms for new employees, including fully executed employment contract, moving allowance agreement and the ETSU employment application, I-9 (plus documentation), Tennessee Lawful Employment Act documentation, copy of Social Security card, W-4, and direct deposit, must be received in the Office of Human Resources, as appropriate, by the 10th or the last working day prior to the 10th for the end of the month payroll, (by the 3rd or the last working day prior to the 3rd in December), and by the 25th of the previous month or the last working day prior to the 25th for the 15th payroll to ensure payment.
- c. Payments authorized by the actions completed after the cut-off dates will be included on the next regular payroll for that person.
- d. All payments must be made within twelve (12) months of the date employment begins for new employees or relocation occurs for relocated employees.
- e. The agreement on the amount of the moving allowance to be paid should be clearly understood in writing between the employee and the institution.
- f. The institution shall assume no liability whatsoever for personal injuries, property damages, or other losses which may be sustained in connection with any moves undertaken pursuant to these regulations.
- g. In consideration for the Institution paying a moving allowance, the employee agrees to remain employed by the Institution for a period of at least one year. For faculty appointed on an academic basis, one year is defined as one regular academic session (Fall and Spring Semesters, nine months). For all other annual faculty and employees, one year is defined as twelve months. Should the employee voluntarily leave employ prior to completion of that year, the employee will be liable to the Institution for all moving expenses which the Institution has paid (to or on behalf of the employee), together with the reimbursements and all payroll taxes withheld by the Institution in connection with such expenses. If the employee is terminated for cause during the first year, the Institution may seek reimbursement of the moving expenses.

**XI. Immigration Expense Allowance**

- A. New employees may receive reimbursement for immigration expenses when considered to be in the interest of the institution and when such payment is a part of the employment negotiation with a new employee or the relocation of a current

- employee from another employer or institution. Reimbursement/fee allowance for immigration fees must be approved in advance by the President or his/her designee.
- B. This provision applies only to candidates who are required to pay immigration fees to work and live in the U.S. No employee may receive reimbursement more than once.
  - C. No payment shall be made unless the employee agrees in writing to remain in the service of the institution for a period of twenty-four (24) months following the effective date his/her employment agreement, unless separated for reasons beyond his/her control and acceptable to the institution. The service agreement statement should be maintained in the employee's personnel file. In case of a violation of such an agreement, any funds expended by the institution for such allowance shall be recoverable from the employee as a debt due the institution in the same manner as educational allowance payments. (Service Agreement is prepared by the Office of Human Resources.)
  - D. Reimbursement shall be in the maximum amount of \$4,500 and shall not exceed the employee's actual, documented expenses. The allowance cannot be used to defray nonimmigration-related costs or any costs not associated with the individual employee's immigration expenses.
  - E. Reimbursable fees include: fees charged by a licensed immigration attorney retained in connection with the application, filing, permanent residence fee, fee for any application to enter the U.S., fee for application to remain in the U.S., and associated fees required in the application process, such as medical examinations, fingerprinting, photo identification, postal/courier fees, and costs of evaluating foreign academic credentials or translations of foreign documents.
  - F. The employee is responsible for making arrangements for representation, completion of paperwork, assistance in the immigration process, and submission of all bills and/or invoices for which reimbursement is sought. Faculty may submit a claim for reimbursement by sending a request with original receipts to the Provost/Chief Academic Officer or Vice President/Chief.

## **XII. Hiring of Temporaries and Adjunct Faculty**

- A. Temporary employees are generally hired for emergency and/or peak period situations, i.e., registration, school opening, etc. Temporary positions are defined as those positions expected to last one calendar year or less. Due to the nature of temporary positions, most will not require advertising. Temporary appointments are approved for a maximum of one calendar year. If a limited continuation is necessary, a break in service of 14 calendar days must occur before a continuation can be approved.
- B. Temporary employees are paid on the 15th and last working day of the month - they are not paid current. For example, work between the 1st and 15th of the month will be paid on the last working day of the month.
- C. Adjunct Faculty are defined as all faculty whose temporary appointments are based on demand each semester.
- D. **Procedures for Hiring Temporary Employees and Adjunct Faculty**
  - 1. When an employee is hired on a temporary or adjunct basis, a "Request to Hire," or "Faculty Appointment" accompanied by an application form\* is forwarded through proper signatory channels prior to the date the employee is needed.
  - 2. All hire packets must include the employee's I-9, W-4, and direct deposit information found on the Human Resources website - and forwarded

- separately from the Request to Hire or Faculty Appointment and Application for Employment to the Office of Human Resources.
3. Newly hired temporary employees should be paid at the minimum entry rate up to 90% of the midpoint in the pay level corresponding to their job classification. Hourly wages for students hired as temporaries should be consistent with student wages authorized by the Office of Financial Aid. Grant funded positions must also comply with these guidelines.
  4. In accordance with the University President's memorandum, dated June 22, 1990, no employee is to be allowed to begin work prior to notification from the Office of Human Resources that the appointment has been approved. At that time, the department should contact the employee and set a starting date. Employees who begin work prior to the approval and completion of their required paperwork in the Office of Human Resources will not be paid by East Tennessee State University for the time worked. Department heads that allow potential employees to begin work prior to formal approval may be personally liable for wages due during the period prior to formal approval being obtained.
  5. **Temporary employees must complete an application through eJobs. Adjunct Faculty must complete a Faculty Profile through eJobs and attach a curriculum vita. The application or faculty profile should be printed and signed by the applicant and given to the department to submit with the Request to Hire or Faculty Appointment.**

## Appendices

- A. Candidate Rating Form
- B. Evaluation of Oral and Written English Proficiency
- C. Reference Checks/Telephone Conversation Notes
- D. Historically Black Colleges and Universities
- E. Personal Contact Log
- F. Check List for Affirmative Action Procedures
- G. Advertisements Short and Long Examples
- H. Newspaper and Journal Listings (
- I. E-mail Request to Certify Applicant Pool for Interview
- J. Sample Interview Schedule
- K. Pre-Employment Inquiry Guide
- L. Diversity Links
- M. Moving Expense Allowance Request Form
- N. Moving Expense Agreement DRAFT
- O. Search Committee Confidentiality

**Policy Title:** Alcoholic Beverages, Smoking and Tobacco Use

**Policy Type:** Student                      **New/revised:** Revised

**Old Policy #:** 1:07:00:00 and 3:05:01:01

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is the establishment of alcoholic beverage and smoking policy for property owned or controlled by East Tennessee State University.

## **Policy**

- I. Alcoholic Beverages
  - A. The use and/or possession of alcoholic beverages on university owned or controlled property shall be prohibited except as provided below.
  - B. The President may from time to time designate a place on property owned or controlled by the institution where alcoholic beverages may be served by alumni and foundation organizations at a function or event sponsored by said organization.
  - C. This area shall not be in classrooms, labs, faculty or administrative offices, residence halls, student dining halls, student gathering areas, outdoor public areas, or athletic facilities accessible to the public. Furthermore, the use and/or possession of alcoholic beverages by students are prohibited on property owned or controlled by the institution.
  - D. The sale of alcoholic beverages at the designated place is prohibited. State funds may not be used for the purchase of alcoholic beverages.
  - E. If Property owned by the University is disposed of by lease, it is permissible for the tenants of the lessee(s) to sell alcoholic beverages subject to approval by the institution of the tenants occupying the leased property.
  - F. Compliance with all applicable laws and regulations shall be required.
  - G. This policy shall not be construed as prohibiting the use of alcoholic beverages as cooking supplies in hospitality management/culinary arts related academic coursework where said beverages are not consumed as is, but, in which, the beverages are used solely in the cooking process, or in the wine tasting process, in a manner that is consistent with standard culinary practices.
- II. Smoking and Tobacco Use
  - A. Effective August 11, 2008, ETSU is a Tobacco-Free Campus with smoking and all other tobacco usage permitted only in private vehicles. This policy applies to all university buildings/grounds; ETSU-affiliated off-campus locations and clinics; any buildings owned, leased, or rented by ETSU in all other areas; and ETSU facilities located on the campus of the James H. Quillen Veterans Affairs Medical Center at Mountain Home. Tobacco use is also prohibited in all state vehicles. This tobacco-free policy is in effect 24 hours a day year-round.
  - B. For purposes of this policy, "tobacco use" means, but is not limited to, the personal use of any tobacco product, whether intended to be lit or not, which shall include smoking tobacco or other substances that are lit and smoked, as well as the use of an electronic cigarette or any other device intended to simulate smoking and the use of smokeless

tobacco, including snuff; chewing tobacco; smokeless pouches; any form of loose-leaf, smokeless tobacco; and the use of unlit cigarettes, cigars, and pipe tobacco.

1. Background

The university promotes a healthy, sanitary environment free from tobacco smoke and tobacco-related debris. The ETSU community acknowledges that long-term health hazards may accrue to people who use tobacco products or who are subjected to second-hand smoke. The failure to address the use of tobacco products on campus would constitute a violation of the Americans with Disabilities Act, the Vocational Rehabilitation Act and Tennessee law.

2. Support

Understanding the addictive nature of tobacco products, ETSU will make every effort to assist those who may wish to stop using tobacco. The university offers current information about available resources via the Smoking Cessation Resources page.

3. Compliance

It is the responsibility of all members of the ETSU community to comply with this Tobacco-Free Campus Policy. Violations of the policy will be dealt with in a manner that is consistent with university procedures. There shall be no reprisals against anyone reporting violations of this policy.

4. Enforcement Policy

- C. Violations to the tobacco free policy, particularly reoccurring violations, are to be reported to Public Safety 439-4480.
- D. Any violator of the policy who refuses to comply or who becomes abusive toward the responsible party will be handled by Public Safety.

**Policy Title:** Confidentiality of Student Records

**Policy Type:** Student                      **New/revised:** Revised

**Old Policy #:** 3:02:03:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is the establishment of policy to protect the confidentiality of records for students of East Tennessee State University.

**Policy**

- I. It is the policy of East Tennessee State University to comply with the Family Educational Rights and Privacy Act ("Buckley Amendment") and, in so doing, to protect the confidentiality of personally identifiable educational records of students and former students.
  - A. Each faculty and staff member employed by the University is individually responsible for complying with the Buckley Amendment, and violations may subject the faculty or staff member to disciplinary action.
  - B. Appropriate references to this policy shall be included in each faculty and staff handbook and shall be included in orientation sessions for new employees who work with or have access to student records.
- II. The University shall develop procedures consistent with this policy, and students shall be informed annually of their rights under said University policy and procedures.

**Policy Title:** Student Organizations

**Policy Type:** Student **New/revised:** Revised

**Old Policy #:** 3:01:01:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The following policy provides minimum standards for the registration and conduct of student organizations at East Tennessee State University. The ETSU Board of Trustees authorizes the university to establish additional policies and procedures affecting student organizations which are consistent with the provisions of this policy.

## **Policy**

- I. Types of Student Organizations
  - A. Student organizations may be either organizations sponsored by the institution, such as the student government association, associated student body organizations, and professional and honor societies, or organizations officially registered by the institution.
  - B. Organizations which may be registered to operate on campuses include the following:
    1. Honors and leadership organizations and recognition societies;
    2. Departmental organizations and professional fraternities and sororities;
    3. Social fraternities and sororities; and
    4. Special interest groups (political, religious, athletic, etc.).
  - C. Registration of a student organization by an institution shall neither constitute nor be construed as approval or endorsement by the institution of the purposes or objectives of the organization.
- II. General Policies on Student Organizations
  - A. No student organization may carry on any activity on the campus of an institution unless the organization has been officially registered by the institution.
  - B. No institution shall be responsible for injuries or damages to persons or property resulting from the activities of student organizations, or for any debts or liabilities incurred by such organizations.
  - C. No student organization shall deny membership to any person on the basis of age, race, sex, religion, handicap or national origin, provided that social fraternities and sororities may have sex restricted membership, subject to the following exceptions:
    1. No office that grants recognition to any student organization shall discriminate against or deny recognition to a student organization, or deny to a student organization access to programs, funding, or facilities otherwise available to another student organization, on the basis of:
      1. The religious content of the organization's speech including, but not limited to, worship; or
      2. The organization's exercise of its rights pursuant to subsection 2.
    2. A religious student organization may determine that the organization's religious mission requires that only persons professing the faith of the group



and comporting themselves in conformity with it qualify to serve as members or leaders.

- D. No student organization or individual shall engage in or condone any form of hazing.
    - 1. Hazing shall include, but is not limited to:
      - 1. Any action taken, or situation created intentionally, to produce mental or physical discomfort, embarrassment or ridicule;
      - 2. Any form of verbal or physical harassment or abuse; and
      - 3. Engaging in public stunts, morally degrading or humiliating behavior or games, whether on or off campus.
      - 4. Excessive demands on a student's time so as to interfere with academic performance are prohibited.
      - 5. Threatening in any manner or form for the purpose of cajoling individuals into secrecy in regard to breaches (planned, threatened, attempted, or perpetrated) of hazing violations also is prohibited.
      - 6. Hazing activity which is in violation of any other institution regulation such as the misuse of alcohol, drugs, institution property, etc., is strictly forbidden.
  - E. Student organizations shall be vicariously responsible and liable for the conduct and actions of each member of the organization while acting in the capacity of a member or while attending or participating in any activity of the organization.
  - F. No person, group or organization may use the name of the institution in any manner, provided that registered student organizations may use the name of the institution following the name of the organization.
  - G. No person, group or organization may use the seal or any symbol of the institution without the prior written approval of the president or director of the institution, or his or her designee.
- III. Criteria for Registration of Organizations
- A. Any proposed student organization shall be open to all students of the institution who otherwise meet membership requirements.
  - B. Membership in the organization shall be limited to currently enrolled students; provided that organizations may include faculty and staff of the institution, and/or spouses of students, faculty and staff, and provided further that professional organizations may include members of the professional and business communities as members.
  - C. A proposed organization must represent the interests of the members, and the control of the organization must be within the local campus group.
  - D. The organization must not have a knowing affiliation with an organization possessing illegal aims and goals, with a specific purpose to further those illegal aims and goals.
  - E. The proposed organization must agree to comply with all policies, regulations and procedures established by the Board and the institution, and with all federal and state laws and regulations.
  - F. The proposed organization must not:
    - 1. Have illegal aims and goals;
    - 2. Propose activities which would violate regulations of the Board or the institution, or federal or state laws and regulations, or materially and substantially disrupt the work and discipline of the institution; or
    - 3. Advocate incitement of imminent lawless action which is likely to produce such action.

- G. The proposed organization must have the minimum number of charter members designated by the institution, and there must be a demonstration of continuous interest in the purposes of the organization sufficient to afford registration on a long-term basis.
    - 1. In the event there is not sufficient interest to warrant long-term registration, an institution may grant temporary registration to an organization for a limited period of time.
  - H. New organizations may be denied registration where the purposes are within the scope of a currently registered organization.
  - I. No organization may use the same name, or a name which is misleading and similar to the name, of a currently registered organization.
  - J. The organization must provide for the distribution of all funds and assets in the event of dissolution.
- IV. Procedure for Registration of Organizations
- A. In order to become officially registered as a student organization, a group must meet the criteria set forth in section IV., and must provide to the institution a minimum of the following:
    - 1. An application or request to form the organization on the form designated by the institution.
    - 2. The proposed constitution and bylaws of the organization, which must clearly contain the following:
      - 1. The name, purpose, proposed activities, and rules of membership of the organization, the officers, their terms and methods of selection, the proposed nature and frequency of meetings and activities, and, the financial plans of the organization, including any proposed fees, dues and assessments.
      - 2. The names and signatures of the charter members of the organization.
      - 3. The names of the faculty adviser and/or the administrative officers of the institution who will sponsor the organization.
      - 4. A statement of assurance of compliance by the organization that it will comply with all rules and regulations, policies and procedures of the Board and the institution and with all federal and state laws and regulations.
    - 3. The designated number of copies of the foregoing documents and information must be submitted to the office of the designated body or bodies of the institution authorized to review and make recommendations concerning proposed organizations.
    - 4. Recommendations regarding registration of a proposed organization must be forwarded by the designated body or bodies of the institution to the president or director of the institution, or his or her authorized designee; and registration by the president or director or his or designee is necessary before the organization can be officially registered.
    - 5. Any official or body responsible for reviewing or registering proposed organizations may require the sponsors to clarify any materials or information provided in the registration process, to resubmit the application or request with non-conforming materials or provisions deleted, or to appear at a hearing for the purpose of obtaining additional information and testimony concerning the purposes, aims or proposed activities of the organization.
- V. Nature and Conditions of Registration

- A. Registration of a student organization for other than a temporary period will be on an annual basis only, effective until the beginning of the next fall term of the institution, and shall be subject to annual renewal by the institution for each ensuing year.
- B. Annual renewal of registration of an organization shall be dependent upon the organization's demonstration of compliance with the following:
  - 1. It must adhere to the purposes, aims and activities as stated in the approved constitution and bylaws;
  - 2. It must continue to meet all of the requirements for initial registration;
  - 3. It must have remained in compliance with all rules and regulations of the institution and all federal and state laws;
  - 4. It must submit all changes in the constitution and bylaws to the institution for approval;
  - 5. It must maintain a current list of officers, faculty advisers and sponsors on file with the institution; and
  - 6. It must have submitted all required financial and other reports to the institution.

VI. Reports

- A. The University may require any or all organizations to submit an annual report concerning its programs and activities during the preceding year. If required, this report shall be reviewed by the designated bodies or officials of the institution, and shall be a requirement for renewal of registration.
- B. The University may require any or all organizations to submit an annual financial report reflecting all revenues received and disbursed by the organization, and/or an interim financial report or such a report concerning any fund-raising activity of the organization. If required, this report shall be a requirement for renewal of registration.

VII. Probation, Suspension, and Withdrawal of Registration

- A. An organization may be placed on probation, be suspended, or registration may be withdrawn by the designated authority of the institution for any of the following reasons:
  - 1. The organization fails to maintain compliance with the initial requirements for registration;
  - 2. The organization ceases to operate as an active organization;
  - 3. The organization request withdrawal of registration;
  - 4. The organization operates or engages in any activity in violation of rules and regulations of the institution, or federal or state laws; or
  - 5. The organization fails to submit any required reports.
- B. An organization which is placed on probation may continue to hold meetings but may not sponsor any activity or program.
- C. An organization which is placed under suspension may not engage in or sponsor any activity or program, and may not hold meetings.
- D. Where registration of an organization is withdrawn, it shall cease to exist as an organization.
- E. In the event an organization is placed on probation or suspended, or registration is withdrawn on the basis of section VIII.A.4., the organization shall be afforded the opportunity for a hearing before the appropriate institutional representative or committee.

VIII. Officers of Student Organizations

- A. No student who is under academic or social suspension from the institution shall be eligible to become, or maintain the status of, an officer of an organization.
- IX. Fiscal Procedures
- A. Each organization shall maintain a sound financial system related to the collection and disbursement of revenues in accordance with generally accepted accounting principles. An organization may be subject to audit by representatives of the institution at any time, and appropriate financial records shall be maintained for the purposes of audit.
  - B. Each organization shall designate an officer of the organization who is responsible for the collection and disbursement of funds and the maintenance of books and records.
- X. Programs and Activities
- A. The use of any campus property or buildings by an organization shall be subject to the rules and regulations of the ETSU Board of Trustees and the institution concerning use of property and facilities.
  - B. All organizations registered pursuant to this policy shall be "affiliated organizations" for the purposes of any ETSU Board of Trustees, or institutional policies concerning use of campus property and facilities.
  - C. Except for routine meetings of the organization, no on-campus program or activity shall be engaged in unless approved by the designated bodies and/or officials of the institution, and each institution may require prior approval for off-campus programs and activities.
  - D. Prior to approval, the institution may require a specified number of officials or security officers for any event, activity or program.
  - E. Any fund-raising activity on campus shall be for the benefit of the organization as a whole or a charity, and no funds shall be distributed to the officers or members of an organization for personal profit or gain.
  - F. No guest speakers shall be invited to the campus except pursuant to policies of the Board and the institution concerning guest or off-campus speakers.

**Notes:** Use of campus property and facilities. (Reference TBR Policy No. 1:03:02:50)  
 Guest or off-campus speakers. (Reference TBR Policy No. 1:03:02:50)

**Policy Title:** Student Rights and Freedoms

**Policy Type:** Student **New/revised:** Revised

**Old Policy #:** 3:02:04:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is the establishment of University policy regarding the Rights and Freedoms of students enrolled at East Tennessee State University.

## Policy

### I. Preamble

- a. Academic institutions exist for the transmission of knowledge, the pursuit of truth, the development of students, and the general well-being of society. Free inquiry and free expression are indispensable to the attainment of these goals. As members of the academic community, students should be encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. Institutional procedures for achieving these purposes may vary from campus to campus, but the minimal standards of academic freedom of students outlined below are essential to any community of scholars.
- b. Freedom to teach and freedom to learn are inseparable facets of academic freedom. The freedom to learn depends upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community<sup>1</sup>. Students should exercise their freedom with responsibility.
- c. The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community. Tennessee Board of Regents institutions have developed policies and procedures which provide and safeguard this freedom. The purpose of this statement is to enumerate the essential provisions for students' freedom to learn.

### II. Freedom of Access to Higher Education

The admissions policies of each Tennessee Board of Regents institution are a matter of institutional choice, provided that each institution makes clear the characteristics and expectations of students which it considers relevant to success in the institution's program. Under no circumstances should a student be barred from admission to a particular institution on the basis of race. Thus, within the limits of its facilities, each institution should be open to all students who are qualified according to its admissions standards. The facilities and services of a TBR institution should be open to all of its enrolled students.

### III. In The Classroom

The professor in the classroom and in conference should encourage free discussion, inquiry, and expression. Student performance should be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to academic standards.

### IV. Protection of Freedom of Expression

Students should be free to take reasoned exception to the data or views offered in any course of

study and to reserve judgment about matters of opinion but they are responsible for learning the content of any course of study for which they are enrolled.

V. Protection Against Improper Academic Evaluation

Students should have protection through orderly procedures against prejudiced or capricious academic evaluation. At the same time, they are responsible for maintaining standards of academic performance established for each course in which they are enrolled.

VI. Protection Against Improper Disclosure

Certain information about students is protected from public disclosure by federal and state laws. Protection against improper disclosure is a serious professional obligation. Judgments of ability and character may be provided under appropriate circumstances.

**Policy Title:** Student Scholarships, Grants, Loans & Financial Aid Programs

**Policy Type:** Student **New/revised:** Revised

**Old Policy #:** 3:04:01:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy covers the establishment of and participation in student scholarship and financial aid programs by East Tennessee State University.

### Policy

- I. Federal, State and Private Financial Aid, Loan, and Scholarship Programs
  - A. ETSU is hereby authorized to participate in any private, federal, or state programs providing financial aid, loans, scholarships, grants, and other forms of educational assistance to students. ETSU must meet the eligibility requirements for participation and comply with all federal and state laws and regulations related to said programs.
  - B. In participating in educational assistance programs, ETSU shall comply with all applicable laws. ETSU may participate in publicly or privately funded educational assistance programs which provide preference on the basis of race, color, creed, sex, handicap, age, religious preference, veteran's status, or national origin in the selection of students or awards to students, but only where the aggregate of all such participation is non-discriminatory and after consultation with legal counsel. ETSU may participate in any educational assistance programs provided by the federal government or the State of Tennessee for affirmative action or diversity purposes in furtherance of the institution's affirmative action and or diversity plan.
- II. Institutional Scholarships and Grant Programs
  - A. General Parameters
    1. State appropriations shall be expended or applied only to Access and Diversity grants.
    2. Each institution is authorized to employ students under local work programs, and each university is authorized to employ graduate assistants.
    3. Institutions may award scholarships and grants, in any of the programs listed below in Sections II. C. and D., to students who are full-time, part-time, out-of-state, or Tennessee residents.
    4. The maximum amount of an individual academic service scholarship awarded for any one semester or summer session shall be the amount of the maintenance fees (and/or out-of-state tuition) for the semester or summer session plus an allowance for books and supplies. The maximum books and supplies allowance shall be commensurate with the book and supply allowance component of the standard student budget compiled by the institution's financial aid officer. The maximum amount that may be awarded to any individual during a single fiscal year shall not exceed the total amount of combined fees and book allowances defined herein. For the purposes of this policy, maintenance fees (and/or out-of-state tuition) shall be defined as

all mandatory fees payable by a student for continued enrollment at the institution, including but not limited to debt service fees, student activity fees, and registration fees. The maximum amount awarded to a part-time student shall be prorated based on the number of hours for which the student is enrolled. Refunds shall be handled in accordance with University refund policy. The provisions of this section do not apply to privately funded scholarships or grants.

5. The University shall establish specific criteria for the scholarship programs listed below in Sections II. C. and D. Such criteria must meet the minimum limitations set forth in this policy; however, the institution may set criteria which is more restrictive than the policy. The written procedures implementing this policy and all requirements for eligibility, maintenance, and renewal shall be clearly published in the official catalog of the institution and through the institutional website.

B. Funding Sources for Scholarships and Grant Programs

1. Academic Scholarships and Institutional Grants may be funded by a maximum of 10% of total tuition and fees received by the institution in any one year. An exception to this limitation may be made upon approval of the ETSU Board of Trustees and as necessary approval of THEC.
2. Athletic and Performance Grants may be funded by private contributions, donations, endowment earnings designated for scholarships and grants, revenues derived from the activities in which the student participates, and student fees specifically programmed and approved for such assistance.
3. Access and Diversity Grants shall be funded by state funds and may be supplemented by other campus revenue sources.
4. Academic Work Scholarships in the College of Medicine (ETSU) may be funded by a maximum of 10% of total tuition and fees received by the College of Medicine in any one year.

C. Scholarship and Grant Programs Requiring Service to the Institution

1. Athletic Grants
  - a. The institution is authorized to award grants for students involved in athletics.
  - b. Grants for athletes awarded by institutions shall be subject to applicable limitations imposed by any national, regional, or other conference or association of which the institution is a member.
  - c. The requirement of service to the institution is satisfied by student performance of athletic endeavors.
2. Performance Grants
  - a. The institution may award grants to students who perform a service to the institution, such as band members, cheerleaders, spirit squad members, staff of student newspapers and yearbooks, etc.
  - b. The service requirement is fulfilled by the performance of the activity by the student.
3. Other Institutional Grants
  - a. Institutional Grants may be provided for meeting affirmative action and minority recruitment goals.
  - b. Institutional Grants may be provided for assisting handicapped, physically disadvantaged, and economically disadvantaged students.



4. Academic Service Scholarships
  - a. Awards to first-time freshmen shall be limited to students who had a minimum high school average of 2.9 or the equivalent. In addition, first-time university freshmen shall have a minimum enhanced ACT composite score of 19 to be eligible for consideration. Awards to GED students shall be based upon evidence of comparable scholastic ability. Institutions may make exception to the requirements of this paragraph when admitting freshmen who have not attended high school or another postsecondary institution for at least four years.
  - b. Awards to transfer and other than first-time freshman students will require a minimum cumulative college GPA of 2.9 for universities and 2.5 for two year colleges earned on the basis of at least twelve (12) credit hours. Students who have completed less than twelve (12) credit hours shall, for the purposes of this policy, be considered first-time freshmen.
  - c. Renewal of academic service scholarships after the initial academic year of the freshman shall require a minimum cumulative GPA of 2.5. All subsequent renewals shall be reviewed at the end of each semester and require a minimum cumulative GPA of 2.5 for students of both universities and two year institutions.
    - i. Students must complete a minimum amount of twelve credits, if full time and six credits, if part time.
  - d. Awards of academic service scholarships shall be made on a semester basis. Failure to maintain the required grade-point average or a satisfactory standard of conduct will result in the automatic forfeiture of the scholarship. A student who forfeits his/her scholarship for any of the above reasons may be eligible for consideration after the lapse of at least one full semester. Exceptions to this provision may be made when approved by the institution's president or his/her designee.
  - e. Economic status and need of the applicant will be considered a favorable factor only when all other conditions appear equal. Consideration may be given to the student's potential for the future as well as his or her area of specialization in relation to the needs of the state and the nation.
  - f. An Academic Service Scholarship shall involve a service obligation to the institution of 75 hours per semester. The service obligation will be structured to primarily provide an educational benefit to the student, not a work benefit to the institution. The service requirement for part-time and summer session students shall be prorated based on the number of hours for which the student is enrolled.
    - i. Students must complete a minimum amount of twelve credits, if full time and six credits, if part time.
    - ii. The institution may define service for the purpose of the scholarship to include academic or co-curricular activities, such as study abroad, undergraduate research, service learning, student teaching, nursing clinical, social work practicum, and approved institutional service.
5. Academic Work Scholarships (in the College of Medicine - ETSU)

- a. Awards shall be made to incoming freshmen who are Tennessee residents, present an MCAT score of 9.0 or better and a "P" in writing skills, and have an undergraduate GPA of 3.3 or better.
  - b. Students are ineligible for the Academic Work Scholarship if they are a recipient of a grant or award from the Armed Forces, NHSC, THEC, or under contractual obligation for practice after residency. Likewise, students who receive funding from CWSP or RSWP (work programs) or who hold a salaried position at ETSU are ineligible for a TBR scholarship.
  - c. The award will be for tuition plus book stipend. No award will exceed total in-state fees, debt service, student activity, registration, and a book allowance commensurate with the educational cost allowance for all other students.
  - d. Scholarship recipients must earn at least a 3.0 GPA to qualify for renewal awards. In addition, recipients must earn overall GPA and progress normally through the curriculum as defined by Title IV "satisfactory academic progress" regulations to maintain the scholarship or qualify for renewal awards.
6. Recipients must work not less than 300 hours per calendar year. Activities will include but not be limited to participation in research projects, generation of publications, support of activities related to increased extramural findings, and other scholarly activities as deemed appropriate by the Special Research Project Review Committee. This Committee, made up of basic scientists, clinical practitioners/research and research project administrators, will oversee the selection of and assignments to work-study projects.
- D. Grants Which Do Not Require Service to the Institution
- 1. Access and Diversity grants may be provided to students in order to achieve diversity plan objectives.
  - 2. Students receiving Access and Diversity grants are not required to provide service to the institution.
  - 3. Students enrolled in institutional Honors programs which require significant enrichment activities by the student over and above normal course requirements are not by this policy required to provide service to the institution.
  - 4. Students receiving privately-funded or publicly-funded scholarships which require an institutional match are not by this policy required to provide service to the institution.
- E. Exceptions
- 1. The President or his/her designee is authorized to approve other scholarships/grants so long as the total amount of these and other academic scholarships and institutional grants funded under this policy do not exceed a maximum of 10% of total tuition and fees received by the institution in any one year.

**Notes:** Employment of Graduate Assistants, pursuant to Board Policy No. 5:02:05:00.  
TBR refund policy outlined in TBR Guideline B-060

**Policy Title:** General Policy on Student Conduct and Disciplinary Sanctions

**Policy Type:** Student **New/revised:** Revised

**Old Policy #:** 3:02:00:01

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The ETSU Board of Trustees authorizes the University to take such action as may be necessary to maintain campus conditions and preserve the integrity of the institution and its educational environment. Institutional policies on this subject shall be subject to prior review and approval by University Counsel and Student Affairs.

**Part I Institution Policy Statement**

**Part II Disciplinary Offenses**

**Part III Academic and Classroom Misconduct**

**Part IV Disciplinary Sanctions**

**Part V Disciplinary Procedures**

**Policy:**

**I. INSTITUTION POLICY STATEMENT**

- A. Students enrolled in postsecondary educational institutions are citizens of their civic communities as well as the academic community. As such they are expected to conduct themselves as law-abiding members of each community at all times. Admission to an institution of postsecondary education carries with it special privileges and imposes special responsibilities apart from those rights and duties enjoyed by non-students. In recognition of the special relationship that exists between the institution and the academic community which it seeks to serve, the ETSU Board of Trustees has authorized the presidents of the institution to take such action as may be necessary to maintain campus conditions and preserve the integrity of the institution and its educational environment.
- B. Pursuant to this authorization and in fulfillment of its duties to provide a secure and stimulating atmosphere in which individual and academic pursuits may flourish, the University has developed rules, which are intended to govern student conduct. The institution may expand on these regulations, subject to Board approval. Following are East Tennessee State University's ("ETSU" or "the University") policies. In addition, students are subject to all federal, state and local laws and ordinances. If a student's violation of such laws or ordinances also adversely affects the institution's pursuit of its educational objectives, the institutions may enforce their own regulations regardless of the status or outcome of any external proceedings instituted by other civil or criminal authorities.
- C. For the purpose of these regulations, a "student" shall mean any person who is admitted and/or registered for study at the University for any academic period. This shall include any period of time following admission and/or registration, but preceding the start of classes for any academic period. It will also include any period which follows

the end of an academic period through the last day for registration for the succeeding academic period, and during any period while the student is under suspension from the institution. Finally, "student" shall also include any person subject to a period of suspension or removal from campus as a sanction which results from a finding of a violation of the regulations governing student conduct. Students are responsible for compliance with the Rules of Student Conduct and with similar institutional policies at all times.

- D. Disciplinary action may be taken against a student for violation of the regulations which occur on institutionally owned, leased or otherwise controlled property, while participating in international or distance learning programs, and off campus, when the conduct impairs, interferes with, or obstructs any institutional activity or the mission, processes, and functions of the institution. Institutions may enforce their own regulations regardless of the status or outcome of any external proceedings instituted in any other forum, including any civil or criminal proceeding.
- E. These regulations, and related material incorporated herein by reference, are applicable to student organizations as well as individual students. Student organizations are subject to discipline for the conduct and actions of individual members of the organization while acting in their capacity as members of, or while attending or participating in any activity of, the organization.
- F. Confidentiality of Discipline Process. Subject to the exceptions provided pursuant to the Family Educational Rights and Privacy Act of 1974 (FERPA), 20 USC 1232g and/or the Tennessee Open Records Act, TCA § 10-7-504(a)(4), a student's disciplinary files are considered "educational records" and are confidential within the meaning of those Acts.

## II. **DISCIPLINARY OFFENSES**

- A. Institutional disciplinary measures shall be imposed, through appropriate due process procedures, for conduct which adversely affects the institution's pursuit of its educational objectives, which violates or shows a disregard for the rights of other members of the academic community, or which endangers property or persons on property owned or controlled by an institution.
- B. ETSU has adopted the following non-exclusive list providing notice of offenses for which both individuals and organizations may be subject to disciplinary action:
  - 1. **Conduct Dangerous to Self or Others.** Causing physical harm to any person (including oneself); endangering the health or safety of any person (including oneself); engaging in conduct that causes a reasonable person to fear harm to his/her health or safety; or making an oral or written statement that an objectively reasonable person hearing or reading the statement would interpret as a serious expression of an intent to commit an act of unlawful violence to a particular individual or group of individuals.
  - 2. **Hazing.** Hazing, as defined in TCA § 49-7-123(a)(1), means any intentional or reckless act, on or off the property, of any higher education institution by an individual acting alone, or with others, which is directed against any other person(s) that endangers the mental or physical health or safety of that person(s), or which induces or coerces a person(s) to endanger such person(s) mental or physical health or safety. Hazing does not include customary athletic events or similar contests or competitions, and is limited to those actions taken and situations created in connection with initiation into or affiliation with any organization;

3. **Disorderly Conduct.** Any individual or group behavior which is abusive, obscene, lewd, indecent, violent, excessively noisy, disorderly, or which unreasonably disturbs institutional functions, operations, classrooms, other groups or individuals;
4. **Obstruction of or Interference with institutional activities or facilities.** Any intentional interference with or obstruction of any institutional, program, event, or facility including the following:
  - a. Any unauthorized occupancy of institution or institutionally controlled facilities or blockage of access to or from such facilities
  - b. Interference with the right of any institution member or other authorized person to gain access to any activity, program, event or facilities sponsored or controlled by an institution,
  - c. Any obstruction or delay of a campus security officer, public safety officer, police officer, firefighter, EMT, or any official of an institution, or failure to comply with any emergency directive issued by such person in the performance of his or her duty;
5. **Misuse of or Damage to Property.** Any act of misuse, vandalism, malicious or unwarranted damage or destruction, defacing, disfiguring or unauthorized use of property belonging to another including, but not limited to, any personal property, fire alarms, fire equipment, elevators, telephones, institution keys, library materials and/or safety devices;
6. **Theft, Misappropriation, or Unauthorized Sale of Property;**
7. **Misuse of Documents or Identification Cards.** Any forgery, alteration of or unauthorized use of institutional documents, forms, records or identification cards, including the giving of any false information, or withholding of necessary information, in connection with a student's admission, enrollment or status in the institution;
8. **Firearms and Other Dangerous Weapons.** Any possession of or use of firearms, dangerous weapons of any kind, or replica/toy guns, e.g. BB guns, pellet guns, paintball guns, water guns, cap guns, toy knives or other items that simulate firearms or dangerous weapons;
9. **Explosives, Fireworks, and Flammable Materials.**
10. **Alcoholic Beverages.** The use and/or possession of alcoholic beverages on institution owned or controlled property. This offense includes the violation of any local ordinance, state, or federal law concerning alcoholic beverages, on or off institution owned or controlled property, including but not limited to where an affiliated group or organization has alcoholic beverages present and available for consumption;
11. **Drugs.** The unlawful possession or use of any drug or controlled substance (including, but not limited to, any stimulant, depressant, narcotic or hallucinogenic drug, or marijuana), sale or distribution of any such drug or controlled substance. This offense includes the violation of any local ordinance, state, or federal law concerning the unlawful possession or use of drugs and the misuse of legally prescribed or "over the counter" drugs on or off institution owned or controlled property;
12. **Drug Paraphernalia.** The use or possession of equipment, products or materials that are used or intended for use in manufacturing, growing, using or distributing any drug or controlled substance. This offense includes the

- violation of any local ordinance, state, or federal law concerning the unlawful possession of drug paraphernalia, on or off institution owned or controlled property;
13. **Public Intoxication.** Appearing on institution owned or controlled property or at an institutional sponsored event while under the influence of a controlled substance or of any other intoxicating substance;
  14. **Gambling.** Unlawful gambling in any form;
  15. **Financial Irresponsibility.** Failure to meet financial responsibilities to the institution promptly including, but not limited to, knowingly passing a worthless check or money order in payment to the institution or to a member of the institution community acting in an official capacity;
  16. **Unacceptable Conduct in Disciplinary Proceedings.** Any conduct at any stage of an institutional disciplinary proceeding or investigation that is contemptuous, disrespectful, threatening, or disorderly, including false complaints, testimony or other evidence, and attempts to influence the impartiality of a member of a judicial body, verbal or physical harassment or intimidation of a judicial board member, complainant, respondent or witness;
  17. **Failure to Cooperate with Institutional Officials.** Failure to comply with directions of institutional officials acting in the performance of their duties;
  18. **Violation of General Rules and Regulations.** Any violation of the general rules and regulations of the institution as published in an official institutional publication, including the intentional failure to perform any required action or the intentional performance of any prohibited action;
  19. **Attempts, Aiding and Abetting.** Any attempt to commit any of the offenses listed under this section or the aiding or abetting of the commission of any of the offenses listed under this section (an attempt to commit an offense is defined as the intention to commit the offense coupled with the taking of some action toward its commission). Being present during the planning or commission of any offense listed under this section will be considered as aiding and abetting. Students who anticipate or observe an offense must remove themselves from the situation and are required to report the offense to the institution;
  20. **Violations of State or Federal Laws.** Any violation of state or federal laws or regulations proscribing conduct or establishing offenses, which laws and regulations are incorporated herein by reference;
  21. **Violation of Imposed Disciplinary Sanctions.** Intentional or unintentional violation of a disciplinary sanction officially imposed by an institution official or a constituted body of the institution;
  22. **Sexual Battery or Rape.** Committing any act of sexual battery or rape as defined by state law; May include any sexual act or penetration which is accompanied by threat, coercion, use of restraint or force, or any sexual act where the respondent knows, or should have known, that the victim was unable or incapable of giving consent.
  23. **Sexual Misconduct.** An offense including acts of sexual assault, domestic violence, dating violence and/or stalking as defined in East Tennessee State University's Student Sexual Misconduct Policy. All matters involving allegations of sexual misconduct will be governed by the procedures set forth in East Tennessee State University's Student Sexual Misconduct Policy.

24. **Harassment or Retaliation.** Any act by an individual or group against another person or group in violation of ETSU policies, as well as federal and/or state laws prohibiting discrimination, including, but not limited to, East Tennessee State University's Student Sexual Misconduct Policy.;
25. **Academic Misconduct.** Plagiarism, cheating, fabrication. For purposes of this section the following definitions apply:
  - a. **Plagiarism.** The adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution,
  - b. **Cheating.** Using or attempting to use unauthorized materials, information, or aids in any academic exercise or test/examination. The term academic exercise includes all forms of work submitted for credit or hours,
  - c. **Fabrication.** Unauthorized falsification or invention of any information or citation in an academic exercise.
26. **Unauthorized Duplication or Possession of Keys.** Making, causing to be made or the possession of any key for an institutional facility without proper authorization;
27. **Litter.** Dispersing litter in any form onto the grounds or facilities of the campus;
28. **Pornography.** Public display of literature, films, pictures or other materials 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;
29. **Abuse of Computer Resources and Facilities.** Misusing and/or abusing campus computer resources including, but not limited to the following:
  - a. Use of another person's identification to gain access to institutional computer resources,
  - b. Use of institutional computer resources and facilities to violate copyright laws, including, but not limited to, the act of unauthorized distribution of copyrighted materials using institutional information technology systems,
  - c. Unauthorized access to a computer or network file, including but not limited to, altering, using, reading, copying, or deleting the file,
  - d. Unauthorized transfer of a computer or network file,
  - e. Use of computing resources and facilities in a manner that interferes with normal operation of the institutional computing system,
  - f. Use of computing resources and facilities that violate ETSU policy or state or federal law,
  - g. Violation of any published information technology resources policy,
  - h. Unauthorized peer-to-peer file sharing;
30. **Unauthorized Access to Institutional Facilities and/or Grounds.** Any unauthorized access and/or occupancy of institutional facilities and grounds is prohibited, including, but not limited to, gaining access to facilities and grounds that are closed to the public, being present in areas of campus that are open to limited guests only, being present in academic buildings after

hours without permission, and being present in buildings when the student has no legitimate reason to be present;

31. **Providing False Information.** Giving any false information to, or withholding necessary information from, any institutional official acting in the performance of his/her duties in connection with a student's admission, enrollment, or status in the institution;
32. **Unauthorized Surveillance.** Making or causing to be made unauthorized video or photographic images of a person in a location in which that person has a reasonable expectation of privacy, without the prior effective consent of the individual, or in the case of a minor, without the prior effective consent of the minor's parent or guardian. This includes, but is not limited to, taking video or photographic images in shower/locker rooms, residence hall rooms, and men's or women's restrooms, and storing, sharing, and/or distributing of such unauthorized images by any means;
33. **Tobacco/Smoking Violations.** Violation of any institutional smoking or other tobacco use rules or policies.

- C. Disciplinary action may be taken against a student for violations of the foregoing regulations which occur at or in association with enrollment at the institution governed for any academic period. Each student shall be responsible for his/her conduct from the time of application for admission through the actual awarding of a degree including periods prior to or between semesters. Conduct occurring while a student is registered or enrolled at the institution, but not discovered until after the awarding of a degree is actionable under these provisions and may result in the retroactive application of a disciplinary sanction. Should a student withdraw from the institution with disciplinary action or academic misconduct action pending, the student's record may be encumbered by the appropriate institutional office until the proceedings have been concluded.

### III. **ACADEMIC AND CLASSROOM MISCONDUCT**

- A. The instructor has the primary responsibility for maintenance of academic integrity and controlling classroom behavior, and can order the temporary removal or exclusion from the classroom of any student engaged in disruptive conduct or conduct that violates the general rules and regulations of the institution for each class session during which the conduct occurs. Extended or permanent exclusion from the classroom, beyond the session in which the conduct occurred, or further disciplinary action can be effected only through appropriate procedures of the institution.
- B. Plagiarism, cheating, and other forms of academic dishonesty are prohibited. Students guilty of academic misconduct, either directly or indirectly, through participation or assistance, are immediately responsible to the instructor of the class. In addition to other possible disciplinary sanctions which may be imposed through the university's academic misconduct policy as a result of academic misconduct, the instructor has the authority to assign an "F" or a zero ("0") for the exercise or examination, or to assign an "F" in the course.
- C. Students may appeal a grade assignment associated with a finding of academic misconduct, as distinct from a student disciplinary sanction, through the university's academic misconduct procedure. Courses may not be dropped pending the final resolution of an allegation of academic misconduct. (See Part 5 Disciplinary Procedures, Paragraph (6) Academic Misconduct Procedures).



- D. Disruptive behavior in the classroom may be defined as, but not limited to, behavior that obstructs or disrupts the learning environment (e.g., offensive language, harassment of students and professors, repeated outbursts from a student which disrupt the flow of instruction or prevent concentration on the subject taught, failure to cooperate in maintaining classroom decorum, etc.), text messaging, and the continued use of any electronic or other noise or light emitting device which disturbs others (e.g., disturbing noises from beepers, cell phones, PDAs (personal digital assistants), palm pilots, lap-top computers, games, etc.).
- E. Class attendance and punctuality requirements are established by the faculty in the printed syllabus for each course. Students are expected to attend classes regularly and on time and are responsible for giving explanations/rationale for absences and lateness directly to the faculty member for each course in which they are enrolled. In cases where student absences are the result of emergency circumstances (e.g., death in the family, a student's serious injury or incapacitating illness), for which students are unable to make immediate contact with faculty, the student may contact the Office of Student Affairs for assistance in providing such immediate notification to faculty. However, the student remains responsible for verifying the emergency circumstances to faculty and for discussing arrangements with faculty for completion of coursework requirements. Both give guidance and clarification to both students and faculty on matters of classroom conduct and attendance requirements.

#### IV. DISCIPLINARY SANCTIONS

- A. Upon a determination that a student or student organization has violated any of the disciplinary offenses set forth in these regulations, institutional disciplinary policies, or the general policies of the institution, disciplinary sanctions may be imposed, either singly or in combination, by the appropriate institution officials.
- B. Definition of Sanctions:
  - a. **Restitution.** Restitution may be required in situations which involve destruction, damage, or loss of property, or unreimbursed medical expenses resulting from physical injury. When restitution is required, the student or student organization is obligated by the appropriate judicial authority to compensate a party or parties for a loss suffered as a result of disciplinary violation(s). Any such payment in restitution shall be limited to actual cost of repair, replacement or financial loss;
  - b. **Warning.** The appropriate institutional official may notify the student or student organization that continuation or repetition of specified conduct may be cause for other disciplinary action;
  - c. **Reprimand.** A written or verbal reprimand or censure may be given to any student or student organization whose conduct violates any part of these regulations and provides notice that any further violation(s) may result in more serious penalties;
  - d. **Service to the Institution or Community.** A student, or student organization, may be required to donate a specified number of service hours to the institution performing reasonable tasks for an appropriate institution office, official(s), or the local community. The service required shall be commensurate to the offense (e.g., service for maintenance staff for defacing institutional property);
  - e. **Specified Educational/Counseling Program.** A student or student organization may be required to participate in specified educational or counseling program(s) relevant to the offense, or to prepare a project or report concerning a relevant

topic. This may include but is not limited to a mandated visit to the University Counseling Center for an initial evaluation and documented follow through on any prescribed treatment program;

- f. **Apology.** A student or student organization may be required to apologize to an affected party, either verbally or in writing, for the behavior related to a disciplinary offense;
- g. **Fines.** Penalties in the form of fines may be imposed against a student or student organization whenever the appropriate institutional authority deems appropriate. The sanction of fines may be imposed in addition to other forms of disciplinary sanctions. Failure to pay fines may result in further disciplinary action. All funds from fines for violation of university drug and/or alcohol policies will be used to support the university's alcohol and drug education and awareness programs.
- h. **Restriction.** A restriction upon a student's or student organization's privileges for a period of time may be imposed. This restriction may include, for example, denial of the ability to represent the institution at any event, ability to participate in institution sponsored travel, use of facilities, parking privileges, participation in extracurricular activities or restriction of organizational privileges;
- i. **Probation.** Continued enrollment of a student or recognition of a student organization on probation may be conditioned upon adherence to these regulations. Any student or organization placed on probation will be notified in writing of the terms and length of the probation. Probation may include restrictions upon extracurricular activities, or any other appropriate special condition(s). Any conduct in further violation of these regulations while on probationary status or the failure to comply with the terms of the probationary period may result in the imposition of further disciplinary action;
- j. **Suspension.** Suspension is the separation of a student or student organization from the institution for a specified period of time. Suspension may be accompanied by special conditions for readmission or recognition;
- k. **Expulsion.** Expulsion entails a permanent separation from the institution. The imposition of this sanction is a permanent bar to the student's admission, or a student organization's recognition to the institution. A student or organization that has been expelled may not enter institution property or facilities without obtaining prior approval from an appropriate campus official with knowledge of the expulsion directive;
- l. **Delay and/or Denial of Degree Award.** During the period disciplinary charges are pending against a student, the university may deny and/or delay issuance of a degree. Further, the university may refuse to issue a degree to a student who is serving a suspension or has been expelled from the university;
- m. **Revocation of Admission, Degree, or Credential;**
- n. **Housing Probation.** Continued residence in campus or student housing may be conditioned upon adherence to these regulations as well as institutional housing regulations. Any resident placed on housing probation will be notified in writing of the terms and length of the probation. Probation may include restrictions upon the activities of the resident, including any other appropriate special condition(s);

- o. **Housing Suspension and Forfeiture.** A resident suspended from housing may not reside, visit, or make any use whatsoever of a housing facility or participate in any housing activity during the period for which the sanction is in effect. A suspended resident shall be required to forfeit housing fees (including any unused portion thereof and the Housing Deposit). A suspended resident must vacate the housing unit. Housing suspension shall remain a part of the student resident's disciplinary record.
  - p. **Any alternate sanction** deemed necessary and appropriate to address the misconduct at issue;
  - q. **Interim Suspension.** As a general rule, the status of a student or student organization accused of violation of these regulations should not be altered until a final determination has been made in regard to the charges. However, interim suspension, pending the completion of disciplinary procedures, may be imposed upon a finding by the appropriate institutional official that the continued presence of the accused on campus constitutes an immediate threat to the physical safety and well-being of the accused, any other member of the institution its guests, property, or substantial disruption of classroom or other campus activities. In any case of interim suspension, the student, or student organization, shall be given an opportunity at the time of the decision, or as soon thereafter as reasonably possible, to contest the suspension.
  - r. **Student Organization Suspension.** In the event that a student organization is suspended from the University, the organization may not, during the term of the suspension, engage in or sponsor any activity or program, and may not hold meetings nor recruit members; engage in social functions of any type; use university buildings, facilities, property, and equipment; use university resources, services, or funds; participate or attempt to participate as an organization in any University event; or co-sponsor or participate as an organization in another registered/recognized organization's activities. Suspension may be accompanied by special conditions for readmission or recognition.
- C. The president of East Tennessee State University is authorized, at his or her discretion, to intervene in order to negotiate a mutually acceptable resolution to any disciplinary proceeding, or, subsequently, to convert any sanction imposed to a lesser sanction, or to rescind any previous sanction, in appropriate cases.

V. **DISCIPLINARY PROCEDURES**

- A. **General:** In the implementation of regulations pertaining to discipline and conduct of students, the University shall insure the constitutional rights of students by affording a system of constitutionally and legally sound procedures which provide the protection of due process of law. In furtherance of this mandate, East Tennessee State University has established the following policies setting forth the disciplinary procedures for the institution.
- B. **UAPA:** All cases which may result in: (a) suspension or expulsion of a student, or student organization, from the institution, for disciplinary reasons or (b) revocation of registration of a student organization, are subject to the contested case provisions of the Tennessee Uniform Administrative Procedures Act (UAPA), TCA § 9-8-01 et seq., and shall be processed in accord with the Uniform Contested Case procedures unless the student or organization, after receiving written notice, waives those procedures and elects to have the case disposed of in accord with institutional procedures or waives all

right to contest the case under any procedure. These procedures shall be described in the institution's policy.

- C. **Institutional Procedures:** For matters not subject to the requirements of UAPA, or matters in which a student has waived his/her right to a UAPA hearing, East Tennessee State University has established the following procedures to address complaints of student or student organization misconduct.
1. **Determination of Procedure to be Used**
    - a. A disciplinary case involving violations of university regulations or infringements upon student rights may be reviewed under Institutional Administrative Procedures or may be referred to the appropriate judicial board for review under Institutional Judicial Procedures, as determined by the appropriate university official.
    - b. The university official who shall determine who shall hear a case and whether an alleged violation of university regulations shall be processed under the Institutional Administrative Procedures or the Institutional Judicial Procedures is as follows:
      - i. The Director of Housing or designee, where the alleged violation is of the regulations of the Residence Hall Association (RHA).
      - ii. The Associate Dean of Students or designee, where the alleged violation of university regulations are other than those of the RHA.
    - c. Determinations of which procedures shall be utilized for processing an alleged violation of university regulations shall be at the discretion of the appropriate university official; provided, however, the relationship between the hearing officer and the accused student must be one which is free from duress or coercion, and is a relationship which is objective and conducive to the purpose of an administrative hearing.
    - d. If a student chooses to admit to a violation of law or university regulations, the student may request that the sanction be imposed by the appropriate university official. At this hearing, the student may present witnesses and other evidence relevant to the offense that may mitigate the disciplinary sanction in the student's favor.
  2. **Description of Institutional Administrative Procedures**
    - a. The university official hearing each case, in cases held under Institutional Administrative Procedures, shall be as follows:
      - i. The Director of Housing, Associate Director of Housing, Area Coordinators, or Apartment Managers, or designee where the alleged violation is of the Residence Hall Association (RHA).
      - ii. The Dean of Students or designee where the alleged violation is of university regulations other than those of the RHA.
    - b. Due process procedures shall be observed in all administrative hearings under Institutional Administrative Procedures.
    - c. Appeals Under Institutional Administrative Procedures (See Part V Disciplinary Procedures, Paragraph C. Institutional Procedures, Subpart 4. Appeals)
      - i. Cases heard by the Director of Housing or designee may be appealed to the Dean of Students or designee.

- ii. Cases heard by the Dean of Students or designee may be appealed to the Vice President for Student Affairs or designee.

### 3. **Description of Institutional Judicial Procedures**

- a. Purpose of the Judiciary. The purpose of Institutional Judicial Procedures shall be to provide fair and just treatment in cases involving either violation of university regulations or infringements upon students' rights, and to take appropriate measures for those found guilty.
- b. Due process procedures shall be observed in all hearings under Institutional Judicial Procedures
- c. Components of the Judiciary. The Judiciary of East Tennessee State University shall consist of the following components:
  - i. The University Judicial Committee shall be the highest court authorized by the university president.
  - ii. The Student Court shall be the next highest court within the student judicial system.
  - iii. The Residence Hall Association (RHA), Inter-Fraternity Council (IFC), Panhellenic Council (PC), and the Pan-Hellenic Council (PHC) Judicial Boards shall each be lower courts within the student judicial system.

### 4. **Appeals**

- a. All cases may be appealed by the student or organization in question to the next higher judicial authority in accordance with the Appeal Procedures provided below.
- b. Appeals for decisions of the University Judicial Board will be reviewed by the Vice President for Student Affairs. The decision of the Vice President for Student Affairs is final.
- c. Appeal Procedures
  - i. If the accused desires to appeal, a statement of reasons for appealing must be forwarded to the Dean of Students (or designated college official for academic misconduct cases). This statement must be filed within three (3) days following receipt by the accused of a copy of the decision being appealed.
  - ii. The statement of reasons for appeal will be forwarded to the appropriate appeal board or officer, which will set a date for reviewing the case and notify the accuser.
  - iii. Appeal hearings are not new disciplinary hearings; they are a review of the existing case. It is not the function of the appeals process to permit a rehearing of the factual issues presented to the adjudicating body, but rather it is to ensure that the disciplinary procedures has been implemented fairly and consistently with these rules.
  - iv. Grounds for Appeal. The appeal must specify grounds which would justify consideration. The written appeal must contain the substantive proof upon which the appellant is basing the appeal. Appeals that do not include the specific information that substantiates the appeal will be immediately denied. General dissatisfaction with the outcome of the decision shall

not be accorded as a basis for consideration of an appeal. An appeal may be filed based on one of the following conditions:

- i. an error in procedural due process by the body of original jurisdiction which prejudiced the disciplined student to the extent that he/she was denied a fundamentally fair hearing as a result of the error; or
  - ii. the emergence of new evidence which could not have been previously discovered by the exercise of due diligence and which, had it been presented at the initial hearing, would have substantially affected the original decision of the adjudicating body; or
  - iii. the respondent feels that the assigned sanctions are unduly harsh.
- v. Appeals which do not allege sufficient grounds shall be denied consideration and dismissed. Appeals which do allege sufficient grounds will be accepted for consideration and forwarded to the appellate body. The appellate body may, at its own discretion, permit written or oral statements from the concerned parties at the time the appeal is considered.
- vi. The appeal board or officer, upon reviewing the case, will have several options. The original decision may be affirmed or reversed. In cases where the original action is inappropriate as a result of issues involved in the appeal, the appeal board or officer may revert the case back to the original board or hearing officer, modify the original action, or hold a completely new hearing
- vii. The appeal board or officer will notify the accused of the outcome of the appeal in writing within fifteen (15) business days.
- d. Special Provisions Applicable to Both Institutional Administrative Procedures and Institutional Judicial Procedures
- i. Failure to Appear. If the accused student fails to appear at the scheduled hearing or provide adequate notice of excuse, the hearing officer or court may:
  - ii. Reset a formal hearing of the case for the next scheduled meeting.
  - iii. Dispose of the case in whatever manner it deems just based upon available information

**D. Institutional Judicial Hearings:**

**1. Composition and Selection of the Courts. The composition of the University Judiciary Courts shall be as follows:**

- a. The University Judicial Committee shall be composed of the Assistant Dean of Students or designee, President of the Student Government Association (SGA) or designee, Chief Justice of SGA, an Associate Justice, and three of the faculty members appointed to serve by the Vice President for Student Affairs. Alternates may be appointed. Members are appointed to renewable one year terms. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote. Members

- may continue to serve until such time as their replacements are appointed or elected and receive all required training.
- b. The Student Court shall be composed of a Chief Justice and seven (7) Associate Justices, one of whom shall be designated to serve as the alternate Chief Justice. Alternates may be appointed. Each member shall be appointed by the SGA president and confirmed by a majority of the Student Senate present and voting. Members are appointed to renewable one year terms. Quorum is 2/3 of the composition of the court. Each justice shall have (1) vote, with the Chief Justice voting only to break a tie. Alternate Justices may be appointed. Members may continue to serve until such time as their replacements are appointed or elected and receive all required training.
  - c. The Residence Hall Association Judicial Board shall be composed of five members appointed by the Director of Housing after being confirmed by a majority of the Residence Hall Association present and voting. Alternates may be appointed. Members are appointed to renewable one year terms. At least three members must be present to have quorum. Each member shall have (1) vote. Alternate Justices may be appointed. Members may continue to serve until such time as their replacements are appointed or elected and receive all required training.
  - d. The Inter-Fraternity Council Judicial Board shall be composed of one representative from each member organization. The Executive Vice-President of IFC shall chair the Committee. Members are appointed to renewable one year terms. Alternates may be appointed. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote, with the Chair voting only to break a tie.
  - e. The Panhellenic Council (PC) Judicial Board shall be composed of one representative from each member organization. The Executive Vice-President of the PC shall chair the Committee. The Vice-President for Internal Communication shall serve as Vice-Chair. Members are appointed to renewable one year terms. Alternates may be appointed. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote.
  - f. The Pan-Hellenic Council (PHC) Judiciary Committee shall be composed of the president from each member organization. The Vice-President of the PHC shall chair the Committee. Members are appointed to renewable one year terms. Alternates may be appointed. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote, with the Chair voting only to break a tie.
  - g. Board members will receive annual training on the student conduct system process, due process, and the hearing of cases. Additionally Student Court and University Judicial Committee members will receive specialized annual training related to hearing Sexual Misconduct cases.
2. **Powers and Limitations. The relative powers of the components of the Judiciary are as follows:**
- a. The University Judicial Committee shall exercise the highest judicial authority on campus, next to that of the Vice President for Student Affairs and the University President or his/her designee. This

- committee's authority shall include the right to suspend or expel a student.
- b. The next highest judicial authority shall be vested in the Student Court. All sanctions, with the exception of suspension and expulsion, are available to the Student Court. The Student Court shall have the power to request any member of the student body, a representative from any campus organization, or any faculty member or administrator to appear before the court, provided that the subpoena/request is issued in writing at least five (5) days prior to the appearance.
  - c. The Residence Hall Association, the Inter-Fraternity, Panhellenic, and the Pan-Hellenic Judicial Boards shall provide, through their respective constitutions, the powers and limitations of their respective judicial boards, all of which shall be subordinate to the Student Court
3. **Operation of the Courts. All cases that enter the University Judiciary shall be administered through the appropriate channel:**
- a. Any member of the university community may file a complaint against any student for misconduct. Complaints shall be submitted in writing and directed to the Dean of Students. A complaint should be submitted as soon as possible after the event takes place, preferably within ten (10) days of the alleged misconduct.
    - i. Violations of official university regulations other than regulations of the RHA, IFC, the PC's, or General Policies on Student Organizations shall be reported directly to the Dean of Students, who shall either direct that the case be reviewed under the Institutional Administrative Procedures or referred to the appropriate judicial board.
    - ii. Violations of the internal standards of the RHA, the IFC, or PC's shall be reported to the authorities designated in their respective constitutions. Violations of General Policies on Student Organizations shall be reported to the Director of Student Activities.
    - iii. The RHA authorities shall report the case to the Housing office, where the Director of Housing or designee shall either direct that the case be reviewed under the Institutional Administrative Procedures or referred to the Residence Hall Judicial Board.
    - iv. The IFC, PC, and PHC authorities shall report the case to the Director of Student Activities who shall refer the case to the Dean of Students who will either direct that the case be reviewed under the Institutional Administrative Procedures or referred to the Inter-Fraternity Judicial Board, the Panhellenic Judicial Board, or the Pan-Hellenic Judicial Committee.
    - v. Violations of the Student Government Constitution or Code of Laws shall be reported to the Student Government Vice President, who shall refer the case to the Dean of Students. The Dean of Students shall direct that the case be heard by the Student Court.



- b. All judicial decisions must be reported in writing to the Dean of Students within two (2) class days from such time as the decision has been reached.
- c. Due process procedures shall be observed in all hearings under Institutional Judicial Procedures.
- d. The circumstances surrounding all cases handled by the University Judiciary shall be confidential
- e. The official records of all cases shall be maintained by the Student Affairs office.
- f. All official correspondence concerning the decision of a judicial board, court, or committee shall be by the Dean of Students or designee, except in cases involving interpretation of the Student Government Constitution or Code of Laws. The Chief Justice of the Student Court shall make written report of the decision and the circumstances surrounding it, taking care to exclude any information of a personal nature, to the Attorney General of the SGA.
- g. All hearings by the judicial boards, court, or committee shall be held in closed session unless otherwise requested by the defendant.
- h. All subsequent meetings concerning readmission of students or reinstatement of organizational charters shall be initiated through the Associate Dean of Students or designee.

**4. Jurisdiction of the Courts**

- a. Each judicial board or court may serve as a court of original jurisdiction
  - i. The University Judicial Committee shall hear those cases involving a student who is accused of violating general university regulations, and if found guilty, may be subject to suspension or expulsion from the institution, who have waived their right to a hearing pursuant to UAPA procedures. The Committee shall also hear other cases deemed appropriate by the Dean of Students.
  - ii. The Student Court shall have original jurisdiction in those cases involving alleged violations of general university regulations which do not warrant suspension or expulsion. The Student Court shall also hear those cases involving alleged violations of the Student Government Constitution or Code of Laws, and any other cases deemed appropriate by the Dean of Students.
  - iii. The Residence Hall Judicial Board shall have the original jurisdiction in cases involving violation of Housing regulations, standards established by its constitution, and any other cases referred to it by the Director of Housing.
  - iv. The IFC, the PC, or PHC Judicial Boards shall have the original jurisdiction only in cases involving violations of regulations specified in their own Constitution and By-Laws.

- E. Minimum Requirements of Due Process for Institutional Hearings:** Students subject to any disciplinary sanction are entitled to a due process hearing unless that right is waived by the student after receiving written notice of the available procedures. For matters not subject to the requirements of UAPA, or matters in which a student has waived his/her right to a UAPA, East Tennessee State University has established the following

guidelines and rights to address complaints of student or student organization misconduct.

**1. Hearing Guidelines**

- a. At least seventy-two (72) hours prior to the hearing the accused student is entitled to written notification of the time, date, and place of the hearing and of his rights as outlined below.
- b. At least seventy-two (72) hours prior to the hearing the accused student is entitled to a written statement of the charges in sufficient detail as to enable the student to prepare a case, including how the alleged violation came to the attention of the university.
- c. All administrative hearings and hearings of judicial bodies will be closed, except to the accused, his/her advisor, the complainant, his/her advisor, the members of the appropriate judicial board/committee, or individual administrator assigned to the case. Witnesses may also appear upon request of the members of the appropriate judicial board/committee, or individual administrator assigned to the case, the accused, or the complainant.
- d. In hearings involving more than one accused student, the chairperson of the judicial body or individual administrator assigned to the case, in his or her discretion, may permit the hearings concerning each student to be conducted separately
- e. In cases heard by a judicial board, the accused student or complainant may challenge the ability of a judicial member to render an impartial judgment and may request the member's removal at that time. The judicial board will rule on the request. If any members of a judicial board feel that their relationship with either the case or the individuals involved would affect their ability to render an impartial judgment, they may disqualify themselves
- f. The complainant and the accused have the right to be assisted by any advisor they choose, at their own expense. The advisor may be an attorney. The accused is responsible for presenting his or her own case and advisors are not permitted to speak or to participate directly in any hearing before a judicial body.
- g. The university, the accused, the complainant and the judicial body shall all have the privilege of presenting witnesses, subject to the right of questioning by the judicial body.
- h. Pertinent records, exhibits and written statements may be accepted as evidence for consideration by a judicial body at the discretion of the chairperson
- i. The accused student and the complainant are entitled to ask questions of the hearing officer, of the judicial board, and of any witnesses called before the administrative or judicial hearing.
- j. Hearings shall proceed in the following order:
  - i. Reading of the charges
  - ii. The student's denial or admission of the charges
  - iii. Presentation of evidence by the university and questions by the student charged and/or the hearing body

- iv. Presentation of evidence by the student charged and questions by the university and/or the hearing body, and
    - v. Closing statement by both parties
  - k. After the hearing, the judicial body shall determine (by majority vote if the judicial body consists of more than one person) whether the student has violated each section of the Student Code of Conduct which the student is charged with violating.
  - l. The judicial body's determination shall be made on the basis of the "preponderance of the evidence", meaning, whether it is "more likely than not" that the accused student violated the Student Code of Conduct.
  - m. The student shall be notified in writing of the decision of the hearing body/authority within five (5) days of the hearing or the judicial body's decision. Every attempt will be made to verbally notify the student of the decision prior to the five (5)-day period. In cases involving alleged sexual assault and/or sexual misconduct, both the accused and accuser shall be notified in writing within five (5) days of the judicial body's decision.
  - n. There shall be a single record, such as minutes or a tape recording, of all hearings before a judicial body. The record shall be the property of the university.
  - o. Any question of interpretation regarding the Student Code of Conduct shall be referred to the Vice President for Student Affairs or the Dean of Students
  - p. The student shall be advised of the method and time limitations for appeal, if any is applicable
2. **Victim's Rights**
- a. Some actions that violate the university regulations involve victimization of one or more students by another student(s). This behavior may include acts of theft or damage to property, physical violence, and other acts that endanger the safety of others in the university community. If a student has filed a complaint and is identified as a victim, that student is entitled to certain rights during the disciplinary process.
  - b. If a charge is filed with the appropriate judicial official, it is important to remember that the accused student is being charged with violating a university rule or regulation. Although a victim's input may be sought during the disciplinary process, the ultimate disposition of the case rests with the university. If a victim withdraws his or her complaint during the course of the disciplinary proceeding, the university reserves the right to proceed with the case on the basis of evidence other than the testimony of the victim.
  - c. During the course of a disciplinary proceeding, victims have the following rights:
    - i. Turing the course of a disciplinary proceeding, victims have the following rights:
    - ii. To submit a written account of the alleged incident.

- iii. To be advised of the date, time and location of the disciplinary hearing, and to request rescheduling of the hearing for good cause.
- iv. To be accompanied by an advisor of the victim's choosing during the hearing process, although the advisor will not be permitted to speak for the victim during the hearing.
- v. To testify as a witness during the hearing.
- vi. To decline to testify, with knowledge that such action could result in dismissal of the university's charges for lack of evidence.
- vii. To submit a written impact statement to the hearing panel for consideration during the sanctioning phase of the disciplinary process

3. **All matters involving allegations of impermissible discrimination, harassment (including, but not limited to, sexual violence or misconduct), or retaliation will be governed by the procedures outlined in Student Sexual Misconduct Policy and/or an institutional policy that reflects the requirements of that Guideline. In cases involving alleged sexual assault and/or misconduct, both the accuser and the accused shall be entitled the following:**

- a. a pre-hearing meeting in which rights, procedures, and process are reviewed.
- b. the same opportunity to have others present during a disciplinary proceeding
- c. to be informed of the outcome of any disciplinary proceeding involving allegations of sexual assault and/or sexual misconduct,
- d. to be informed at least 2 business days in advance of the judicial board members or hearing officer who will hear a case and of any witnesses who are being called
- e. that the judicial board members or hearing officer has received sexual assault/misconduct adjudication training
- f. the accuser will have the same right to appeal (if any) as those afforded the accused
- g. the accuser will also be notified when the complaint is delivered to the accused

F. **ACADEMIC MISCONDUCT PROCEDURES**

Academic misconduct will be subject to disciplinary action. Any act of dishonesty in academic work constitutes academic misconduct. Penalties for academic misconduct, beginning with the first offense, will vary with the seriousness of the offense and may include, but are not limited to: a grade of "F" on the work in question, a grade of "F" of the course, reprimand, probation, suspension, and/or expulsion. For a second academic misconduct offense the penalty may be permanent expulsion from the University. Allegations of academic misconduct will be handled pursuant to the procedures described below as distinct from other student disciplinary matters. In any cases where suspension or expulsion are possible sanctions, the student shall be entitled to the option of having a UAPA hearing (detailed in Part 6 Disciplinary Procedures, Paragraph (2) UAPA) and shall be given at least five (5) days in which to choose the UAPA or the formal hearing process.

1. **Administration of Discipline Procedures**

- a. Charges of academic misconduct may be brought by members of the faculty, staff, or student body.
- b. For undergraduate and graduate students, cases in which an instructor, or other individual, determines that a student has committed an act of academic misconduct, the matter will be reported in writing to both the student and to the dean of the school or college in which the alleged misconduct occurred. Cases of alleged academic misconduct involving graduate students (including those enrolled in the Ph.D. program in Biomedical Sciences within the College of Medicine) will be reported to the Dean of the Graduate School. Alleged violations of students at the Quillen College of Medicine (COM) or the Gattton College of Pharmacy (COP) will be adjudicated through the respective college procedure: the Student Honor System as detailed in the COM Student Handbook and the Academic Misconduct section of the COP Student Handbook.
- c. The dean of the school or college in which the alleged misconduct occurred or their designee will investigate the report of misconduct and will obtain all information pertinent to the investigation. After having made this investigation, the official will arrange a conference with the student against whom the allegations of misconduct have been made. At this conference the student will be informed, in writing, of the allegations.
- d. The student will not be subjected to any form of pressure to coerce admission of guilt or information about his/her conduct or that of others after gathering all the facts of the case
- e. Based on the investigation of the reported misconduct, including any information provided by the accused student, the official shall determine whether the allegations have been substantiated. In cases where the charges are substantiated, the official shall determine an appropriate sanction, and attempt to resolve the matter without initiating a formal disciplinary hearing. Potential sanctions may include any penalty up to, but not including, suspension or expulsion from the institution.
- f. The student may accept the proposed resolution of the matter or elect to have a formal hearing. In the event the student elects to waive the hearing and accept the suggested punishment the official shall prepare a waiver of hearing for the student's signature.

2. **Formal Hearing Procedures**

For undergraduate and graduate students, the student will be informed, in writing, of the time and place of the hearing, as well as the specific allegations. The student also will be advised of the structure and procedure for the hearing, the range of possible punishment, and his/her right to be accompanied by an advisor. Such notice should be given at least seven (7) days in advance of the hearing. The dean or designee will designate three (3) faculty members and three (3) students, from a standing college or school committee on academic misconduct to hear the charges. The standing committee shall be appointed by the Dean of each school or college for one year and shall consist of a minimum of eight (8) members, four (4) faculty

members and four (4) students). Neither the individual bringing the charges, nor the dean or his/her agent shall be members of the hearing committee.

- a. Both the accused and the accuser shall be entitled to be present throughout the hearing, until the hearing committee goes into executive session.
- b. At the hearing, it shall be the responsibility of the dean or designee to be present and to coordinate the presentation of evidence relevant to the alleged misconduct.
- c. The student will bear the burden of proof by a preponderance of the evidence.
- d. The student may be accompanied by an advisor.
- e. The student shall be given an opportunity to testify and present evidence and witnesses relevant to the charges and penalties involved and to cross-examine any witnesses. In no case will the committee consider statements against the student unless he/she has been advised of their contents and the names of those who made them and given opportunity to rebut any unfavorable inferences which might be drawn from them. The student may decline to testify, with knowledge that silence may be considered as evidence.
- f. The committee is not bound by strict rules of evidence. Determinations as to the admissibility of evidence in the hearings rest solely in the discretion of the committee.
- g. The disciplinary hearing shall be private, unless otherwise requested by the student, in writing, and a record of it shall be made.
- h. After all evidence has been presented; members of the committee will meet in executive session to deliberate on the charges. The committee's decision and recommendation shall be based on a majority vote of the six committee members, all of whom must be present at the hearing.
- i. Upon a finding against the student, the committee shall recommend such penalty as deemed appropriate.
- j. If the committee recommends expulsion or suspension and the dean concurs, the approval of the vice president for academic affairs must be obtained. The dean then advises the student of the dean's decision and of the student's right to appeal to the president

### 3. Appeals

Appeal from a finding of guilt of academic misconduct and the imposition of a sanction for the offense may be taken to the president of the university. (See Part V Disciplinary Procedures, Paragraph C. Institutional Procedures, Subpart 4. Appeals)

- G. **Interim Suspension Hearings:** Hearings conducted with regard to interim suspensions imposed pending the outcome of a disciplinary investigation or proceeding shall be conducted consistent with the minimum requirements of due process applicable to an institutional hearing, taking into account the need for a timely hearing. The evidence presented at the hearing shall be limited to that which is relevant to the basis asserted for imposition of the interim suspension.
- H. The president of East Tennessee State University is authorized, at his or her discretion, to intervene in order to negotiate a mutually acceptable resolution to any disciplinary

proceeding, or, subsequently, to convert any finding or sanction imposed to a lesser finding or sanction, or to rescind any previous finding or sanction, in appropriate cases.

**Policy Title:** Student Due Process Procedure

**Policy Type:** Student **New/revised:** Revised

**Old Policy #:** 3:02:01:00

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:**

The purpose of this policy is to establish student due process procedures for East Tennessee State University.

**Policy**

- I. Due Process
  - A. The institution and the ETSU Board of Trustees shall ensure the implementation of policies and regulations pertaining to discipline and conduct of students maintain the constitutional rights of students by affording a system of constitutionally and legally sound procedures which provide the protection of due process of law.
  - B. If, in accordance with the institution regulations governing discipline in cases of student social misconduct, a hearing is requested, the following minimal procedures will be observed:
    - 1. The student shall be advised of the time and place of the hearing.
    - 2. The student shall be advised of the breach of regulations of which or she he is charged.
    - 3. The student shall be advised of the following rights:
      - a. The right to present his or her case.
      - b. The right to be accompanied by an advisor.
      - c. The right to call witnesses in his or her behalf.
      - d. The right to confront witnesses against him or her.
    - 4. The student shall be advised of the method of appeal.



**Policy Title:** Approval of Agreements

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** 1:03:02:10

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The following policy on approvals delineates the approval process for procurements and agreements to be entered into by the university.

**Policy:**

- I. Approval by the President
  - A. All agreements and contracts affecting the university must be approved and executed by the President or the President's designee.
- II. The following agreements, contracts or procurements, in addition to being approved as set out above, shall be submitted to the Board of Trustees for approval:
  - A. Agreements and contracts involving or related to the purchase or disposal of real property and capital outlay projects.
  - B. Agreements involving or related to the leasing (institution as lessee or lessor) of real property for more than five (5) years or more than \$150,000 per year.
  - C. The primary operating agreement between the university and its foundation.
  - D. Banking, procurement card, and other financial services agreements.
  - E. Renewals of the above agreements do not require approval by the Board of Trustees if no changes have been made.
- III. The Board of Trustees shall be regularly informed of the following agreements approved by the President:
  - A. Any agreement, including purchase orders, for two hundred fifty thousand dollars (\$250,000) or more in annual revenue or expense.
  - B. Any agreement between the university and any other institution, agency, organization or entity which provides for the coordinated or cooperative offering of any credit or non-credit programs or activities or in which certificate or degree requirements are met or credit is given for coursework or activities offered by another institution as stipulated in academic policies.
    1. Examples of such agreements include provisions for either credit or non-credit academic programs or public service activities to private or state agencies and institutions in the fulfillment of that agency's responsibility for state-wide services or governmental training, and
    2. Agreements which require consortia or cooperative arrangements with other institutions, agencies, or associations.
  - C. Any noncompetitive contract with a potential term of more than one (1) year and a cumulative value of two hundred fifty thousand dollars (\$250,000) or more. Institutions shall not enter into multiple one-year contracts, involving the same vendor for the same service, to circumvent this requirement.
- IV. Other Approvals

- A. Certain agreements may be subject to additional review and/or approval processes as set out in TCA or other state policies, i.e. Fiscal Review, State Building Commission, etc.
- V. Exceptions
  - A. The Board of Trustees may approve exceptions to the requirements of this policy in appropriate circumstances. Requests for exceptions must be signed by the President and include sufficient justification documentation.

**Policy Title:** Approval of Fees

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** FP-27

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is the establishment of University policy regarding the approval of student fees.

**Policy:**

I. General Provisions

- A. The Board of Trustees must establish or approve all institutional fees and charges unless specifically delegated to the President. The President or his/her designee is responsible for approving all fees at the University level.
- B. The following fees are subject to approval of the Board of Trustees:
  - 1. Maintenance Fees
  - 2. Out-of-State Tuition
  - 3. Debt Service Fees
  - 4. Specialized Academic Fees
  - 5. Student Government Fee and Student Activity Fee
  - 6. Miscellaneous Course Fees
  - 7. Application Fee
  - 8. Late Registration Fee
  - 9. Graduation Fee
  - 10. Returned Check Fee
  - 11. Motor Vehicle Registration
  - 12. Post Office Box
  - 13. Traffic Fines
  - 14. Applied Music Fee
  - 15. Technology Access Fee
  - 16. Student Residence Hall and Apartments
- C. The University Comptroller's Office is responsible for maintaining supporting documentation evidencing fee determination and approval.

II. Approval of Fees Administered by the President or his/her Designee

A. New Fees

Any recommendation regarding new fees to be charged by a University department should be forwarded to the University Comptroller's Office from the appropriate Vice President. The University Comptroller's Office will be responsible for obtaining the appropriate institutional approvals and will notify the requesting department if the fee has been approved.

- B. Existing Fees - The following fees are currently authorized. Changes may be approved by the President or his/her designee. Any requested changes in the approved fee must be forwarded to the University Comptroller's Office.
1. Sales of goods and services of a commercial nature, including bookstores, food services, vending, laundry and similar activities.
  2. Rental of non-student housing and facilities.
  3. Admissions fees to athletic and other events open to the public, including special events sponsored by campus organizations and activities.
  4. Sales and services of educational activities such as clinical services, publications, etc.
  5. Registration for conferences, institutes and non-credit activities.
  6. Fees for use of campus facilities.
  7. Parking permits and parking meters for use by guests and visitors.
  8. Library fines.
  9. Thesis and dissertation fees.
  10. Childcare fees.
  11. Standardized test fees.
  12. ID card replacement fee.
- C. Where appropriate, delegation may be made to a department to determine and charge fees without further approvals. Such instances may include areas such as non-credit courses, wellness center programs, etc. Documentation of the approved delegation must be on file in the Comptroller's Office. The department will be responsible for maintaining:
1. documentation of the delegation of fee approval by the President or designee.
  2. current fee schedule.
  3. methodology used to determine fees (i.e. cost, market price, etc.)

**Policy Title:** Budget Control

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** 4:01:00:00

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** It is widely recognized that budget control is essential for effective financial management of any organization. In view of this, it is the purpose of this policy to provide clear and specific responsibility for proper budget management and control for the University. It is the control mechanism aspect of budgeting that is the focus of this policy.

**Definitions:**

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

**Policy:**

- I. Submission of Budgets
  - A. It is recognized that a budget is a plan and that circumstances may necessitate revisions or changes to the original plan from time to time. The three submissions are described briefly as follows:
    - 1. Proposed Budget - This is the original budget prepared in the spring that is for the fiscal year to begin July 1. It is normally submitted to the Board of Trustees spring meeting.
    - 2. Revised Budget - This budget is a revision of the proposed budget and is normally referred to as the "October Revised Budget". It is prepared as of October 31 after actual fall enrollments and other estimated costs and closing balances are known and is normally submitted to the Board of Trustees fall meeting.
    - 3. Spring Estimated Budget - This budget is the final budget submitted for the current year operations. It is submitted in the spring at the same time as the Proposed Budget for the coming year. This is the final approved budget for the institutions and therefore contains the control totals against which final year-end amounts are compared.
  - B. It should be noted that the approval of a budget does not waive statutory, policy, or other restrictions for expending funds.
- II. Operating Budgets
  - A. Level of Budget Control
    - 1. Institutional budget control amounts are approved for the major educational and general functional classifications of Instruction, Research, Public Service,

- Academic Support, Student Services, Institutional Support, Operation and Maintenance of Plant, and Scholarships and Fellowships where applicable.
  - 2. Auxiliary Enterprises are controlled on a profit or break-even basis.
  - 3. Additionally, control amounts are approved for educational and general transfers, both mandatory and non-mandatory. Funds transferred to other funds whether mandatory or non-mandatory are restricted in the other funds for the designated purpose. This restriction, however, does not prevent subsequent reallocations or transfers to other funds.
  - 4. All discretionary allocations of the fund balance must be approved.
- B. Budget Revisions
- 1. Revisions within Functional Area
    - i. Institutions may make budget revisions within a given functional area at the campus level.
    - ii. The revisions should be properly documented and approved by the President, or his or her designee.
  - 2. Revisions between Functions
    - i. Budget revisions from one functional area to another that exceed 1% of total expenditures must receive prior approval of the President if proposed at other than the three regular budget submission times.
  - 3. Revision of Overall Expenditure Total
    - i. Budget revisions to one or more educational and general functional areas that increase the overall educational and general budget must receive prior approval of the President if proposed at other than the three regular submission times.
    - ii. The request for revision should be submitted in accordance with item 2 above and should include the source of funding for the proposed revision.

### III. Plant Fund Budgets

#### A. Unexpended Funds

##### 1. General

- i. The purpose of the Unexpended Plant Fund is to account for the unexpended resources derived from various sources to finance the acquisition of long-term plant assets and the associated liabilities.
- ii. These funds will be used for capital projects such as major additions and/or renovations to physical facilities.
- iii. All funds added or transferred into the Unexpended Plant Fund will be controlled by specific project.
- iv. Commitments or expenditures for any capital project shall be in conformance with all applicable state laws and requirements of the State Building Commission.
- v. All project budget revisions and the utilization of reallocated project balances shall be approved by the President or designee.

#### B. Extraordinary Maintenance

- 1. Within the Unexpended Plant Fund, each institution shall establish an account for extraordinary maintenance to be used for unusual or unanticipated maintenance needs.

2. The annual budget shall include a minimum balance in the extraordinary maintenance account. This minimum shall be the greater of 0.1% of plant funds or \$150,000.
  3. All projects in the extraordinary maintenance account shall be approved by the President or designee.
- C. Renewals and Replacements
1. The resources set aside for renewals and replacements, as distinguished from additions and improvements to plant, are accounted for in this fund group.
  2. The responsibility to replace auxiliary equipment requires a transfer at least 5% of auxiliary gross margin to the renewal and replacement fund.
- D. Retirement of Indebtedness
1. The purpose of this fund is to account for the accumulation of resources for interest and principal payments and other debt service charges relating to plant fund indebtedness.
  2. Additions to this fund are to be set up in separate debt service accounts.
- IV. Guideline and Position Controls
- A. Position control is a part of the personnel budget process. The number of authorized permanent positions at each institution is controlled within unrestricted education and general accounts and auxiliaries.
1. Controls exist on the total number of positions at the institution and on the classification of those positions (administrative, faculty/academic, professional, clerical/support).
  2. Positions are maintained each year in the proposed and revised budgeting processes, and at additional times as requested during the legislative session.
- V. Legislative Controls
- A. Each budget year will normally have unique guidelines and requirements depending on legislative or executive branch requirements.
1. A schedule of these requirements will be prepared each budget cycle.
  2. It is the responsibility of the institution to ensure that all budget guidelines for a given fiscal year are incorporated into the budget and are carried out operationally.
- VI. Budget Control
- A. The University shall develop appropriate controls and procedures and ensure that established control limits are not exceeded.
- B. Summary management reports should be prepared for top level administrators to evaluate the current financial status of the University.
- VII. Follow-up by Finance Staff
- A. At the end of each fiscal year, the finance staff will review the annual financial report of the University.
  - B. Actual year-end amounts will be compared to the Spring Estimated Budget or the Spring Estimated Budget as officially revised, which is the final approved budget for the year.
  - C. Functional expenditure totals will be analyzed for adherence to the approved control levels.
  - D. The financial information will also be examined for compliance with all budget guidelines and/or Board policies in effect for the fiscal year just completed.
  - E. The President shall report any institutional deficiencies or non-compliance with budget controls and guidelines to the Board.

**Policy Title:** Budget Principles

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** 4:01:00:01

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** As a public entity, East Tennessee State University is responsible for the prudent management of resources entrusted to its care by Tennesseans. Ensuring that budgets developed by institutions and considered by the Board of Trustees are prepared in accordance with sound budget principles is fundamental to good stewardship of financial resources. The budget principles included in this policy are intended to respond to the expectations of various stakeholders relating to the generation and expenditure of funds. All university officials responsible for budgeting processes are directed to adhere not only to the specific requirements of this policy, but to also act within the spirit of this policy and in a manner that evidences forthrightness and engenders public trust.

**Policy:**

I. Guiding Principles

- A. Working within the institution's shared governance process, the President has the responsibility and full authority to propose a budget to the Board of Trustees. The President will ensure that the process for budget development is open, provides for accountability, includes appropriate constituencies in budget planning, and incorporates clear guidelines and adequate training for those involved.
- B. In the development and submission of budgets, the President shall adhere to the following principles.
  1. Budgetary needs should be prioritized relative to the University's core mission and consistent with its strategic plan, with resources aligned accordingly. In situations where resources are constrained or limited, resources should be redistributed as needed to ensure that limited resources meet the highest priority needs of the institution.
  2. Budgets must respect generational neutrality. In general, this to say that the cost of educating the current generation of students should be borne by the current generation and not be deferred to future generations.
  3. The Budget must be balanced:
    - i. In total, such that all planned expenditures do not exceed expected revenues and use of reserves or other non-recurring funds; and
    - ii. On a recurring basis, such that planned ongoing expenditures do not exceed expected recurring revenues. Use of non-recurring funds to meet recurring expenditures is discouraged; however, it is acknowledged that circumstances may arise when it is in the best interest of the institution to do so. In the event non-recurring revenues are budgeted to meet recurring expenses, this must be specifically disclosed to the Board as part of the budget consideration process,



including justification and the institution's plan for achieving recurring balance.

4. A degree of fiscal conservatism must be incorporated in the budget to reduce the risk of year-end deficits by:
  - i. Ensuring all costs are fully recognized. Use of anticipated savings as a funding source (e.g., lapsed salaries) for recurring expenses is discouraged. If anticipated savings are used to fund recurring expenses, this must be specifically disclosed to the Board of Trustees as part of the budget consideration process;
  - ii. Using financially conservative, yet reasonable, revenue estimates in light of existing conditions. Estimates of revenues derived from students must be based on analysis of historic enrollment patterns, modified for any recent observable patterns. The basis for student derived revenue estimates must be communicated to the Board Trustees as part of the budget consideration process; and
  - iii. Maintaining appropriate contingency funds for revenue shortfalls and emergencies for both Education & General and Auxiliary operations, consistent with relevant policies and guidelines.
5. Related to the principle on generational neutrality and to ensure the long-term viability of the institution, sufficient provision must be made in both Education & General and Auxiliary budgets to annually fund:
  - i. Maintenance and facilities renewals to the physical plant and grounds; and
  - ii. Acquisition, repair and replacement of teaching equipment, computers, and other equipment.
6. Opportunities for cost savings arising from shared services and resources between departments and organizations within an institution and among other institutions should be aggressively pursued.

## II. Operational Provisions

- A. Accountability for the effective management of the budget rests with the President, who ensures that proper controls and budget management policies are established.
- B. Guidelines may be developed that further direct and clarify application of the above principles in the budget development and administration process. The President is authorized to issue directives on these matters consistent with the provisions of this policy.

**Policy Title:** General Personnel

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** 5:01:00:00

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The following General Personnel Policy of the Board of Trustees delegates to the President the authority and responsibility hereinafter specified concerning personnel, which the Board of Trustees finds to be necessary and appropriate for the efficient administration of the university.

**Policy:**

- I. Scope of Delegation to the President
  - A. The appointments and terminations which require the prior approval of the President and the Board of Trustees include:
    - 1. All Vice Presidents or other executives reporting directly to the President (academic, business, student affairs, etc.) including all interim appointments;
    - 2. Directors and chairs of the Centers of Excellence, including interim appointments;
    - 3. Any other positions which may be designated by the President.
  - B. The President is authorized to appoint, determine the compensation and change of status of, and terminate all other employees at the institution subject to the provisions of this and other relevant Board of Trustees and institution policies and procedures and the approved Compensation Plan Guideline.
    - 1. The president may delegate the foregoing authority to a designated person or persons at the institution provided that all appointments and compensation of faculty and administrative personnel shall be subject to the approval of the president.
    - 2. Subsequent references to the president of an institution include the president or his or her appropriate designee.
  - C. Notwithstanding any other policy or agreement, in the event of a severe state budget shortfall or state impoundment, the President may give specific written authorization to reduce compensation across the board for the remainder of the fiscal year, to mandate furloughs without pay and/or to reduce the amount of time to be worked
- II. Appointments
  - A. The President is authorized to appoint and employ personnel within the scope of delegation provided in Section A for positions at the institution which have been approved by the Board of Trustees in an operating budget (work program) at a level of compensation which does not exceed the amount specified in the operating budget; provided that new appointments to approved positions may be made at a level of compensation in excess of the amount specified where funds are available.

- B. No employment agreement, or contract, or letter of agreement shall be used in the appointment or employment of personnel unless the form of agreement, contract, or letter has been approved by the President.
- C. New senior administrative positions shall not be established and no major change in the administrative organization shall be made unless approved by the Board of Trustees.
- D. The minimum qualifications for the appointment of faculty is set forth in ETSU Policy.
- E. The minimum qualifications for the appointment of all personnel other than faculty shall be determined by the president or director or designee, based upon the duties and responsibilities of the position, and shall be recorded and maintained by the institution, subject to any minimum qualifications for personnel positions.

**Policy Title:** General Travel

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** FP-7 and 4:03:03:00

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The following policy applies to the travel of all employees of the university in the performance of their official duties. Provisions of this policy also may apply to individuals other than employees who are authorized to travel at university expense. Departments may adopt more restrictive policies than those included in this document. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with this policy and any approved exceptions hereto.

Procurement cards may be used for the payment of registration fees and required advance payments for airline. Procurement cards may not be used for expenses incurred during actual travel time except in instances of team/group travel.

This policy and specific reimbursement rates for travel expenses allowed under this policy shall be consistent with those of the Comprehensive Travel Regulations of the State of Tennessee. Current reimbursement rates can be found in the Travel Rate Schedule.

All travel must be consistent with the educational, research, and professional needs of the University. Employees must conduct all travel with integrity, in compliance with applicable laws, policies, and procedures, and in a manner that excludes considerations of personal advantage. Employees must exercise good judgment and conduct all aspects of travel in a cost-efficient manner.

**Policy:**

**I. General Provisions**

- A. No authorization for travel by an employee shall be granted, and no reimbursement for travel expenses shall be made, except in accordance with the provisions of these policies and procedures. Reimbursement for travel expenses shall be limited to expenses incurred upon travel authorized in advance by the appropriate approving authorities.
- B. Travel which may be authorized, and pursuant to which expenses may be reimbursed, shall be limited to the following:
- C. Travel which is necessary for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives; or
- D. Travel to meetings and conferences of a professional nature which will increase the attending employee's usefulness to the University.
- E. Travel shall not include, and no reimbursement for expenses shall be made for, transportation in connection with an employee's official station of employment. The

employee's "official station" is his or her regular area of employment activity, e.g., campus, or designated location of an employee established in the field.

1. The official station of an employee shall be designated by the appointing authority.
  2. It is normally expected that the official station is that location at which the employee spends greater than 50% of his or her working time.
  3. For an employee required to be on call (as determined by his or her job description), either overnight or on weekends, the official station of the employee while on call becomes his or her residence, or the location at which the employee receives the call.
  4. Reimbursable mileage begins at the location at which the employee receives the call.
- F. The employee is considered to be on official travel status, and as such, eligible for reimbursement of travel expenses, at the time of departure from the employee's official station or residence, whichever is applicable, for the purpose of traveling on University business.
1. Expenses for meals and lodging will be allowed when overnight travel or occasional excessive hours of work are required outside the county of the employee's official station of residence.
  2. En route lodging will be allowed for only one day each way on trips of long duration.
  3. Expenses for lodging will only be allowed in cases where the approved and most direct or expeditious mode of travel will require more than ten (10) hours of continuous travel for trips of long duration.
  4. The lodging expense will not be considered en route lodging if it does not add an additional day of lodging expense.
  5. For example: An employee has a 9:00 a.m. meeting in Atlanta. Assume the employee needs to work a full day prior to the trip. It would be less expensive and more convenient to drive rather than fly. The employee leaves the night before and drives to within two hours of Atlanta. Then the employee spends the night, continues the drive the next morning and arrives for the 9:00 a.m. meeting. This will be reimbursed but is not considered en route lodging as it did not add an additional day of lodging expense to the normal travel expenses.
- G. The limitations on travel expenses contained herein are maximum amounts above which reimbursement will not be made. Employees are expected to be as conservative as possible in incurring travel expenses.
- H. Reimbursement for travel expenses shall only be allowed for actual expenses incurred, subject to the maximum limitations cited in the [Travel Rate Schedule](#).
1. Receipts must accompany claims for reimbursement for all expenses exceeding the amount cited on [Travel Rate Schedule](#).
  2. Receipts are not required for meals, taxi fares, tolls, and ferry fees.
  3. Lodging receipts are required and must itemize room charges and taxes. No expenses shall be reimbursed until after travel has been completed.
- I. Internet travel sites such as Expedia, Travelocity or Kayak can be utilized to purchase single travel services such as an airline ticket. Internet travel sites cannot be used to purchase a package or one or more travel services. Purchases of travel packages that combine services such as lodging, airline, or vehicle rentals are not allowed. These

package deals do not usually provide sufficient itemized pricing for each service purchased and therefore do not allow for proper comparison to CONUS or conference rates as required by policy.

- J. Procurement cards may be used for travel expenses for team/group travel as approved by the procurement card administrator.

## II. **Authorization of Travel**

- A. **Approving Authorities** - The President or President's designees shall have authority to approve travel by employees of the University. Authorization for travel by a student, regardless of the destination, shall be approved by the President or their designee.
- B. **In-State Travel** - All employees must obtain prior authorization for instate travel by the employee's appropriate approving authority. Written authorization may not be necessary for instate travel where the expected expenses will not be substantial, or when there is no advance notice of the circumstances necessitating the travel, and such travel is approved orally by the appropriate approving authority. Employees whose employment requires frequent instate travel may obtain blanket authorization in writing for such travel.
- C. **Out-of-State Travel** - All employees must obtain prior written authorization for out-of-state travel, which must be approved by the employee's appropriate approving authority. The authorization must show the name of the person traveling, purpose of the trip, destinations, date of departure and return, mode of transportation, estimated expenses, and availability of funds. If, in the normal course of official business, the employee must routinely travel into another state and back in the same day, such travel will be considered in-state travel and shall be subject to the in-state travel provisions. This exception applies for trips which do not exceed 50 miles into another state. Employees whose employment requires frequent out-of-state travel may obtain blanket authorization in writing for such travel.
- D. **Canada Travel** - Authorization for travel by an employee to Canada shall be approved by the President for employees of institutions.
- E. **Alaska, Hawaii and Out-of-Country/International Travel** - Authorization for travel by an employee to Alaska, Hawaii, and all out-of-country/international travel shall be subject to approval by the President. Authorization for travel to Alaska, Hawaii, and all out-of-country/international travel by the President shall be subject to approval by the Chair of the Board of Trustees. Requests for authorizations should reach the President's Office fourteen (14) days before the date approval is needed.

## III. **Transportation**

- A. **General** - All travel must be by the most direct or expeditious route possible and any employee who travels by indirect route must bear any extra expense occasioned thereby. When work is performed by an employee en route to or from the official station, reimbursable mileage is computed by deducting the employee's normal commuting mileage from the actual mileage driven in performing the work in route to or from the official station. For example, if an employee normally commutes 10 miles (20 miles round trip), and performs work on the way home from the official station which results in 12 miles driven, the mileage reimbursement will be for 2 miles only, as that is the amount of mileage in excess of the employee's normal commute. In no instance shall mileage claimed for reimbursement exceed actual miles traveled.
- B. **Mode of Transportation** - Transportation for employees traveling singly should be by common carrier (air, train, or bus) whenever practical. The use of air travel is recommended when time is an important factor or when the trip is so long that other

methods of travel would increase the subsistence expense. Automobile transportation may be used to save time when common carrier transportation cannot be satisfactorily scheduled or to reduce expenses when two or more employees are making the trip. Employees who have approval to drive rather than fly on long trips will be reimbursed for two day's meals and one day's lodging in route to the destination and similarly on return to campus. Reimbursement for personal vehicle use may be claimed at the lesser of the standard mileage rate or comparable cost of commercial transportation including taxi fares and/or limousine charges.

- C. **Common Carrier Travel** - When travel is by common carrier, the fare must not exceed the standard coach fare charged the general public, and advantage must be taken of round trip rates when available. The employee's copy of the ticket, or an acceptable itemized receipt, must be submitted for reimbursement of common carrier expenses. Baggage Fees will be allowed when necessary. A receipt is required for reimbursement. Charges for trip insurance are not reimbursable. The State of Tennessee is self-insured and does not purchase separate insurance, and therefore will not reimburse for insurance purchases made for trips.
- D. **Chartered Aircraft** - Generally, faculty and staff (including group travel and athletics) whose duties require travel will use commercial ground and air carriers or a university vehicle. However, a chartered aircraft may be used if time and/or distance preclude ground travel or if a commercial air service is either unavailable or does not meet the needs of the traveler(s). The following guidelines apply:
  - 1. Chief Financial Officer will be responsible for:
    - i. reviewing and approving requests for charter air services,
    - ii. scheduling charter flights, and
    - iii. informing those who request charter flights of the charter company's policy on canceling scheduled flights.
  - 2. Charter services will be obtained only when it can be shown that the charter does not exceed the sum of all traveling costs by commercial carrier (e.g. transportation, meals, and lodging) or that circumstances necessitate travel when no other means is available.
  - 3. The charter company must provide the institution with an original, itemized invoice showing the beginning and ending dates of the charter, the origin and destination of each flight, and the names of passengers on each flight.

#### IV. **Travel by Automobile**

- A. **Automobile Travel** - When travel by personal vehicle is appropriate, employees may use state-owned vehicles whenever available and feasible. However, state-owned vehicles should be used only on official business.
  - 1. National/Enterprise Rental Cars – The University operates under a state contract for the use of National/Enterprise which is to be used for most travel. Employees must be registered as an Emerald Club member in order to rent a vehicle. Approved individuals may also have approval to have the rental car direct billed to the University. Cars may be rented using the State of Tennessee specialized website at [www.enterprisecarshare.com/tennessee](http://www.enterprisecarshare.com/tennessee). The contract with National/Enterprise provides all required insurance coverage so all insurance should be declined when renting a vehicle as it will not be reimbursed.
  - 2. State-Owned Automobiles - When transportation is by a state-owned vehicle, all necessary repair bills, tolls, parking, gasoline and storage expenses are

allowable. When using motor pool vehicles, employees will be furnished with courtesy cards for purchase of gasoline, oil, and other vehicle services, and such expenses should not be claimed by employees as travel expenses. Emergency out-of-pocket expenses, such as towing or emergency repairs, will be reimbursed but must be accompanied by proper receipt identifying the vehicle and itemizing the services. Such expenditures must be of an emergency nature where immediate service is required and access to a state facility is not possible. Major repairs should be approved by campus officials prior to work being performed. Such expenditures are allowed but should be filed or reimbursement separately.

3. Personally-Owned Automobiles - Use of a personally-owned vehicle must be authorized. The trip optimizer function of the National/Enterprise website should be used to determine if the use of a personal vehicle is cheaper than the anticipated cost of a rental car. When using a personal vehicle when the trip optimizer indicates the use of a rental vehicle will be at less cost, reimbursement for the personal vehicle will be limited to the amount shown by the trip optimizer. A copy of the trip optimizer calculations must be included with all travel claims where personal mileage is being claimed. When travel by personal vehicle is shown to be less mileage reimbursement rates are provided on Travel Rate Schedule. The authorized mileage allowance includes all operating expenses such as gas, oil, and repairs precluding any separate claim for such items. Employees may use reputable websites to determine point-to-point and/or vicinity mileage. Commuter Mileage procedures for calculating mileage are based on the fact that the State is prohibited from reimbursing employees for normal commuting mileage. If an employee begins or ends a trip at his/her official station, reimbursable mileage will be the mileage from the official station to the destination. If work is performed by an employee in route to or from his/her official station, reimbursable mileage is computed by deducting the employee's normal commuting mileage from the actual mileage driven. If an employee begins or ends his/her trip at his/her residence without stopping at his/her official station, reimbursable mileage will be the lesser of the mileage from the employee's residence to his/her destination or his/her official station to the destination. On weekends and holidays, the employee may typically be reimbursed for actual mileage from his/her residence to the destination. If an employee travels between destinations without returning to his/her official station or his/her residence, reimbursable mileage is the actual mileage between those destinations.
  4. The travel claim must indicate the employee's itinerary and must show the official business mileage. Business mileage as indicated in the Rand-McNally or reputable websites for out-of-state routes will be as official. Vicinity mileage must be reported on a separate line and not included with point-to-point mileage. Only mileage while on official business may be claimed.
- B. Airport and Hotel Parking – Necessary charges for hotel and airport parking will be allowed. A receipt is required if the fee exceeds the maximum indicated in the [Travel Rate Schedule](#).
- C. **Limousine and Taxi Services** - When travel is by common carrier, reasonable limousine and taxi fares will be allowed for necessary transportation. Bus or limousine service to



and from airports will be used when available and practical. After arrival at destination, necessary taxi fares for traveling between hotel or lodging and meeting or conference will be allowed. No receipt is required for reimbursement of reasonable taxi fares.

- D. **Car Rentals at Destination** - Charges for vehicle rental shall be allowed whenever it is more economical than alternative methods of transportation or it is the only practical means of transportation. When renting a vehicle at the destination, the National/Enterprise contract must be used using the State of Tennessee specialized website at [www.enterprise-carshare.com/tennessee](http://www.enterprise-carshare.com/tennessee). This contract includes all necessary insurance coverage's so all insurance should be declined when making the reservation. If not direct billed to the University, an itemized receipt must be submitted for reimbursement. Whenever possible, employees should refuel before returning vehicles to the rental agency. If an agency other than National/Enterprise is used, evidence must be provided that the cost was less or reimbursement will be limited to amounts per the National/Enterprise contract.
- E. **Tolls and Ferry Fees** - Reasonable tolls and ferry fees will be allowed when necessary. No receipt is required for reimbursement of tolls and ferry fees.
- F. **Daily Parking Fees** - Daily parking fees for those employees working in downtown offices will not be allowed. However, if an employee is required to leave his or her office on state business and later returns, the actual additional charge required to park will be reimbursed up to the maximum indicated on the [Travel Rate Schedule](#). Also, those employees required to utilize commercial parking facilities in the daily performance of duties, or while on travel status will be allowed reimbursement for actual costs up to the maximum indicated per day. A receipt is required if the fee exceeds the maximum indicated in the [Travel Rate Schedule](#).
- G. Unnecessary meals and lodging expenses which are occasioned by the use of an automobile for reasons of the employee's personal convenience, or which are due to travel by an indirect route, will not be allowed.
- H. If travel is by common carrier, the employee will be reimbursed for expenses in traveling to and from the common carrier including related parking expenses.

#### V. **Lodging**

- A. **In-State Lodging** - Lodging expenses incurred within the state while on authorized travel will be reimbursable to the maximum stated in [Travel Rate Schedule](#).
- B. **Out-of-State Lodging** - Lodging expenses incurred out of the state while on authorized travel will be reimbursable to a maximum stated in [Travel Rate Schedule](#). The maximum reimbursement rates for out-of-state travel are the same as those maintained by the U. S. General Services Administration for federal employees within the continental United States (CONUS). The CONUS list, available on the General Services Administration web site, contains a standard reimbursement rate for lodging and meals and incidentals, and several pages of exceptions. Most destinations for out-of-state travel fall within the list of exceptions. En route lodging will be allowed for only one day each way on trips of long duration. En route lodging will only be allowed in cases where the approved and most direct or expeditious mode of travel will require more than ten (10) hours of continuous travel.
- C. **Lodging-Related Taxes** – Sales taxes on lodging costs will be reimbursable.
- D. **Additional Lodging Expenses** –
  - 1. **Convention or Conference Lodging** - Higher rates for lodging at the location of a convention or conference will be allowed, without special approval, up to the amount indicated in the convention or conference brochure or conference

website. A printed copy of the online information is to be submitted with the claim for reimbursement.

2. **President Lodging** - Additional lodging for the President will be approved on the same basis as approval is granted for other employees. Any exceptions must be approved by the Chair of the Board of Trustees.
- E. The convention or conference brochure which indicates the lodging rates must be included with the travel claim. Otherwise, reimbursement will be limited to the applicable lodging rate as provided in these regulations.
- F. **Shared Lodging** - In the event of double occupancy for university employees on official travel, both employees should attach an explanation to his or her travel claim detailing dates and other employees with whom the room was shared. The lodging cost may be claimed by the employee who incurred the cost, or one half the double occupancy charges may be allowable for each employee. If a room is shared with other than a university employee, actual cost subject to the maximum in [Travel Rate Schedule](#) will be allowed. The receipt for the entire amount should be submitted with each travel expense claim.

#### VI. **Meals and Incidental Expenses**

- A. **In-State and Out-of-State Meals** - While on authorized travel, actual expenses not to exceed maximum stated in the [Travel Rate Schedule](#) per day will be allowed for meals. The maximum per diem rates include a fixed allowance for meals and for incidental expenses (M&I). The M&I rate, or fraction thereof, is payable to the traveler without itemization of expenses or receipts. Incidentals are intended to include miscellaneous costs associated with travel such as tips for baggage handling, phone calls home, etc.
- B. The M&I rates for out-of-state travel are available on the [CONUS](#) web site. As with lodging, there is a standard rate for the continental United States, and a list of exceptions. Reimbursement for meals and incidentals for the day of departure shall be three-fourths of the appropriate M&I rate prescribed for the lodging location. Reimbursement for M&I for the day of return shall be three-fourths of the M&I rate applicable to the preceding calendar day.
- C. The breakdown of meal (breakfast, lunch and dinner) and incidental expenses is available on the [CONUS](#) web site.
- D. **Reimbursement for meals will not be permitted when overnight travel is not involved.**
- E. **Out-of Country/International Meals** - Out of Country/International meals are reimbursed at actual expense with itemized receipts. If no receipts are provided, the maximum rate will be the maximum [CONUS](#) rate for Out-of-State travel. The [CONUS](#) rates currently range from \$51 to \$74 so the out-of-country/international rate is \$74.
- F. **Official Banquets** - When the expenses for an official banquet of a meeting or conference are in excess of the above limits, the excess will be allowed provided a receipt or other documentation of the charge is submitted.
- G. **Business Meals** - See ETSU Policy on Business Meals for criteria on reimbursing business meals.

#### VII. **Miscellaneous Expenses**

- A. **Personal Expenses** - Expenses for entertainment (employees or others), laundry, tips, and gratuities, etc., are personal expenses and will not be reimbursed in excess of the incidental portion of the M&I rate.
- B. **Telephone, Internet and Fax Expenses** - Charges for long distance telephone calls, Internet and/or fax on official business will be allowed provided a statement is furnished

showing the date, the name and location called, and the nature of the business. Charges for necessary local calls on official business will be allowed.

- C. **Registration Fees** - Registration fees for approved conferences, conventions, seminars, meetings, etc., will be allowed including cost of official banquets and/or luncheons if authorized in advance by the appropriate approving authority and provided receipts are submitted with the travel claim.
- D. The Procard may be used for payment of conference registrations, workshop registrations and booth/exhibitor fees. The Procard may not be used for CME credits, entertainment, tours, charges for spouse or other family members, banquets and luncheons.
- E. If Procards are not accepted as a form of payment, the registration can be paid by check by completing the [Registration Fee Prepayment Request Form](#) and forwarding this on to the Travel Office.

#### VIII. **Claims**

- A. **Claim Form** – The [Travel Claim Form](#) shall be used for reimbursement of expenses. The form must show movement and detail of expenses on a daily basis and be signed by the employee and be approved by the appropriate approving authority prior to reimbursement. All signatures on travel claims must be original or electronic in accordance with TBR policy. Where adequate controls have been implemented to minimize risks associated with travel claim (such as the risk that duplicate claims will be submitted or alterations made to the original claim subsequent to approval by approving authority), travel claims may be submitted for payment electronically via email. Receipts for appropriate expenses must be submitted with the claim for reimbursement. Expenses for books, supplies, postage, and other items that do not constitute actual traveling expenses should not be included in the claim form. Claims for reimbursement for travel expenses should be submitted no later than (30) days after completion of the travel. Any expenses charged to the Procard must be subtracted from the total amount of the claim.
- B. **Mileage Only** – Claims for reimbursement (mileage only) of multiple local trips may be claimed on the [Travel Claim Mileage Only](#) form. This form must list each trip separately.
- C. **eBucs Claim Submission** – Once the [Travel Claim Form](#) or [Travel Claim Mileage Only](#) has been completed, the employee can request reimbursement through [eBucs](#). The [Travel Claim Form](#) or the [Travel Claim Mileage Only](#) form and all the required receipts will be required as an attachment in [eBucs](#). The only signature required on the [Travel Claim Form](#) or on the [Travel Claim Mileage Only](#) is the traveler's signature. All other appropriate approvals will be received electronically through [eBucs](#).

#### IX. **Travel Advances**

- A. **Permanent Travel Advances** - When an employee has blanket travel authorization, and is expected to travel the major portion of each month, the employee may be placed upon permanent travel status. Upon determination of the employee's estimated monthly expenses, if such expenses exceed \$100, the employee may be provided with a single advance in an amount sufficient to cover such expenses for one month, provided such amount may not exceed the semi-monthly salary of the employee. Subsequent to the initial advance, the employee shall submit appropriate claims and be reimbursed as heretofore provided, with any unused portion of the advance to be returned upon termination of the employee's permanent travel status.
- B. **Temporary Travel Advances** - When temporary travel is authorized for an employee the employee is expected to request reimbursement for their expenses after travel is

completed. Travel advances are available only under extraordinary circumstances. The employee must justify the extraordinary circumstances that warrant an advance. As an exception to policy, the employee may receive an advance, provided a request for the advance is submitted to the appropriate approving authority with the Travel Authorization Request. The employee must prepare a [Request for Exception for Travel Advance](#). Exceptions may be granted by the Associate Vice President Administrative Services based upon written request for exception for an advance approved by the Dean or Director. An amount equal to 80% of the estimated expenditures, excluding airfare and registrations if purchased through the Procard or ETSU check, will be allowed as an advance. No advance less than \$100 will be made.

- C. **Student Travel Advances** - Students traveling under individual authorizations or an employee traveling with a student or students who is responsible for disbursing all funds for the trip may be advanced 100% of the amount of the authorization, excluding airfare and registrations if purchased through the Procard or ETSU check.
- D. **Payroll Deduction Authorization** - Each employee receiving a permanent or temporary travel advance must sign a payroll deduction authorization which will allow the University to recover the advance from any salary owed the employee in the event of termination of employment or failure to submit a travel claim. This deduction from payroll will be used as a last resort only in the event all other efforts to collect the advance have failed.
- E. **Expense Claim** - Upon return, the employee should submit a [Travel Claim Form](#) or a [Travel Claim Mileage Only](#) detailing their actual expenditures within 30 days of the completion of travel. This claim should show the total expenses incurred. The advanced amount should be subtracted from this total. No advance should exceed actual expenses. If the travel advance should exceed actual expenses, the expense claim should be forwarded to the Travel Office showing that the difference has been repaid. Repayment of any or part of an advance must be made to a cashier at the Bursar's Office and the receipt provided to the Travel Office.
- F. An employee is eligible for reimbursement of travel expenses if the trip was entirely business related. If the trip was primarily for business and, while at the business destination, the employee extends the stay, makes a personal side trip, or had other personal activities, the employee can obtain reimbursement for only the business related travel expenses. These expenses include the travel costs of getting to and from the business destination but do not include additional lodging, parking, and per diem for the days not required for the business travel. Additional days are not considered business related unless they are necessary to provide rest or sleep required for the employee to properly perform their duties.

X. **Exceptions**

- A. **General** - The President shall have the authority to grant exceptions to any part or all of the provisions of this policy when deemed appropriate and necessary. Any exception directly affecting the President must be approved by the Chair of the Board of Trustees.

**Related Forms**

Travel Authorization Request

<http://www.etsu.edu/bf/fs/documents/travelauthorization.xlsx>

Claim for Travel Expenses

[http://www.etsu.edu/bf/fs/documents/travel\\_claim\\_12-20-12.xlsx](http://www.etsu.edu/bf/fs/documents/travel_claim_12-20-12.xlsx)

Claim for Mileage Only Travel Expenses

[http://www.etsu.edu/bf/fs/mileage\\_only\\_8-01-11.xls](http://www.etsu.edu/bf/fs/mileage_only_8-01-11.xls)

Registration Fee Prepayment Request Form

[http://www.etsu.edu/bf/fs/documents/registration\\_prepayment\\_9-12-08.xls](http://www.etsu.edu/bf/fs/documents/registration_prepayment_9-12-08.xls)

Request for Exception for Travel Advance

[http://www.etsu.edu/bf/fs/documents/request\\_for\\_exception\\_for\\_travel\\_advance\\_9-12-08.xls](http://www.etsu.edu/bf/fs/documents/request_for_exception_for_travel_advance_9-12-08.xls)

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### **Helpful Links and Websites**

Travel Reimbursement Rates

<https://policies.tbr.edu/policies/general-travel#Addendum>

CONUS Rates

<http://www.gsa.gov/portal/category/21287>

Ebucs

<https://solutions.scquest.com/apps/Router/Login?>

**Policy Title:** Payment of Student Fees & Enrollment

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** 4:01:03:00

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is the establishment of University policy regarding the payment of student fees and enrollment of students.

**Policy:**

- I. Student Fees and Enrollment
  - A. All assessed fees by the University are due and payable at the time of registration.
    1. The University may implement deferred payment plans as authorized for the student.
  - B. An applicant for admission to the University will be considered enrolled and counted as a student when:
    1. all assessed fees have been paid in cash; or
    2. all assessed fees have been paid by a personal check or credit card; or
    3. the initial minimum payment due under any deferred payment plans has been paid; or
    4. an acceptable commitment from an agency or organization approved by the institution has been received by the University.
  - C. An applicant will not be considered for admission as a student until all past due debts and obligations to the institution incurred in prior academic terms, of whatever nature, have been paid.
    1. The University has the discretion to allow enrollment when the outstanding obligation is \$200 or less.
    2. The University will continue to withhold diplomas, transcripts, certificates of credit or grade reports until the student involved has satisfied all debts or obligations or the debts or obligations meet the criteria established in TCA § 49-9-108. See University Policy, Collection of Accounts Receivable.
    3. All outstanding debts and obligations must be fully satisfied by the 14th day purge of the semester in which enrollment with outstanding debt was allowed.
  - D. An applicant shall possess an acceptable commitment when an application(s) for financial aid has been timely submitted with the reasonable probability of receiving such.
    1. All state financial aid granted to a student shall be applied to pay maintenance fees or tuition, student dormitory or residence hall rental, board, and other assessed fees before any excess may be distributed to the student.
  - E. Agencies or organizations which may be approved by the University for purposes of making acceptable commitments for applicants shall be limited to agencies of the

federal or state governments authorized to provide financial aid, established financial institutions within the state, established in-state and out-of-state corporations which employ the applicant, foreign embassies and foreign corporations, and other organizations within the state which have previously demonstrated the ability to pay the commitment.

1. An acceptable commitment from an agency or organization shall be limited to a commitment which identifies the applicant and promises to pay all unpaid assessed fees for such applicant.
  2. No commitments from individuals will be accepted on behalf of applicants.
- F. When an applicant tenders payment of fees by means of a personal check or credit card, the applicant may be considered and counted as a student. If the payment is subsequently dishonored by the financial institution, and the payment is not redeemed in cash, the University has the option to not consider that student as enrolled for the term.
1. At the discretion of the University, the student may be considered enrolled and will be assessed the applicable returned payment fee, the applicable late registration fee, and will be denied grade reports, transcripts and future registration privileges until such dishonored payment is redeemed.
  2. Pursuant to TCA § 49-9-108, diplomas, transcripts, certificates of credit, and grade reports cannot be withheld for debts that are both less than \$25 and more than 10 years in age.
  3. The University may deny future check writing privileges to students that have paid registration fees with checks that are subsequently dishonored.
  4. The University has the discretion to allow enrollment in the following semester when the outstanding obligation is \$200 or less.
  5. The University will continue to withhold diplomas, transcripts, certificates of credit or grade reports until the student involved has satisfied all debts or obligations or such meet the criteria established in TCA § 49-9-108.
  6. All outstanding debts must be fully satisfied by the 14th day purge of the semester in which enrollment with outstanding debt was allowed.
- G. The University may establish charges for late registration and/or payments which are returned dishonored, and such charges shall become assessed fees for purposes of admission.
- H. In accordance with these guidelines, the President has the authority to determine the applicability of certain fees, fines, charges, and refunds, and to approve exceptions in instances of unusual circumstances. All such actions should be properly documented for auditing purposes.

**Policy Title:** Calendar of Events

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Calendar of Events

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The ETSU online calendar system provides an important, front-line method to announce and publicize events that are open to both large and small segments of the campus community and the general public, including special lectures, concerts, plays, exhibits, sporting events, organizational meetings and events, and more. This is the official university calendar of events, and all campus units are to enter events on this calendar regardless of whether they maintain separate calendars on their departmental/office websites.

**Policy:**

Introduction

This policy outlines the purpose of the ETSU online calendar system, identifies responsibilities of authorized users of the system, recommends methods for monitoring the system, and reviews the procedure for managing passwords.

**1.0 Administration**

The online calendar system is administered and maintained by Information Technology Services, under the guidance of the ETSU Information Technology Council (ITC) and in consultation with the Office of University Relations. Information Technology Services (ITS) is responsible for the technical aspects of the calendar, including system maintenance, software issues, and user account/password administration. The Office of University Relations, as the official public liaison point of contact for ETSU, works with ITS and authorized users on questions of calendar content, organization and style.

**2.0 Locations in the Calendar**

Event locations in the calendar system are entered by Web Technology Services, a department within Information Technology Services. Many locations have already been entered, and can be selected via a drop down box when an event is entered. If you do not see the location (building or room) you need for an event, please notify Web Technology Services (439-8249, 439-8611 or [cms@etsu.edu](mailto:cms@etsu.edu) ) so that it can be added.

**3.0 Authorized Users and Passwords**



Information on campus events will be entered into the system by “authorized users” representing the university’s colleges, schools, and major academic units, as well as some individual departments and campus units that sponsor a great number of events. Each authorized user will receive an account name and password and receive training to enter calendar items into the system.

For system security purposes, it is strongly recommended that only authorized users enter information into the calendar. Under no circumstances are students – graduate or undergraduate – to be given password access to this system.

**It is critical that authorized users protect the security of their passwords. Misuse of the calendar system could lead to significant embarrassment and have a potentially negative impact on the university.**

Passwords should be changed annually, when an employee leaves the university, or whenever an authorized user believes security may be compromised. Authorized users may call ATS at 439-8249 or 439-8611 to have their passwords reset.

Please note that authorized users should notify ATS at 439-8249 or 439-8611 when they leave the university (through retirement or new employment elsewhere) or transfer to another department, so that arrangements may be made to assign and train a new authorized user for their unit.

#### **4.0 Appropriate Use**

Only campus departments and units that sponsor events may post to the online calendar system. Among those items that are not appropriate for posting on this calendar are classes and non-university related items. Events that a department may closely support, but not actually sponsor, are also inappropriate for this calendar. These include theatrical events in the surrounding area or neighboring colleges, community arts events, area festivals, church events, civic club events, etc.

#### **5.0 Monitoring the System**

Authorized users are responsible for monitoring and maintaining the calendar system. Among these responsibilities are:

- Ensuring both the credibility and accuracy of calendar events
- Reviewing entries regularly to identify duplications, errors, omissions, date conflicts, or event descriptions that are inaccurate or unclear
- Correcting errors and appropriately cancelling events for which they and their departments are responsible
- Contacting departments that have posted duplicate entries\*, errors or omissions to discuss and correct the problems

**\*Duplicate Entries:** Some events may have multiple sponsors, which could result in inadvertent duplicate entries. To reduce such duplicates, please remember in the planning of multiple-sponsor events to designate one sponsor to enter the calendar item.

#### **6.0 Event Submission Process**

Authorized users are primarily responsible for educating the faculty and staff in their units on the process for submitting events for inclusion on the calendar.

An event sponsor is to supply the appropriate authorized user with complete information, or as much information as possible, for entry on the calendar. Basic information needed includes:

- Event title
- Date
- Time
- Location
- Cost (if any)
- Name of Sponsoring Department/Organization (spell out)
- Brief description of event (may include lecture title, name of performer/speaker, short elaboration on content, registration details, indication of whether it is held in conjunction with a larger event, etc.)
- Background of speaker/performer (if any)
- Contact person's name, title, department/office, phone number and e-mail address

An Online Calendar Event Information Form is available to guide event sponsors in providing the required information. To access this form, click the "Add Event to Calendar" link at the bottom right hand corner of the Calendar page.

Please note that calendar entries should be completed as early as possible in the event planning process (at least two months in advance is highly recommended). This helps to ensure that

- Other campus event sponsors may possibly avoid scheduling a conflicting event on the same date, and
- More interested individuals have access to the information early enough to plan to attend.

An organization may be in the process of planning an event and have a date selected five months ahead of time, but perhaps the time, location or cost have not been determined; this organization is encouraged to provide all available information to the authorized user, who may specify the time, location and cost as "TBA" at that time, and *update the entry later once those additional details have been established.*

## **7.0 Contact**

For password and location requests/changes and technical concerns related to the calendar system and data entry, contact Sherry Martinez in ITS at 439-8249 or [martines@etsu.edu](mailto:martines@etsu.edu).

For questions regarding appropriate use, content, or style, contact Jennifer Hill in the Office of University Relations at 439-5693 or [hill@etsu.edu](mailto:hill@etsu.edu) .

### **Notes:**

Approved by: Information Technology Governance Council

Reviewed: February 2017

Active Since: January 2009

**Policy Title:** Closed Captioning for Video Recordings

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Closed Captioning

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Establishes parameters and protocol for ensuring closed caption is provided for ETSU instructional materials and technologies. Provides information about services available to faculty using video recordings in online courses.

**Policy:**

ITS Digital Media Services captions videos recorded at ETSU for use in online courses (including those for which a development Memorandum of Understanding has been completed). Most captions are completed within two business days of the release of newly recorded material, but times vary according to the number of other projects already submitted. Online instructors will be notified if we exceed this limit so they may make adjustments to tests or assignments where needed. It is important to contact the office in advance of any captioning requests.

Online instructors should not purchase supplementary videos that are not closed captioned. If special caption assistance is required for supplemental materials used in an online class, a historic video clip for example, ITS will assist.

Please contact Information Technology Services for assistance 439-7000.

**Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

Active since: November 2014

**Policy Title:** Complaint Resolution Process

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Complaint Resolution Process

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** To provide a procedure to facilitate the completion of Information Technology Services (ITS) Help Desk requests that the requester believes have remained unresolved for an extended period of time. This procedure is not intended to bypass the normal ITS Help Desk process.

**Policy:**

**Procedure**

1. When a request is made to the ITS Help Desk, the Help Desk representative will give the requester a ticket number. If a response time cannot be immediately provided, a subsequent email to the requester will include an estimated response time.
2. If there has been no resolution of the request within the expected response time, the requester should notify the Help Desk Supervisor at 439-3614.
3. If problems remain unresolved, notify the Associate Chief Information Officer and Chief of Staff for Information Technology Services at 439-8614.

**Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

Active Since: October 2005

**Policy Title:** Computer Policy for Post-Retirees

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Computer Policy for Post-Retirees

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Addresses issues regarding computers for post-retirees and for individuals who may be hired into positions vacated by an employee who is on post-retirement.

**Policy:**

**1.0 Introduction**

ETSU will provide a computer for faculty participating in post-retirement service. When a faculty member begins post-retirement service, the faculty member is assigned to a group position number according to ETSU policy. The former position number held by the faculty member is either retained, reassigned, or deleted. The purpose of this document is to address issues regarding computers for post-retirees and for individuals who may be hired into positions they vacate.

**2.0 Providing Computers for Post-Retirees**

Faculty will retain the ETSU sponsored computer assigned to their position before post-retirement service. Information Technology Services receives a listing of employees who are entering post-retirement service and provides replacement computers as part of the [ETSU-Sponsored Computer Project](#) when applicable.

The post-retiree will retain the same computer for the length of their post-retirement service. This computer will no longer be included in the regular computer replacement cycle. Information Technology Services will provide support for the computer until the computer is over six years old.

**3.0 Providing Computers for Positions Post-Retirees Vacate**

Once positions vacated by post-retirees are filled, the new faculty member in the position will receive a computer as part of the [ETSU-Sponsored Computer Project](#) for new employees. Funding for these computers will come directly from the post-retiree's budget. This budget contains the faculty's post-retirement salary, insurance supplement, and replacement cost for a new base level computer. These funds are placed in the temporary faculty account of the appropriate index indicated at the time the post-retirement service agreement is negotiated. The computer replacement portion will remain in the budget until expended or until the post-retirement agreement is terminated. These computers will be included in the regular computer replacement cycle.

**Notes:**

Approved: Deans Council  
Reviewed: February 2017

**Policy Title:** Desire2Learn Administrator Access

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Desire2Learn Administrator Access

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Provides a mechanism to ensure confidentiality of course materials, student data, and other information contained in the learning management system. Policy applies to Information Technology Services employees with administrator level access to Desire2Learn.

**Policy:**

Some users from Information Technology Services (ITS), including Academic Technology Support staff members, the D2L administrator, and the ITS HelpDesk have access to D2L course sites. These users have all signed a [D2L Confidentiality Agreement](#).

Additionally, the Desire2Learn HelpDesk has access to all D2L course sites.

**Notes:**

Approved: Academic Council  
Reviewed: February 2017  
Active since: January 2007

**Policy Title:** Desktop/Laptop Computer & Printer Installation Policy

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Desktop/Laptop Computer & Printer Installation Policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Provides guidance to campus users purchasing desktop computers or printers that are not a part of the University's computer replacement policy for faculty and staff.

**Policy:**

Information Technology Services (ITS) approves all new computer and printer acquisitions. Acquisitions should be made based on the current University Standards. Computers and printers bought without prior approval or prior variance approval may not be eligible for ITS support and maintenance. The manager of Computing Technology Services (CTS) can answer questions with regard to current computer standards.

Computers connected to the network will require installation assistance from ITS. Individuals should contact the ITS Help Desk (439-4648, email: [itshelp@etsu.edu](mailto:itshelp@etsu.edu) ) to schedule the installation of a computer. A Help Desk ticket number will be supplied to the individual and a representative from CTS will contact the individual to schedule an installation time. Any computer needing non-standard network configurations should be requested to ITS via the ITS Help Desk.

ITS will re-install applications supported by ITS from the user's current computer to the new computer. Applications not supported by ITS will be attempted on an 'as-is' basis, as time permits. ITS cannot install software without proof of licensure.

"In-kind" gifts or donations of computer or computing equipment must be pre-approved through the University Foundation office before acceptance. This equipment will be tagged and supported at the discretion of ITS.

If the new computer was obtained via the ETSU Sponsored Computers Policy the installation procedures for that program will take precedence over this policy.

Printer installation will be provided by ITS for all printers meeting current standards. Installations of non-supported printers will be attempted as time allows. Please note that we may be unable to install some non-standard printers. Any further support or maintenance on non-supported printers will be the responsibility of the department.

**Departmental purchases:**

If this computer is to replace an existing computer which is less than the current minimum configuration as defined by current university standards or is more than 6-years old, the original computer should be

sent through the surplus procedure. ITS will assist in the completion of the Surplus of Equipment form for the original computer. Central Receiving will then schedule Physical Plant personnel to remove the equipment.

If the computer being replaced is equal to or above the current minimum suggested configuration, ITS will assist in the installation of this computer to replace a computer that does not meet the current minimum suggested configuration. This computer should be sent through the surplus procedure. All computers must have licensure for all software that remains.

**Notes:**

Approved: Information Technology Governance Committee

Reviewed: February 2017

Active since: May 2000



**Policy Title:** Electronic Mail

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Electronic Mail

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy is intended to provide a process for official communication between East Tennessee State University (ETSU) faculty and staff with students. Faculty and staff are required to use the official ETSU assigned email address to communicate with ETSU students. Students are also required to use the official ETSU assigned email address to communicate with faculty and staff to ensure communication is with the person to whom the email account is assigned.

**Policy:**

Email is an integral part of the academic process in which confidential information about ETSU students is often transmitted, including evaluations, grades, and financial information. Faculty, staff, and students must recognize that although there is an expectation of privacy, unencrypted email is not a secure means of transmitting information. While this policy does not prohibit student information from being transmitted by email, caution must be exercised regarding the content of messages.

ETSU provides each student, faculty, and staff member with an official university-assigned email account. All official university communications will be sent to the university email address. Faculty, staff, and students may assume that official ETSU email is a valid communication mechanism. Therefore, the university has the right to send communications to students, faculty, and staff via email and the right to expect that those communications are received and read in a timely fashion. Although students may choose to forward university email to an external email account, he or she is responsible for all information, including attachments.

**Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

**Policy Title:** Enterprise Resource Planning (ERP) Access

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Enterprise Resource Planning (ERP) Access

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy outlines the requirements for granting access to enterprise information system resources. It describes who may be granted access, and describes conditions for termination of access.

**Policy:**

Access to the ERP and ancillary systems at ETSU is provided to employees as necessary to help with the performance of assigned duties. These privileges are granted with the understanding that they will be used as stated on the Banner Account Request forms. These privileges may be revoked if use of this access invades the rights of personal and/or institutional privacy, results in the destruction of personal and/or institutional property, demonstrates a potential for loss, embarrassment of litigation to the individual and/or institution, or because of an otherwise irresponsible use of a limited resource. The employee agrees to abide by the ETSU Information Technology Code of Ethics, Policy PPP-44. It is the responsibility of the employee's immediate supervisor to ensure that computer resources are being used in a manner consistent with the needs and responsibility of the employee's position.

Employees may be provided access to the systems needed to perform the functions of their positions as governed by the following guidelines:

- Instructors, academic deans, academic department chairs, academic secretaries and regular employees within administrative units directly responsible for maintaining or utilizing Banner data may be eligible for an account. Additional consideration may be granted for other employees with supervisor and data custodian approval.
- The employee must have a current contract with the university.
- The appropriate Banner Account Request form should be completed by the employee and forwarded to the designated data custodian.
- If the request is approved by the data custodian, it will be sent to Information Technology Services and the account will be created or modified.

**Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

**Policy Title:** ETSU Sponsored Desktop Computers

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** ETSU Sponsored Desktop Computers

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Provides information about the ETSU-Sponsored computer project, including eligibility for computers and disposition of computers when the replacement cycle occurs.

**Policy:**

**1.0 Introduction**

ETSU provides standard desktop computers to faculty and staff in an effort to maintain current technology on campus for the betterment of ETSU as a whole and reduce the total cost of ownership. These computers are dispersed to two groups of employees through the Computer Replacement Project:

1. Installation for new-position employees. These replacements will start in the fall semester of each fiscal year.
2. Replacements for any computer where the warranty expires before June 30 of the current fiscal year, and the employment position meets eligibility rules. These replacements will be ongoing throughout the year.

Employees will have the option to choose between a PC or Macintosh computer and can choose to upgrade to one of at least three different configurations for each platform. ETSU pays the full amount for a “base level” or “Level 1” PC desktop computer. Any of the pre-defined upgrades selected will result in the department being charged for the difference between the base model and the model selected. A full list of current configurations and pricing can be found on the [ETSU-Sponsored Desktop Computer Replacement Project website](#).

ITS is responsible for the organization of this program and for installing and maintaining the desktop computers. All ETSU-sponsored computers are tagged with a special label to indicate they were purchased through this initiative. Printers computers are not provided as part of this project.

ITS is also responsible for purchasing and maintaining the inventory for ETSU-sponsored computers. These computers are intended to be replaced as part of a routine four-year replacement cycle; however, this is subject to change if the budgetary restrictions conditions are not favorable. Computers purchased as part of this project will be removed by ITS when the new computer is installed and will be surplus as appropriate. A department should make budgetary allocations to provide equipment for those positions not eligible under this policy.

**2.0 Program Guidelines**

- ETSU-sponsored computers are assigned to the employee position number, not a specific employee. Sponsored computers should not be assigned or moved to other ETSU positions.

- After the replacement cycle has passed, the sponsored computer will be eligible for replacement. ETSU-sponsored computers must be returned at the end of the replacement cycle. The computer to be returned must be the same computer that was received as part of the replacement project. Another computer cannot be substituted for the ETSU-sponsored computer. The original computer must be forfeited before the new replacement computer will be installed.
- Surplused ETSU Sponsored computers must retain all original configuration hardware (memory, same monitor(s), optical drives, same size hard drive, video card, etc.) If a department purchases upgrades, such as additional memory or a larger monitor this equipment can be retained. The department or employee should inform CTS of any such situation at the time the computer replacement is scheduled.
- Requests for any exceptions should go to the Information Technology Services Associate CIO/Chief of Staff.

### **3.0 Eligibility Criteria**

1. The position using the computer must be a full-time, permanent assignment or a new, full-time faculty or staff assignment (a new position number would be assigned through Human Resources in this case.)
2. The primary assignment of the position must be to an unrestricted index / org verified through the ETSU Budget Office.
3. Only one computer per person is allowed. Those employees who have split assignments are not eligible for a computer for each assignment, even where two position numbers exist.
4. ITS will verify all positions with Human Resources and/or the College of Medicine before a computer is ordered.

#### **3.1 Eligibility Criteria Exceptions**

Full-time, permanent Tennessee Higher Education Commission employees are exempt from the eligibility criteria.

#### **3.2 Eligibility Exclusions**

The following ETSU employees are excluded from receiving a desktop computer under this policy:

- Adjunct faculty members
- Auxiliary Services employees
- Family Medicine/Family Practice personnel
- College of Pharmacy personnel
- Athletics positions assigned to a restricted index/org
- Student workers and graduate assistants

Eligibility of Physical Plant employees is evaluated on an individual basis, based on the job requirements of the specific position.

### **4.0 Computer Installation**

New faculty and staff positions will receive computers in the fall of each year. Replacement of existing ETSU-sponsored computers will take place throughout the year. Eligible employees will be contacted in advance to select a computer model and their preferred installation month and day. An ITS representative will follow-up with the employee to schedule a specific appointment and collect information on any special needs or requirements.

## **5.0 Standard Software Configurations**

A basic software image containing the operating system and standard ETSU software will be installed on each desktop computer. Any exceptions to the software configuration will be considered on an individual basis, and should be in direct support of the employee's job requirements.

## **6.0 Network Connectivity**

The department is responsible for ensuring a functional network connection is available prior to any new computer installation.

## **7.0 Eliminated Positions**

If a position is eliminated, ITS will reclaim and re-assign the computer formerly used by that employee's position. Refunds are not made on any upgrade charges that were applied to the department's account during the initial installation. It is the responsibility of the employee and/or department to inform ITS when the position is eliminated or has not been filled within 6 months of receiving the computer intended for that position.

### **8.0 Surplused Computers**

When the replacement cycle is complete, the sponsored desktop computer will be eligible for replacement. The computer to be replaced will be picked up and disposed of following ETSU's surplus procedures.

#### **8.1 Reserve Inventory**

ITS retains a small number of surplused computers for parts inventory and redistribution. These surplused computers will remain in ITS inventory and parts will be used as needed.

#### **8.2 Repurposed Computers**

A percentage of computers retrieved as part of the Computer Replacement Project will be made available to departments as part of the Repurposed Computer Project based on priority of need. ITS will remove all data from the computers and will install standard university operating system and software. Departments can "buy" a repurposed computer to use for an additional two years by purchasing an extended 2-year warranty from ITS to cover the cost of any parts for the computer. Computers will be assigned randomly and departments will not be able to choose to keep a specific computer.

#### **8.3 Providing Area Schools with Technical Assistance (PASTA)**

Surplused desktop computers from the Computer Replacement Project not retained by ITS for parts or for the repurposed computer program will be surplused to the PASTA program. All data is removed from the computer after approximately two weeks. The computers are then refurbished, tested and provided to local K-12 schools with priority given to University School. Surplused computers sent to the PASTA program are only appropriate for distribution to K-12 schools and cannot be used for other purposes at ETSU. Please visit the [PASTA website](#) for additional information on this program.

## **9.0 Contact Information**

Please contact Myra Jones, Chief of Staff and Associate CIO at [mjones@etsu.edu](mailto:mjones@etsu.edu) or 439-8614 with any questions about this policy or its implementation.

### **Notes:**

Approved by: Information Technology Council

Reviewed: February 2017

**Policy Title:** Firewall

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Firewall

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** East Tennessee State University operates Perimeter Firewalls or gateways between the Internet and the university network to establish a secure environment for the university's computing and network resources. The University's Perimeter Firewalls are key components of the University's Network Security Architecture. The University Perimeter Firewall Policy governs how the Perimeter Firewalls will filter Internet traffic to mitigate the risks and losses associated with security threats to the University's network and information systems.

**Policy:**

Among a university's information technology priorities is the maintenance of a safe and secure computing environment. Historically, the risk of malicious packets making it into the university network has been relatively high. The assets at risk from targeted attacks against the network include data/information, software, and hardware. Services, including access to the Internet and access to central servers, are also at risk. Often, the data that is stored on such servers are the true targets of attackers.

Firewalls are purpose-built computers that examine network traffic. Firewalls determine where the traffic came from, where it's going, and determine the type of traffic. Based on this information firewalls decide to either allow traffic onto the network, or to block the traffic. Decisions to either allow or block traffic is governed by a set of rules configured inside the firewall. These rules are maintained by the firewall administrators and operate as follows.

When outside traffic arrives at the firewall, the firewall inspects the traffic and searches for a rule that tells it how to treat the traffic. If it finds a rule telling it to let the traffic pass, it allows the traffic inside. If no such rule is found, the traffic is blocked and may not enter. There must be a rule, for example, to allow someone on the Internet to view the University's web site. Such a rule is currently configured on the Perimeter Firewalls. If it were to be removed, the University's web site would be inaccessible to anyone not connected to the inside (ETSU) network.

Care must be taken when configuring the firewall rules. While we do want to allow traffic to the University's web server, we don't necessarily want that same traffic to be allowed to any other computer on the ETSU network. Allowing traffic to pass too freely increases risk to the University. This risk may be manifested by malware, denial-of-service attacks, client-side exploits, and various other vulnerabilities.

The University's Perimeter Firewalls help mitigate the risk of intrusion from outside entities. Exemptions may be granted under certain circumstances to allow outside traffic to access services located inside the

ETSU network. While this method does protect against many intrusions, it is not invincible. When a violation is suspected, the firewall architecture has logging capabilities to provide forensic information.

## **Responsibilities**

Information Technology Services (ITS) is responsible for implementing and maintaining the University's Perimeter Firewalls. Therefore, ITS is also responsible for activities relating to this policy. Accordingly, ITS will manage the configuration of the University's Perimeter Firewalls.

## **Policy for Perimeter Firewalls**

The Perimeter Firewall permits the following for outbound and inbound Internet traffic:

- Outbound -- Allow ALL Internet traffic to hosts and services outside of the University.
- Inbound -- Allow Internet traffic from outside the University that supports the mission of the University after approval of a firewall exemption request

## **Operational Procedures**

Faculty and staff may request access from the Internet for service inside ETSU for a new or existing server by requesting a firewall exemption. These requests can be made by submitting a Network Security Request Form. The request must include:

- A written rationale for the exemption request.
- The server hostname.
- The server IP address.
- The TCP or UDP ports required.
- The effective date & expiration date.

ITS will evaluate the risk of opening the firewall to accommodate requests. Where the risk is acceptable, granting of requests will be dependent on network infrastructure limitations and the availability of required resources to implement the request. If the risk associated with a given request is deemed objectionable, then an explanation of the associated risks will be provided to the original requestor and alternative solutions will be explored. ITS reserves the right to review and remove firewall exemptions that exceed acceptable risk.

## **Policy Dispute**

The Chief Information Officer and Senior Vice Provost for Information Technology Services, is charged with the responsibility to periodically review the policy and propose changes as needed.

## **Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

Active since: March 2010



**Policy Title:** Hardware Maintenance

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Hardware Maintenance

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Establishes a process for the hardware repair of all University-owned laptop and desktop computers peripheral equipment (i.e., printers, scanners, optical drives, network cards, multimedia equipment, etc.). Exclusions to this would be equipment that is already under an existing service contract, monitors costing more than \$1,000 and any non-standard equipment.

**Policy:**

#### **Procedure**

When ETSU faculty or staff detects a hardware problem with computer equipment, an initial phone call or email should be made to Information Technology Services (ITS) Help Desk. Data for a maintenance service call will be collected from the customer (ETSU number, brand & model number of equipment, and description of problem) and entered into the ITS Help Desk ticket system.

Upon receipt of the service request, Information Technology Services will respond and make an initial inspection of the equipment. If it is determined that the problem is a hardware component Information Technology Services will resolve the problem. Any questions or status checks can be directed to the Director of Computing Technology Services at Information Technology Services. For tracking purposes, all supported University computer/peripheral equipment must be assigned an ETSU inventory number. The intent of this maintenance is to ensure timely, efficient, and accurate repair / replacement of supported ETSU computers, laptops, and printers.

#### **Miscellaneous Information**

The University's preference is that all parts will be new and of the same brand and model number (like parts) of the unit being repaired. However, when new parts are not available, (i.e., discontinued, long back order, etc.) compatible used/refurbished or generic parts will be used.

Supply items (i.e., toner cartridges, image drums, etc.) are not be replaced by ITS and are the responsibility of the customer.

ITS recommends that any desktop or laptop computer (and associated peripherals) that are over 6 years of age be removed from active use and surplus through ETSU's Department of Central Receiving. Support needs will be evaluated on a case-by-case basis, but ITS cannot support these systems if it is impractical, unreasonable, or cost-prohibitive to do so. If ITS determines it cannot support the equipment the department will be responsible for obtaining and funding such support. The Chief of Staff and Associate Chief Information Officer will address any concerns related to this policy.

Information Technology Services owns and maintains a spare parts inventory to conduct in-house repairs when appropriate.

**Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

**Policy Title:** HEOA Compliance in online courses

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** HEOA Compliance in online courses

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy provides information about the Higher Education Opportunity Act and processes ETSU has in place to ensure compliance.

**Policy:**

**1.0 Introduction**

The (HEOA) requires that institutions offering distance education or correspondence courses or programs have processes in place to ensure that the student registering for a course is the same student who participates in the course or receives course credit. The Act requires that institutions use one of the following three methods:

- A secure login and pass code;
- Proctored examinations; and
- New or other technologies and practices that are effective in verifying student identification.

**2.0 Secure Login and Pass Code**

ETSU meets these requirements by assigning a secure login and pass code to each student. All students registering for a course through our administrative system are assigned unique identification numbers, which correspond with a specific username for each student. These usernames or accounts use the Lightweight Directory Access Protocol (LDAP) to authenticate the user. Each student establishes their own password using the [Strong Password Policy](#). As part of this policy, all students are required to change their password every 90 days.

In addition, the ETSU email policy requires all faculty communication with students regarding ETSU business be conducted via the official ETSU email account, which also requires a secure login. [Review the electronic mail policy](#).

For more information about the Higher Education Opportunity Act please visit the [U.S. Department of Education website](#).

**Notes:**

Approved: Information Technology Governance Council  
Reviewed: February 2017

**Policy Title:** Inclement Weather Policy for Students in Online Courses

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Inclement Weather Policy for Students in Online Courses

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy provides guidance for students taking ETSU online courses in the event of inclement weather causing emergency University closure or schedule changes. References the official ETSU inclement weather policy.

**Policy:**

**1.0 Asynchronous Online Courses**

Asynchronous online courses are not affected by university schedule changes due to inclement weather. The instructor in an online course is responsible for any modifications in course deadlines, assignments, or other requirements in an online course. Students should contact their instructor for guidance in these situations. Asynchronous online courses are those that meet entirely online and the student is not required to attend class on campus. These courses are identified with a 9XX section number.

Students attending asynchronous online courses that have required on-campus meetings should contact their instructor if one of these meetings coincides with an inclement weather schedule change.

**2.0 Synchronous Online Courses**

Synchronous online courses (WebEx and ITV Streaming Sections) follow the announced schedule changes due to inclement weather. Synchronous online courses typically accompany a class scheduled to meet on-ground and meet on a specified day and time. These courses are identified with a 99X section number.

**Notes:**

Please reference [ETSU's Inclement Weather Policy](#) for detailed information regarding this policy.

Approved: Information Technology Governance Council

Reviewed: February 2017

**Policy Title:** Instructor Access to Course Sites

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Instructor Access to Course Sites

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Information Technology Services is frequently asked to manually add non-authorized users to Desire2Learn course sites. This policy provides guidelines to determine when it is appropriate to manually add a user without authorization of instructor of record.

**Policy:**

Instructors are automatically added to Desire2Learn (D2L) course sites when entered as the instructor of record in GoldLink / Banner. Information Technology Services (ITS) will only make manual changes to D2L enrollment if there is a problem with the automatic process or in the event of an emergency. Please review the following policy approved by the ETSU Deans Council on October 2, 2008 for greater detail.

1. Access to course sites is granted by course Instructor of Record.
2. Instructor of Record is electronically extracted from Banner and inserted into the learning management system. This allows academic departments to control the Instructor of Record for each course.
3. Learning management system support staff members adhere to the following policy:
  - Only the Instructor of Record for the course has the authority to allow access to their course management system site.
  - Adherence to this policy works well except in emergency situations. Specifically when the Instructor of Record is unavailable.

**Resolution:** The policy stands as approved by Dean's Council. In the event of an emergency, the CIO and Sr. Vice Provost for Information Technology Services will consult with the appropriate Dean.

**Notes:**

Approved: Deans Council  
Reviewed: February 2017  
Active since: October 2008

**Policy Title:** Copyright Protection Guidelines

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Intellectual Property Rights

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The [Digital Millennium Copyright Act \(DMCA\)](#) amends federal copyright law to provide certain liability protections for online service providers when their computer systems or networks carry materials that violate (infringe) copyright law. To qualify for liability protection, the University is required to have a policy under which the computer accounts of users will be terminated if they repeatedly infringe the copyrighted works of others.

The objectives of this policy are to minimize liability while also providing support for the activities of faculty and staff. In the context of copyright and other intellectual property, this means that the Chief Information Officer should be advised as soon as possible of any suspected infringement. As is feasible, the Chief Information Officer will work with the university content provider to establish any defenses; however, if there is inadequate information to provide a defense, or it appears that no defense exists, the best route to minimize university damages will be prompt removal of the allegedly infringing material.

**Policy:**

Compliance with federal copyright law is expected of all students, faculty, and staff at East Tennessee State University. "Copyright" is legal protection for creative intellectual works, which is broadly interpreted to cover almost any expression of an idea. Text (including email and web information), graphics, art, photographs, music, and software are examples of types of works protected by copyright. The creator of the work, or sometimes the person who hired the creator, is the initial copyright owner.

You may "use" all or part of a copyrighted work only if (a) you have the copyright owner's permission (in writing—either email or letter), or (b) you qualify for a legal exception (the most common exception is called "fair use"). "Use" of a work is defined for copyright purposes as copying, distributing, making derivative works, publicly displaying, or publicly performing the work.

Copying, distributing, downloading, and uploading information on the Internet may infringe the copyright for that information. Even an innocent, unintentional infringement violates the law. Violations of copyright law that occur on or over the University's networks or other computer resources may create liability for the University as well as the computer user. Accordingly, repeat infringers are subject to the appropriate disciplinary review procedures as set in forth disciplinary policies for students, faculty, or staff. Violations of law may also be referred for criminal or civil prosecution.

The University has a legal duty to insure that official web sites, official email, and other official communications and expressions do not violate the intellectual property rights of third parties. The most common intellectual property rights found on the Internet involve copyright and trademark/service marks.

"Official" web sites and communications include those that are funded or otherwise sponsored by the University for a university purpose, or which are created by an employee or agent of the University who is acting within the authorized scope of employment or agency on behalf of the University (e.g., posting course materials on the web for educational use of enrolled students).

Removal of official university content, especially course materials, can be harmful to academic freedom, to teaching effectiveness, and to the University's educational mission. Therefore, faculty and staff are encouraged to secure copyright permission, a license, or a legal basis for use of someone else's intellectual property before using the material.

## **Procedures**

### Notice and Counter Notice for material that may infringe on Intellectual Property Rights

Notice: A copyright owner, or person acting for the owner, must provide the University's designated agent, the Chief Information Officer, with written notice that information residing on the University's computer systems or networks is an infringement of the copyright. The notice requirement also applies to information in system cache and to information location tools (e.g., hypertext links) that infringe copyright.

[Note: if a person working for the University has independent knowledge of a copyright violation on a University computer system or network, the University may have a duty to remove the infringing material. This is true even if there is no "notice" from the copyright owner. Therefore that person should report the violation to the Chief Information Officer as soon as possible.]

The University has "notice" of possible infringement when a third party advises a university official that there is an infringement, or when it appears to a university official that material is likely to be infringing based on the circumstances (e.g., copies of nationally syndicated cartoons appear on a university web site without any statement of copyright permission).

When the University has notice of a possible intellectual property infringement in official university-provided content, it will in good faith:

- Attempt to establish who truly owns the copyright (or other intellectual property) through consultation with the author of the University content and the party claiming ownership.
- Attempt to determine if any legal defense (e.g., "fair use") exists to allow the material to be used by the University.
- Attempt to negotiate a permission or settlement if it appears that the content is infringing or if it appears that settlement is preferable to litigating an unclear claim. If permission or settlement is not feasible and it appears that the material is infringing, the University will promptly remove the material and the designated agent will notify the computer user and the person who complained of infringement.

- Determine if any disciplinary action is appropriate against the person who posted infringing content. In the case of repeated infringement or bad faith infringement, disciplinary action may include suspension or termination of computing privileges, disciplinary review, termination of employment, and/or legal action.

## **The TEACH Act**

The Technology, Education, and Copyright Harmonization Act (TEACH) of 2002 updated federal copyright law to facilitate digital education use of materials without requiring copyright permission, subject to several conditions. TEACH says it is not copyright infringement for teachers and students at an accredited, nonprofit educational institution to transmit performance and displays of copyrighted works as part of a course if certain conditions are met. If these conditions cannot be met, permission from the copyright holder must be obtained.

What is permitted: Performances of non-dramatic literary works or performances of non-dramatic musical works or performances of reasonable portions of any other work or display of any other work in an amount comparable to that typically displayed in a live classroom setting.

What is not permitted: Digital education works (works produced or marketed primarily for performance/display as part of mediated instructional activities transmitted via digital networks) or unlawful copies (copies you know or reasonably should know were not lawfully made or acquired).

When can copyrighted materials be used: By, at the direction of, or under the actual supervision of an instructor, and as an integral part of a class session, and as part of systematic mediated instructional activities, and directly related and of material assistance to the teaching content.

How can the materials be used: Transmission made solely for and reception limited to (as technologically feasible) students enrolled in that course, and downstream controls instituted: technological measures that reasonably prevent retention in accessible form for a class session and unauthorized further dissemination in accessible form, and no interference with the copyright holder's technological measures that prevent such retention and dissemination.

Institutional requirements: The institution must promulgate copyright policies and provide information about copyright and promote copyright compliance and provide notice to students that course materials may be copyrighted.

Questions regarding this policy and notice of any possible infringement should be directed to:

**Karen D. King, Ph.D.**

Chief Information Officer  
Information Technology Services  
East Tennessee State University  
Box 70728

Johnson City, TN 37614  
423.439.7000



**Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

**Policy Title:** Personal Information Security Breach Policy

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Personal Information Security Breach Policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Tennessee State Code § 39-14-150 defines the rights of victims of identity theft. The University Personal Information Security Breach Notification Policy governs how ETSU will respond to incidents involving theft of sensitive data.

**Policy:**

### 1.0 Definitions

"Personal Information" is defined to mean any of the following items:

- Name, Social Security number, date of birth, official state or government issued driver license or identification number, alien registration number, passport number, employer or taxpayer identification number;
- Unique biometric data, such as fingerprint, voice print, retina or iris image, or other unique physical representation;
- Unique electronic identification number, address, routing code or other personal identifying data which enables an individual to obtain merchandise or service or to otherwise financially encumber the legitimate possessor of the identifying data;
- Telecommunication identifying information or access device; or
- Any name, number, information, medical prescribing pad, electronic message, or form used by a physician, nurse practitioner, or other health care provider for prescribing a controlled substance.

Personal information does not include publicly available directories containing information an individual has voluntarily consented to have publicly disseminated or listed, and does not include information made lawfully available to the general public from federal, State, or local government records.

"Security Breach" is defined to mean: an incident of unauthorized access to and acquisition of unencrypted and unredacted records or data containing personal information where illegal use of the personal information has occurred or is reasonably likely to occur or that creates a material risk of harm to a consumer. Any incident of unauthorized access to and acquisition of encrypted records or data containing personal information along with the confidential process or key shall constitute a security breach.

Good faith acquisition of personal information by an employee or agent of the University for a legitimate purpose is not a security breach, provided that the personal information is not used for a purpose other than a lawful purpose of the University and is not subject to further unauthorized disclosure.

## **2.0 Procedures in the Event of a Security Breach**

### **2.1. Containment, Classification, and Report of a Breach**

#### **2.1.1. Containment:**

The first priority after a security breach is discovered is to contain the breach and notify supervisory personnel as quickly as possible. For any category of breach, the data must be secured, and the reasonable integrity, security, and confidentiality of the data or data system must be restored.

#### **2.1.2. Classification:**

The next step is to determine the exact nature of the breach in terms of its extent and seriousness. Is personal information easily accessible?

#### **2.1.3. Internal Reporting of a Breach:**

As soon as a breach has been identified, the employee who discovered it must take immediate steps to report the breach to his or her supervisor. The supervisor must take immediate action to determine the extent and category of the breach and to take such further action as is necessary to contain the breach or recover the missing data. Assistance from Information Technology Services, Public Safety or other office with relevant expertise should be requested as soon as possible. If the potential or actual breach involves loss or theft of University-owned equipment or other criminal activity, notify the Public Safety. In all cases of a breach, University Counsel's Office must be notified as soon as practicable.

The supervisor must document the breach, noting the category involved, the scope of the breach, steps taken to contain the breach, and the names or categories of persons whose personal information was, or may have been, acquired by an unauthorized person. A copy of that documentation must be sent to University Counsel.

## **2.2 Notification to Victims**

### **2.2.1. Time for Providing Notification**

The University shall notify affected individuals without unreasonable delay. However, notification shall be delayed if law enforcement informs the University that disclosure of the breach would impede a criminal investigation or jeopardize national or homeland security.

### **2.2.2. Responsibility for Providing Notification**

The responsibility for providing notification shall lie with the Head of the Division that has primary authority for the data. The University Counsel will review the proposed notification before it is sent and

will assist in drafting as required. A copy of the notification will also be provided to the Director of University Relations prior to the time it is posted or sent to affected individuals.

### **2.3. Contents of the Notification**

Notification shall be clear and conspicuous and include a description of the following:

- The incident in general terms.
- The type of personal information that was subject to the unauthorized access and acquisition.
- The actions taken by the University to protect the personal information from further unauthorized access. However, the description of those actions may be general so as not to further increase the risk or severity of the breach.
- A telephone number that the person may call for further information and assistance.
- Advice that directs the person to remain vigilant by reviewing account statements and monitoring free credit reports.

### **2.4. Method of Notification**

Notification to affected persons must be provided by one of the following methods unless substitute notification is permitted:

- Written notification, or
- Electronic notification, for those persons for whom the University has a valid e-mail address

### **3.0 Supplemental Information:**

[Link to Tennessee State Code Annotated 39-14-150](#)

[Link to Tennessee State Code Annotated 47-18-2107](#)

### **Notes:**

Approved: Information Technology Governance Council

Reviewed: February 2017

Active since: August 10, 2010

**Policy Title:** Portable Computational Device Security Guideline

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Portable Computational Device Security Guideline

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This guideline provides recommendations to safeguard sensitive information stored on laptop computers, smartphones, removable media, and other mobile devices such as iPads and tablets. The guideline should be followed by ETSU faculty, staff, students, contractors, consultants, temporaries, and other workers including all personnel affiliated with third parties with access to sensitive university information.

**Policy:**

Smartphones:

ETSU systems automatically enforce security controls to faculty and staff phones connected to the university email system. Use the following tips to provide additional security to your smartphone:

1. Record the phone serial and MAC address number. It may help recover it if lost or stolen.
2. Update your device operating systems and applications as soon as an update is available.
3. Backup your device. When possible enable backup encryption to protect your backups.
4. Enable the phone geo-location and remote wipe capabilities in case it is lost or stolen.
5. Consider using the “if found lock screen” or provide basic owner info in case it is lost.
6. Turn on device encryption and encrypt both fixed and removable storage.
7. Enable screen auto-lock and configure a reasonably short timeout period.
8. Require the use of fingerprint or a password to unlock your phone.
9. Disable unused services, such as Bluetooth, NFC, etc.
10. Consider installing a mobile device antivirus.

Laptops:

ETSU provided laptops are configured with multiple security controls such as password, firewall, antivirus, full disc encryption, etc. Use the following tips to verify and provide additional security to your personal laptop:

1. Record the laptop serial and MAC address number. It may help recover it if lost or stolen.
2. Keep the operating system up-to-date by ensuring the auto-update feature is turned on.
3. Keep third party applications up-to-date and enable their auto-update when available.
4. Enable screen auto-lock and configure a reasonably short timeout period.
5. Ensure the laptop is using an up-to-date antivirus and antivirus-definition.
6. Require the use of a strong password or passphrase.
7. Verify that your laptop hard drive/s are encrypted.
8. Verify that your firewall is enabled.

**Removable media:**

Removable media such as external hard drives, flash drives and SD cards can be easily lost or stolen. Use the following tips to secure such devices:

1. Consider labeling the device with the owner's information in case it is lost or stolen.
2. Use encryption to protect sensitive data.

**Notes:**

Approved: Information Technology Governance Council

Updated: May 2016

Reviewed: February 2017

**Policy Title:** Strong Password Requirement

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Strong Password Requirement

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This guideline provides recommendations for password use and creation in order to better protect IT systems and data. The guideline should be followed by ETSU Faculty, staff, students, contractors, consultants, temporaries, guests, volunteers, and other workers including all personnel affiliated with third parties with access to ETSU technological resources protected by authentication.

**Policy:**

Password Use

1. Passwords are to be treated as sensitive and confidential information:
  - a. Avoid writing your passwords down – including in emails, printed and electronic forms.
  - b. Avoid hinting at the format of your passwords (i.e., “it uses my family name”).
  - c. Avoid mentioning your passwords where they may be overheard by others.
  - d. Be aware of your surroundings when typing your password.
  - e. Do not save your passwords onto a plain text file.
  - f. Do not share your passwords with anyone - including IT staff, supervisors, administrative assistants, colleagues, friends, and family members.

**Note:** *IT Staff will never ask for your password. If someone does ask for your password report it to the CISO.*

2. Create unique passwords for each of your accounts and websites.

**Note:** *Password managers such a LastPass, Dashlane, KeePass, and others can help you generate unique and strong passwords. A password manager that automatically fills your login information on a website, could help you identify phishing and fake websites when the login information is not automatically populated. Also, if you use a password manager, use a strong passphrase to protect all your passwords. Finally, enable two-factor authentication when offered by the password manager or website.*

3. Enable the use of passwords on desktops, as well as mobile devices such as tablets, smart phones and laptops.
4. If someone demands to know your password, refer them to this document or have them contact the Chief Information Security Officer.
5. If you suspect that your password has been compromised, report it to the Chief Information Security Officer and change the password immediately.
6. Avoid reusing passwords or portions of a passphrase of a compromised account.

Password Creation

1. ETSU systems automatically enforce the use of complex passwords, require passwords to be changed on a periodic basis, prevent users from re-using passwords, and implement and enforce various other password controls that may make it challenging to select a complex and easy to remember password.

Use the following tips to create a password that is easy to remember, hard to guess, and compliant with ETSU requirements:

- a. Use a passphrase, or multiple words as the basis for a strong password.
- b. Use character substitution or the first letter of each word:
  - i. **I Like This Policy** may become **1L1k3Th1\$P0l1cy**
  - ii. **I Already Know How To Create Strong Passwords**, may become **iAkH2CsP**
- c. Start, end or add special characters, i.e. **1L1k3Th1\$P0l1cy!**
- d. Add some numbers if needed, i.e. **1L1k3Th1\$2017P0l1cy!**
- e. The <space>, <dash>, <underline>, or any other special character can be used to separate words in passphrases and add complexity, i.e.:

**D0 Y0u Hav3 Ch@ng3 4\$5?  
Y0u\_L00k\_@\_8it\_-({  
---> My-S3cr3t-H3r3! <---**

2. Avoid using the following in passwords or passphrases:
  - a. Demographic information.
  - b. Dictionary words, or common word misspelling.
  - c. Computer names, account information, or sample passwords.
  - d. Phone, social security, credit card, identification, or other financial numbers.
  - e. Common and notable phrases, i.e. “to be or not to be”, “E=mc<sup>2</sup>”, etc.
3. Avoid using personal information in password reset questionnaires and password hints whenever possible. They could be easily found on social media or public records.
4. Attempting to collect, guess, crack, or obtain someone else’s password is a violation of University policies.
5. Sharing ETSU passwords and login information is also a violation of University policies.

This guideline applies to ETSU passwords used to log onto campus Windows workstations, Desire2Learn, ETSU email, Sherrod Library Services, and any other services that use ETSU authentication. It is good practice to extend these practices to safeguard personal accounts. Requests for assistance can be directed to the ITS Help Desk at [itshelp@etsu.edu](mailto:itshelp@etsu.edu) or 423-49-4648.

**Notes:**

Approved: Information Technology Governance Committee  
Reviewed: February 2017



**Policy Title:** University Computing Standards

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** University Computing Standards

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here) Information Technology Council

**Purpose:** Provides information and guidance on ordering desktop and laptop computers that abide by pre-approved standard configurations. Policy includes process for requesting hardware or software that is not covered by standard configurations.

**Policy:**

To make the most efficient use of university resources, all desktop and laptop computers acquired by the university should be based on standard configurations approved by the Information Technology Council (ITC). Standards allow Information Technology Services (ITS) to provide better and more efficient support for the university, efficient acquisition, and the most cost-effective pricing available. The standards include both Windows and Macintosh platforms. There is at least one desktop and one laptop model available for each platform.

Departments with needs not met by the standard configurations can [request a variance](#) in writing to Information Technology Services. ITS will conduct a review of the specifications and confer with the department to determine the best course of action. ITS will work with the department to address the needs identified in the variance request. In the event the variance request is not approved, the requestor may appeal the decision to the Chief of Staff & Associate Chief Information Officer. If necessary, further appeals may be made to the Information Technology Council.

**1.0 Desktop Computer and Laptop Computer Standard Configuration Procedure**

**1.1. Standard Hardware Configurations**

The ITC will review changes in technology to ensure upgraded technology is being purchased to support teaching and learning at ETSU. Consideration will be taken to configure quality desktop and laptop computers that meet the vast majority of computing needs at the lowest possible cost to the university. Standard configuration upgrades will be included to give flexibility to the configurations and allow additional uses. Recommendations will come to the Information Technology Council (ITC). Once approved, Information Technology Services (ITS) will be charged with installing and supporting these hardware platforms.

**1.2. Standard Software Configurations**

The ITC will also review software technology and recommend a basic software image to be installed on each of the configurations. ITS will be charged with installing and supporting these software applications

on all desktops and laptops. ITS will work with vendors to have the software image pre-installed, where appropriate, to streamline installation.

### **1.3. Publicizing the Configurations**

ITS will be responsible for publicizing the standard configurations. ITS will also maintain configuration information and purchasing instructions on their web site (<http://www.etsu.edu/its>).

### **1.4. Configuration Assistance**

ITS's Computing Technology Services group will assist in the configuration of desktop or laptop computers. Faculty and staff can call (9-4648) or email ([itshelp@etsu.edu](mailto:itshelp@etsu.edu)) the ITS Help Desk to make this request. A customer support specialist will schedule a time to visit the employee's office and discuss their computing needs and configuration options.

### **1.5. Submitting a Requisition for a Standard Configuration**

The department will complete and submit to the Purchasing department a departmental requisition for a desktop or laptop computer through the eBucs procurement system only. ITS must approve all desktop and laptop computer orders placed through eBucs. Computers, desktop or laptop, cannot be purchased with a university Procard.

### **1.6. Submitting a Requisition for a Variance from the Standard Configuration**

Departments requiring equipment that is not available as a university standard configuration may complete and submit a variance request form to Information Technology Services. The submitted form should include an explanation addressing why the university standard configuration is not appropriate for their needs. This can be the result of incompatibilities of required software or hardware or a vendor requirement. This requisition and request for variance will be reviewed by the appropriate ITS staff who will consult with the requestor to determine if the variance request will be approved. Records will be maintained for approved variances. These will be used as consideration in adopting new standard configurations.

### **1.7. Variance Request Appeals**

If the variance request is not approved the requestor will be supplied with the reasoning and justification for the decision. The requestor can appeal the decision to the Chief of Staff and Associate Chief Information Officer, who will consult the Chief Information Officer and/or the Information Technology Council if necessary. Non-approved requests will not be processed.

### **1.8. Departments with special high-end computing needs**

Departments with special high-end computing needs can obtain computers with capabilities beyond the standard configurations. ITS will perform a basic installation of the computer by loading a supported operating system (Windows and Macintosh platforms only), virus protection and the standard office productivity suite. This installation will ensure the computer is properly communicating on the ETSU network and has no known vulnerabilities. When received, the computer will be specially tagged by

Central Receiving indicating it is a non-standard computer. ITS will not be responsible for any non-standard hardware or non-standard software maintenance for the computer after the installation.

## **2.0 Requesting a Variance**

Any department requesting a variance from the standards will need to complete and submit a departmental requisition for the computer to Information Technology Services.

[A request for a variance from the university standard should accompany the department's requisition.](#)

### **Notes:**

Approved: Information Technology Council

Reviewed: February 2017

Active Since: April 2002

**Policy Title:** Virtual Private Network (VPN)

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Virtual Private Network (VPN)

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** The purpose of this policy is to state the requirements for remote access to computing resources hosted at ETSU using remote access technologies.

**Policy:**

### **Introduction**

In order to access computing resources hosted at East Tennessee State University from off campus, use of ETSU remote access services is required. A remote access connection is a secured private network connection built on top of a public network, such as the Internet. Remote access provides a secure, encrypted connection, or tunnel, over the Internet between an individual computer (such as a computer off campus) and a private network (such as ETSU's). Use of remote access allows authorized members of the ETSU community to securely access ETSU network resources as if they were on the campus.

Remote access connections allow an outside computer to connect directly to the University's network. This arrangement provides convenience for the remote worker, but bypasses any firewall restrictions that may be in place. There is a network security risk present when accessing the university's network from an outside source. This risk is particularly pronounced for remote access connections from privately owned computers, as the University cannot ensure the computer has sufficient protection configured (e.g. anti-virus, anti-spyware). The risk posed by ETSU-owned computers is still present, but to a lesser degree.

### **Responsibilities**

Information Technology Services (ITS) is responsible for implementing and maintaining the University's remote access services. Therefore, ITS is also responsible for activities relating to this policy. Accordingly, ITS will manage the configuration of the University's remote access service.

### **Approved Remote Access Clients**

ETSU currently implements two separate remote access solutions:

- Microsoft Remote Desktop Gateway (RDG):
  - Allows you to log in to your ETSU computer from off-campus
  - Requires no software installation
  - Presents a lower security risk
  - Does not expire (subject to periodic review)

- Cisco AnyConnect (VPN):
  - Allows you to connect to the ETSU network from off-campus
  - Requires software installation
  - Presents a higher security risk
  - Expires, at minimum, every 12 months

Microsoft Remote Desktop Gateway (RDP) is the recommended choice for most remote access users. This option provides sufficient access for the majority of users and reduces security risks to the university.

### **Policy for Remote Access**

ETSU employees, and authorized third parties (customers, vendors, etc.) may, under some circumstances, utilize remote access to access ETSU computing resources for which they have been granted access.

Regular, full-time ETSU faculty or staff employees that have a valid ETSU Domain User Account may request remote access to the ETSU network by completing a [Remote Access Request Form](#). A letter of justification must accompany the request. The letter should address, in sufficient detail, what resources will be accessed through the VPN and explanation for why the resources cannot be accessed through conventional means. Requests omitting a letter of justification will be returned to the requester as incomplete.

With the exception of Remote Desktop Gateway (see Operational Procedures section) remote access is valid for a set period of time. Requesters should indicate the date remote access should take effect and the date access should expire. Remote access may be granted for a period of up to twelve months, after which remote access for the account will expire. Requesters will be notified via phone or email approximately thirty (30) days before remote access expires. Account holders may resubmit a [Remote Access Request Form](#) up to thirty (30) days before the remote access expiration date to continue remote access without disruption.

### **Guidelines for Access:**

- Faculty and Administrative accounts may be granted remote access.
- Vendor Accounts may be granted remote access. Vendor accounts are setup specifically for vendors to access ETSU resources for support purposes. Vendor accounts must be sponsored by an ETSU employee. The account sponsor bears responsibility for the account and its use by the vendor. If the vendor account does not already exist, a request to establish one must be made at the same time remote access is requested.
- Departmental Accounts will not be granted remote access due to lack of accountability. These accounts are typically shared among several users and it is difficult to trace a specific user back to the account at any given time.
- Temporary Accounts will not be granted remote access.
- Student accounts will not be granted remote access.
- Clerical or Support accounts will not be granted remote access without prior telecommuting approval (Vice President endorsement required).

All remote access account holders are subject to the following Remote Access Terms of Use.

## Remote Access Terms of Use

Any user found to have violated the following terms of use may be subject to loss of privileges or services and other disciplinary action.

1. It is the responsibility of all ETSU employees and authorized third parties with remote access privileges to ensure that unauthorized users are not allowed access to internal University networks and associated content.
2. All individuals and machines, including university-owned and personal equipment, are a de facto extension of ETSU's network, and as such are subject to the university's Acceptable Use Policy.
3. All computers connected to ETSU's internal network via remote access or any other technology must use a properly configured, up-to-date operating system and anti-virus software; this includes all personally-owned computers.
4. Redistribution of the ETSU remote access installers or associated installation information is prohibited.
5. All network activity during a remote access session is subject to ETSU policies.
6. All users of the ETSU remote access services shall only utilize resources for which they have been granted permission and rights to use.

## Operational Procedures

In order to use remote access, users will need a connection to the Internet from their off-campus location. While dial-up Internet connections may utilize a remote access connection, performance is very slow and is not recommended or supported.

- Remote access users will be automatically disconnected from the ETSU network after 30 minutes of inactivity. The user must then logon again to reconnect to the network. Pings or other artificial network processes to keep the connection open are prohibited.
- Information Technology Services will only provide support for approved remote access software clients.
- Questions related to the use of ETSU remote access should be directed to the ITS Help Desk at 423-439-4648 or [itshelp@etsu.edu](mailto:itshelp@etsu.edu) .

## Policy Dispute

The Chief Information Officer is charged with the responsibility to periodically review this policy and propose changes as needed.

## Notes:

Approved: Information Technology Governance Council  
Reviewed: February 2017

**Policy Title:** Web Accessibility

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Web Accessibility

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy outlines the process that the University follows to ensure Web sites are open and accessible to individuals with disabilities.

**Policy:**

**1.0 Introduction**

Accessibility means that Web sites are open and accessible to individuals regardless of their disabilities. ETSU endorses the proposals and guidelines of the World Wide Web Consortium as put forth in the [Web Content Accessibility Guidelines](#).

**2.0 Web Accessibility Statement**

East Tennessee State University is committed to providing a website that is accessible to the widest possible audience, regardless of technology or ability. We are actively working to increase the accessibility and usability of our website by following applicable, available standards and guidelines.

This website strives to conform to level AA of the World Wide Web Consortium (W3C) Web Content Accessibility Guidelines 2.0 (WCAG). These guidelines provide recommendations for making web content more accessible. Conforming to these guidelines will help make the web more user friendly for all people.

The homepage, top level pages and other web pages on this site that are developed and maintained through our web content management system are built using valid CSS and HTML that strives to comply with W3C standards. The site should display correctly in current versions of popular browsers.

While East Tennessee State University endeavors to conform to WCAG 2.0 - level AA , it is not always possible to do so in all areas of the website. Some content on the web is generated automatically via third party programs and is not editable by our institution. In these cases, some items of accessibility may be missing from the code or accessibility errors may be introduced into the code.

We are continually seeking out solutions that will bring all areas of the site up to the same level of overall web accessibility. In the meantime, should you experience any difficulty in accessing content on the East Tennessee State University website, please don't hesitate to contact us by phone at 423-439-7000 or by email at [webmaster@etsu.edu](mailto:webmaster@etsu.edu) .

### 3.0 Making Content Accessible

ETSU faculty, staff and students who create and maintain content on the ETSU website should follow WCAG 2.0 - Level AA guidelines when adding and updating content on all ETSU websites. The following processes should be followed to ensure compliance with WCAG 2.0 - Level AA.:

- **HTML web pages maintained in the ETSU content management system (CMS):** ensure that the CMS web accessibility check does not contain any errors. If accessibility errors are listed, immediately correct these errors or if you cannot correct the errors, [contact the web team](#) .
- **HTML web pages maintained outside the ETSU content management system (CMS):** run all pages against the accessibility checker at <http://wave.webaim.org/> and ensure that there are no errors returned. If accessibility errors are listed, immediately correct these errors or if you cannot correct the errors, [contact the web team](#)
- **Supporting binary files uploaded to the web server (examples of binary files include images, word documents, PDF's, spreadsheets, presentations, etc.):** before posting to the web, all binary files must contain 0 errors when utilizing the built-in accessibility checking tools that are part of the software used to create the documents. Examples are: Microsoft Office (2010 or later), Adobe Acrobat (ver. 10 or later).

Training on how to create and maintain accessible documents is available from Information Technology Services. For more information on current training sessions, please contact [Web Technologies](#) at 439-7000.

Web administrators who continue to post content that is not accessible will have web account privileges suspended.

### 4.0 Reporting Violations or Clarifying Compliance

If it comes to the university's attention that web pages are being maintained in a way that violates this policy action will be taken to prevent future abuse of this policy.

If you wish to report an action that violates ETSU's policies, or if you need interpretations regarding compliance, contact Dr. Karen King, Chief Information Officer and Senior Vice Provost, Information Technology Services, Box 70728, Johnson City, TN 37614; telephone (423) 439-7000; or e-mail [kingk@etsu.edu](mailto:kingk@etsu.edu) . Dr. King will refer violations to the appropriate university official.

#### Notes:

Approved: Information Technology Governance Council

Reviewed: February 2017



**Policy Title:** Web Design & Publishing Policy

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Web Design & Publishing Policy

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** This policy establishes a process for the design and publishing of the University website. It outlines requirements for web hosting, web template, content management, as well as content style and standards.

**Policy:**

## Introduction

The Web Steering Committee and the ITC approve the ETSU web template design and the following Web Design Policy, effective September, 2015. The Web Design Policy and current, approved web template are viewable below. The policy is based on the standards set forth by the [World Wide Web Consortium for web languages and protocols](#), and more specifically, the [Web Content Accessibility Guidelines](#). For more information, follow the links associated with each numbered item.

### 1.0 Web Domain and Hosting

All websites for ETSU units (academic, administrative and other) must be hosted, in their entirety, on the main ETSU web server and must utilize the University content management system. Exceptions must be requested in writing, submitted to the CIO and Sr. Vice Provost for Information Technology Services (ITS) and approved by Web Steering and ITC. Sites hosted on servers outside the main ETSU web server as of 11/8/2011, when this policy was approved, were not required to move at that time; however the web steering subcommittee and ITC make the final determination and may require sites that did not receive formal approval to move back to the main ETSU web server for hosting. Sites approved for hosting outside the main ETSU web server must have at least one page on the main web server in the Content Management System (CMS) that is consistent with the approved template.

#### 1.1. Content Management

Each site on the main ETSU web server must be completely created and maintained through the Content Management System (CMS) and built based on the approved ETSU template. Any exceptions to the template must be submitted in writing to the CIO and Sr Vice Provost for Information Technology Services and approved by the Web Steering and ITC Committees. (<http://www.w3.org/TR/WCAG10/#gl-facilitate-comprehension>, <http://www.w3.org/TR/WCAG10/#gl-use-w3c>)

#### 1.2. Site Creation

Entities or events not wholly owned or sponsored by ETSU may not have entire websites hosted on the main ETSU web server. However, a single informational web page may be created on the main ETSU web server under an appropriate academic or administrative unit. Additionally, a site may be created on an ancillary ETSU server under the following conditions: (1) a user request is submitted to and approval by ITS for creation of a domain name and web space on an ancillary server (2) a user request is submitted to the web manager for creation of the web site and permissions (3) the user is responsible for creating and maintaining all aspects of the website on the ancillary server (which may or may not have CMS capabilities).

### **1.3. File Structure and Size**

The files for an individual site on the main ETSU web server must live within one and only one folder on the server. This may include sub-folders, but should not include multiple folders on the same level

## **2.0 Web Content**

### **2.1. Course Materials on the Web**

Sites on the main ETSU web server should not contain course materials. Course materials should be posted within the university's learning management system, currently Desire2Learn, on the faculty web server or on other applicable servers.

### **2.2. Size Limitations**

The following file and folder size limitations are in place:

- the total size of all files for a website should not exceed 1 Gigabyte
- the maximum file size for text files = 250 KB
- the maximum file size for images = 1 MB
- the maximum file size for other binary files (PDF's, Word Documents, etc.) = 4 MB

### **2.3. Font**

Web standard fonts and those approved in the ETSU identity standards should be used for primary content. (<http://www.w3.org/TR/WCAG10/#gl-facilitate-comprehension>)

### **2.4. Content Standards**

Content inserted by the user through CMS must adhere to accessibility guidelines as outlined by the World Wide Web Consortium (W3C). (<http://www.w3.org/TR/WCAG10/> , <http://www.w3.org/WAI/GL/WCAG20/WD-WCAG20-20080505/#time-limits>)

### **2.5. Footer Information**

Footer information must contain specific university information and local contact information (Name, Address, Phone, Fax, Local E-mail). (<http://www.w3.org/TR/WCAG10/#gl-facilitate-comprehension>)

## **2.6. Links to External Sites**

Links to sites not hosted on www.etsu.edu should open in a new browser tab or window.

## **2.7. Accuracy and Relevance**

The administrative unit(s) publishing web pages to www.etsu.edu is fully responsible for factually accurate and current content. Web sites that contain out-of-date information may be requested to make the necessary corrections. Units failing to comply following such request may have one or more pages removed from the production web server.

## **2.8. Style and Grammar**

All Official University Web Sites must present information using the highest editorial standards (spelling, punctuation, grammar, style, etc.). Web sites that contain editorial errors may be requested to make the necessary corrections. Units failing to comply following such request may have one or more pages removed from the production web server.

## **3.0 Color**

Colors for ETSU websites must conform to the ETSU Identity standards. Acceptable colors and fonts can be found in the style and graphics standards manual on the [ETSU Identity website](#).

### **3.1. Color Contrast**

Color schemes for the site must be constructed such that all content on the site is displayed with good contrast and that colors complement each other.

[WCAG 2.0](#) level AA requires a contrast ratio of 4.5:1 for normal text (14 point and bold or larger) and 3:1 for large text (18 point or larger). The [WebAIM color contrast checker](#) can be used to determine if a page meets these standards.

## **4.0 Site Structure**

### **4.1. Site Banners**

Top (Template level) banners must be consistent in font-type, size, placement and style across all CMS sites.

### **4.2. Navigational Limitations**

Where possible, all left navigation should appear above the fold (1024 resolution) (<http://www.w3.org/TR/WCAG10/#gl-facilitate-navigation>)

### **4.3. Navigation Structure**

Each left navigation should contain a “Home” button as the first link and “Contact Us” button as the last link. (<http://www.w3.org/TR/WCAG10/#gl-facilitate-navigation>)

## **5.0 Commercial Transactions**

No ETSU web site (faculty server or main www.etsu.edu server) may collect credit card payments or other financial or personal sensitive information from users. Any unit needing to conduct commercial activity on an ETSU website (faculty or main server), including receipt of online credit card payments, must receive authorization from financial services and create a valid payment account. The user is responsible for obtaining a merchant ID, if appropriate, setting up the payment site and acquiring adequate training on maintaining the payment site. The web team will review the Web site's plan and make suggestions for links and advertising of the payment site. Any Web site discovered to be in violation of this provision is subject to immediate removal from the web. Any information collected from a web form may be accessible through the Tennessee Public Records Act (<http://www.comptroller.tn.gov/openrecords/forms.asp>).

## **6.0 Application**

Websites currently in CMS will need to comply with the design policies stated here, even if design exceptions were previously granted/approved.

\*\* These policies are based on the standards set forth by the World Wide Web Consortium for web languages and protocols (<http://www.w3c.org>, <http://www.w3.org/WAI/EO/Drafts/PWD-Use-Web/#diff>), and more specifically, the Web Content Accessibility Guidelines (<http://www.w3.org/WAI/GL/WCAG20/WD-WCAG20-20080505/#time-limits-pause>). For more information, follow the links associated with each numbered item.

### **Notes:**

Approved: Information Technology Governance Council

Revised: February 2017

Active since: November 2011

**Policy Title:** Web Based Courses

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Web Based Courses

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here)

**Purpose:** Web-based courses have frequently had additional or different requirements than courses meeting on-campus. Provides guidance to instructors and departments on specific requirements for web-based courses.

**Policy:**

**1.0 Definition:**

An Internet/web-based course is any course in which students may complete more than 50% of the requirements through Internet access to the course web site.

**2.0 Course-building:**

All Internet/web-based courses must be created in Banner with an online section number and WEB as the method of instruction. No other courses should be assigned this section number or this method of instruction.

**3.0 Classification:**

All Internet/web-based courses are Distance Education courses.

**4.0 Statement on Credit Hours:**

The Statement on Credit Hours is consistent with the policy and procedures approved by the East Tennessee State University Academic Council and published in the Faculty Handbook, Chairs Handbook, and Curriculum Process System. According to the ETSU Policy and Procedures for Awarding Credit, a semester credit is a unit of educational accomplishment represented by learning outcomes. In accordance with federal regulation (34 CFR 600.2 and subsequent guidance), one semester credit reasonably approximates the learning outcomes expected from one hour of direct faculty instruction and a minimum of two hours of out-of-class student academic engagement each week for 15 weeks. Courses offered in alternative calendars and course types require an equivalent amount of faculty and student engagement and learning outcomes.

Therefore, the definition of contact hours in asynchronous learning environments at ETSU is consistent with the ETSU Policy and Procedures for Awarding Credit. In accordance with that policy the following institutionally established criteria reflect professional standards and include some or all of the following:

- a. The course syllabus should clearly document that the course covers the same amount of material or course content that would normally be expected if the class were a traditional campus-based course. Clear documentation includes the course objectives covered, the course topics covered, and the stated expectations for readings, projects, and other assignments as well as the stated learning outcomes. It is the responsibility of departmental faculty teaching in an asynchronous environment to determine if the course content delivered in an asynchronous environment is of sufficient scope and rigor to ensure the amount of material delivered is comparable to the same campus-based course.
- b. During the planning and development of an asynchronous learning environment, faculty should estimate the time a typical student will take interacting with the course content. This should be equivalent to the number of out-of-class engagement normally expected in a campus-based course, and should be documented in the course syllabus.
- c. Faculty are encouraged to determine class attendance by the evaluation of student participation in scheduled online discussions, required interaction with the faculty as well as other classmates, and the timely submission of class assignments rather than simply by the number of logins provided in the statistics measured by the course management system.
- d. Discipline-specific best practices
- e. Purpose and goals of the course
- f. Intellectual/learning outcomes
- g. Content and topics
- h. Assessment methods
- i. Class level: lower or upper division undergraduate, undergraduate/graduate combine, graduate (master and/or doctoral).
- j. Course type: lecture, lab, clinical, studio, study abroad, internship, field placement, independent study, thesis, or dissertation
- k. Course delivery method: synchronous, asynchronous, or combined
- l. Articulation and transferability of credit to other institutions

### **5.0 Statement on Equivalence:**

Courses taught in the web-based format must be equivalent to the same courses taught in the traditional format.

- a. Courses developed specifically for web-based delivery must be approved through the curriculum process in the same way as new traditional courses.
- b. The processes and procedures for offering web-based courses are the same as all other ETSU courses.
- c. Departments offering courses in web-based format should be prepared to document that the courses have student-learning outcomes that are equivalent to those for courses taught in the traditional format.

## **6.0 Statement on Copyright:**

Faculty teaching web-based courses are expected to be familiar with and abide by all applicable or relevant copyright laws. Information about copyright laws can be found on the [Sherrod Library Digital Copyright site](#).

## **7.0 Standard Components for Web-based Courses:**

The [Memorandum of Understanding \(MOU\) for Synchronous and Asynchronous online courses](#) lists the specific components that are required in any web-based course. Faculty members and departments may offer online courses without completing the MOU. The developing faculty member should contact Information Technology Services (ITS) to request an evaluation of the course based on the required components listed in the MOU.

## **8.0 Continued Review:**

Approved courses will be reviewed on a three year cycle. Faculty may work out a re-development plan with ITS and receive additional compensation as part of the re-development /re-approval process. Faculty should contact the department before beginning re-development to determine if the course is eligible.

## **9.0 Policy on Faculty Training:**

All faculty developing and teaching Internet courses must demonstrate competence in the use of the technology for instruction and course development. It is the responsibility of Information Technology Services to ensure and document this competence prior to the offering of the Internet course.

- a. Supported Software: ITS will specify a limited list of software to be used in developing and offering Internet courses that will be supported fully by ITS personnel. Any exceptions will be made by ITS on a case-by-case basis, based on their best judgment on what can be adequately supported. The decision on what software to use, or to change software, will be made by ITS in consultation with faculty users and technical consultants. If a decision is taken to change the software to be supported and faculty must migrate to a new format, faculty will be notified well in advance and assisted in making the transition.
- b. Workshops and Training: ITS will provide workshops and training for faculty on the software applications adopted for Internet course creation, and pedagogical and managerial aspects of Internet instruction.

## **10.0 Student Lab Support:**

All open student computer labs will be configured and managed to support student access to the content of Internet courses developed by ETSU faculty.

## **11.0 Evaluation of Internet Courses:**

Internet based courses are to be evaluated by the same standards as traditional courses and the areas assessed must be equivalent to traditional courses. The Student Assessment of Instruction (SAI) for both asynchronous and synchronous online courses will be securely administered to students through the course management system. Faculty members, department chairs and college deans will have access to the results after the semester has ended.

#### **12.0 Higher Education Opportunity Act:**

In compliance with the Higher Education Opportunity Act (HEOA), all students in online courses are required to use their ETSU username and secure password to access the course management system.

#### **13.0 Policy on Electronic Mail:**

The ETSU email policy requires all faculty communication with students regarding ETSU business be conducted via the official ETSU email account.

#### **14.0 Hardware and Software Support:**

The University will provide the necessary support, hardware and/or supported software, for faculty members who have specific feasible plans to develop and offer Internet based courses in a reasonable time frame. The necessary hardware and software includes an acceptable computer, any supported client software needed for content development, appropriate network access and server space on the University's streaming servers, and on-going support from Information Technology Services. ITS will consult with faculty and departments to determine if a particular faculty member has, or can acquire, the necessary technical skills, if the faculty member either has or can develop a realistic and feasible plan for developing the Internet course, and if the particular course is suitable for delivery through the Internet. ITS will develop a suitable training plan for the faculty member developing the course. If resources are limited ITS will consult with faculty and departments to set priorities based on factors such as the number of students to be served, programmatic and organizational needs, and estimated time for completing the task.

Synchronous online courses are to be delivered using ITS supported web conferencing software.

#### **Notes:**

Approved: Information Technology Governance Council

Revised: February 2017



**Policy Title:** Wi-Fi

**Policy Type:** Technology                      **New/revised:** Revised

**Old Policy #:** Wi-Fi

**Approval level:**  Board of Trustees    [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here)

**Purpose:**            This policy explains the guidelines that have been developed to insure appropriate and effective use of the ETSU Wi-Fi network.

**Policy:**

**1.0 Motivation**

ETSU provides wireless networking in all buildings on the main campus and at several off campus locations for the purpose of making the ETSU computer network and resources available wirelessly to ETSU students, faculty, and staff.

**2.0 Responsibilities**

Information Technology Services (ITS) is the East Tennessee State University (ETSU) department responsible for the implementation, maintenance, and troubleshooting of all issues related to the ETSU Wi-Fi network.

**3.0 Policy & Guidelines for Wi-Fi Computing**

The ETSU Wi-Fi network is an extension of the ETSU wired network and thus is governed by the [ETSU ITS Code of Ethics](#). The ETSU Wi-Fi network is designed as an enhancement to the wired network, and cannot be considered a substitute. Unlike the wired network connection, Wi-Fi is a shared medium with slower throughput speed and it is subject to interference. Wi-Fi should be viewed as a secondary network to accommodate mobility, and should not be utilized for mission critical functions such as interactive testing, bandwidth intensive and latency sensitive applications including but not limited to large file transfers, streaming media and Voice over Wi-Fi. A wired network jack should be installed in any location where work related computing is necessary. Desktop computers shall not be connected to the ETSU network via Wi-Fi. Departments can request installation of a new network jack by submitting a Telecommunications Requisition to ITS (<http://www.etsu.edu/oit/documents/requisition.pdf>).

Personal or departmental Wi-Fi devices located on the ETSU campus that are not managed by ITS are likely to disrupt ETSU Wi-Fi. Non-ETSU Wi-Fi devices utilize the same radio frequency spectrum as the ETSU Wi-Fi network which introduces interference. Interference created by non-ETSU devices greatly diminishes the quality and reliability of the ETSU Wi-Fi network therefore non-ETSU Wi-Fi devices are not permitted on the ETSU campus.

Wi-Fi interference is a greater problem in the residence halls where personal living spaces are located in close proximity to one another. Any Wi-Fi device that generates a Wi-Fi network causes interference. Examples of these types of devices include game consoles, Wi-Fi printers, Apple TV, cell phone hotspots, Roku, Chromecast, ad-hoc network and Wi-Fi-direct will cause disruption to ETSU Wi-Fi for other students in rooms that are in close proximity to the non-ETSU devices. These devices continue to broadcast interference until they are powered down.

If interference is detected from a non-ETSU network device in an ETSU building, the interference should be reported to the ITS Help Desk at 439-4648 or [ITSHelp@etsu.edu](mailto:ITSHelp@etsu.edu) . The ETSU Wi-Fi network is designed to support laptop grade devices throughout all ETSU buildings. If ETSU faculty, staff, or students detect a low signal level on a laptop grade device, please notify the ITS help desk so the issue can be addressed.

Layers of security are in place to protect Information transmitted over the ETSU Wi-Fi network; however one should still exercise caution when transmitting personal information like credit card numbers, passwords, and other sensitive information. In addition to the security protections built into the ETSU Wi-Fi network, departments handling sensitive information that requires PCI or HIPAA compliance should employ additional security mechanisms to comply with state and federal regulations.

There are no filters on the ETSU network to comply with the Children’s Internet Protection Act (CIPA) so age groups K – 12 are restricted from usage. It is the responsibility of the computer account owner or sponsor requesting guest Wi-Fi access to safeguard children and ETSU by ensuring that the access they provide or request is not made available to ages K – 12.

All users are encouraged to have up-to-date virus protection to protect their personal device and data. ETSU is not responsible for the loss or alteration of data due to security breaches. Contact the ITS Help Desk for Wi-Fi general information and assistance with the initial setup and basic troubleshooting steps. You can reach the ITS Help Desk at 439-4648 or [ITSHelp@etsu.edu](mailto:ITSHelp@etsu.edu) .

#### **4.0 Procedures & Guidelines**

All students, faculty, and staff are provided a computer account upon enrollment or employment. All students and employees that have an active ETSU computer account can utilize the ETSU Wi-Fi network. The ITS Help Desk should be consulted (439-4648) if a user needs computer account information assistance

#### **5.0 Devices Requirements**

Any Wi-Fi enabled device compliant with 802.11a, 802.11g or 802.11n will work on the ETSU Wi-Fi network. The newest available standard 802.11ac is backward compatible so these devices will also work but only at 802.11n capacity. Most devices that are seven years old or newer will be able to connect with one of the above standards.

#### **6.0 Security Requirements**

ETSU uses the Wi-Fi Protected Access 2 (WPA2) security protocol with Advanced Encryption Standard (AES) and MS-CHAPv2.

## **7.0 How to Connect**

A Wi-Fi enabled device must first be configured with ETSU security parameters. If your device does not auto-configure during the connection process, please visit the ITS website for further instructions: <http://www.etsu.edu/oit/networking/WireLessSetup.aspx> or contact the ITS Help Desk at 439-4648 or [ITSHelp@etsu.edu](mailto:ITSHelp@etsu.edu).

ETSU provides separate SSID's for ETSU campus (ETSU) and for ETSU Residence Halls (ETSURESNET). Both SSID's are available for all ETSU students, faculty, and staff and may be accessed by entering your username and password when prompted.

## **8.0 Vendor & Guest Access – Individual Visitors**

ETSU faculty and staff can act as a sponsor and request guest Wi-Fi access on behalf of a vendor or guest. A temporary guest computer account will be provided. The ETSU faculty or staff sponsor is responsible for validating the need and usage of the guest computer account.

## **9.0 Guest Access for Events – Large Groups**

ETSU faculty and staff can also act as a sponsor and request guest Wi-Fi access for group events. A new Wi-Fi network would be created for the event and the sponsor is provided a passphrase to be made available to the group to gain access. If an event is needed in more than a few locations or lasts longer than two weeks, individual guest computer accounts would need to be requested instead. There are no filters on the ETSU network to comply with the Children's Internet Protection Act (CIPA) so age groups K – 12 are restricted from usage. It is the responsibility of the sponsor requesting guest Wi-Fi access to safeguard children and ETSU by ensuring that the access they request is not made available to ages K – 12.

ETSU guest Wi-Fi networks for group events utilize Wi-Fi Protected Access 2 Pre-shared key (WPA2 PSK) security protocol. These guest networks are less secure and thus are limited to internet only access.

## **10.0 Policy Dispute**

The Chief Information Officer is charged with the responsibility to periodically review the policy and propose changes as needed.

### **Notes:**

Approved by: Information Technology Governance Council

Reviewed: February 2017

Active Since: November 2006

EAST TENNESSEE STATE UNIVERSITY

BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Confirmation of the Director of Internal Audit

RECOMMENDED ACTION: Approval

PRESENTED BY: Chair, Board of Trustees

As part of the Higher Education Accountability Act of 2004, TCA § 49-14-102 requires the Tennessee Board of Regents (TBR) to have an Audit Committee that employs a person qualified by training and experience to serve as an internal auditor. Per TBR policy, the internal auditor reports directly to the Audit Committee and is removable only for cause by a majority vote of the Board of Regents.

For several decades, TBR has provided a centralized, system-wide audit oversight process for East Tennessee State University (ETSU), including promulgation of policy outlining oversight and endorsement of a campus Director of Internal Audit. With the establishment of the Board of Trustees, TCA § 49-14-102 requirements for employing a qualified person as Director of Internal Audit will apply to the institutional Board of Trustees.

Ms. Rebecca A. Lewis has served as the University's Director of Internal Audit since July 2011. Prior to that appointment, she served as the Assistant Director for the Office of Internal Audit for ten years. She holds a Master of Accountancy from East Tennessee State University, is a member of Institute of Internal Auditors and the Association of College and University Auditors, and has been continually licensed as CPA in the State of Tennessee since 1996.

**MOTION: I move that the Board of Trustees endorse Ms. Rebecca A. Lewis as the University's Director of Internal Audit.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Delegation of Authority to the President

RECOMMENDED ACTION: Approval

PRESENTED BY: Chair, Board of Trustees

Tennessee Code Annotated § 49-8-203 outlines the powers and duties of the Board of Trustees for East Tennessee State University (ETSU). As provided in the statute, the Board may delegate to “chief executive officer of each respective institution such powers and duties as are necessary and appropriate for the efficient administration of the institution and its programs.”

Additionally, the Bylaws provide the Board of Trustees the power to “delegate and provide for the further delegation of any and all powers and duties, subject to limitations expressly set forth in law. Such delegations shall be in writing.” The resolution provides to the President guidelines for the operation of the University by delegating specific authorities to the President.

**RESOLVED:** The East Tennessee State University Board of Trustees delegates the following authority to the President of the University. The authority:

1. for day-to-day operations, management, and control of the University;
2. to make necessary expenditures, personnel hires, or obligations on behalf of the University;
3. to establish policies and procedures for the educational program and other operations of the University. The Board of Trustees retains approval authority for policies that directly involve the Board including the Board of Trustees Code of Ethics Policy; policies related to the promotion and tenure of faculty; and any policies, rules, or authority as statute, governmental directives, or custom requiring action by the Board. These reserved Board of Trustees powers include but are not limited to:
  - a. Approval of the budget
  - b. Approval of tuition and fees
  - c. Banking, depositor, or investment contracts
  - d. Purchase, sale, exchange, or gifts of real property
  - e. Personnel matters involving the President
  - f. Designation of a name for University buildings or facilities

g. Approval of the University Strategic Plan

4. to approve the granting of honorary degrees;
5. as outlined in TCA § 49-8-203, to establish reserve officers training corps units; and to execute and deliver bond, with or without surety, in such manner and on such terms and conditions as may be required by the United States, for the care and safekeeping of the transportation animals, arms, ammunition, supplies, tentage, and equipment that may be necessary or desirable for the operation, conduct, and training of any reserve officers training corps units of the Armed Forces of the United States authorized by law at any time, to be conducted in conjunction with East Tennessee State University.

**MOTION: I move that the Board of Trustees adopt the resolution as presented in the meeting materials.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: March 24, 2017

ITEM: Committee for 125 Review

PRESENTED BY: Brian Noland, President

The Committee for 125 was established to explore and develop a strategic vision for the University in anticipation of its 125th anniversary. With the celebration of the Centennial providing a reflection on the history of East Tennessee State University (ETSU), the launch of the Committee for 125 brought together a group of individuals with a diverse, highly successful background from the areas of education, government, business, and civic involvement to explore and create a vision for the University in 2036.

Commissioned by President Noland, the emerging “visioning plan” was the result of a multi-stage process led by the Committee for 125, developed in concert with six task forces, and completed with constituent engagement among students, faculty, staff, government officials, business/community leaders, alumni, and other stakeholders. More than 2,000 individuals across the region participated in task forces, town halls, employer roundtables and other activities dedicated to the project, which was also communicated thoroughly in news articles by campus and regional media. The Committee’s aspirations, incorporating the views of the ETSU community, paint a picture of “what might be” for ETSU as the model regional university in the United States.

The following major themes of “ETSU - Vision 2036” were developed by the Committee for 125:

1. *Academically ETSU will be nationally recognized for its outstanding undergraduate and graduate education so that the entire region achieves higher educational attainment, knowledge and skills vital to their lives, careers and a thriving economy. An ETSU education will be marked by distinctive programs, greater accessibility and affordability through the latest learning technologies and delivery methods, a commitment to evolving career needs and a distinguished showcase of the arts for the campus and the region. Through partnerships with regional high schools, the University will have prepared new teachers who model innovation and will have significantly increased college attainment. For enrolled students, ETSU will meet or exceed best practices and legislative standards for retention and degree completion.*

2. *The Health Sciences Center will be the premier national model for community-based health care, one that improves the health and well-being of the region and those who benefit from its far-reaching innovations.* This model will be distinguished as a fully integrated system of inter-professional teams and as a visible leader in rapidly translating discoveries to change lives at the bedside and in daily living.
3. *With a powerful university brand, ETSU will be recognized nationally as a student-centered university fostering a transformative educational experience that affirms the value and richness of diversity.* Student success will be enhanced through a comprehensive First-Year Experience, maximum student financial assistance and a student advising system that integrates campus academics and career support. The physical and virtual campus will offer student-centered services that include a welcome center, one-stop shop for enrollment services and 24x7 access to key student services online. Student engagement will be advanced through a new multi-cultural center, online communities and other integrated institutional courses and experiences.
4. *ETSU will be a model “Education Corridor” renowned for its constituent-based relationship, in which each individual has access to the knowledge each needs, and for the “learning exchange” it has developed with governments, businesses, and other schools and colleges for shared resources and collaboration.* By reconstructing education, this approach will offer a lifelong experience that is not constrained by location, is both residential and virtual and, by eliminating boundaries, serves as a gateway to education, culture and other benefits of a richly diverse region for those accessing ETSU from a distance.
5. *Bringing the campus to the community and the community to campus, ETSU will be an even more significant partner in the region’s thriving business and intellectual center, which serves as the foundation for a stronger economy and vitality in all areas of life in East Tennessee and neighboring states.* ETSU will have increased alumni giving and involvement, developed a culture of philanthropy contributing to a stream of new resources, fostered mutually beneficial partnerships and established national prominence for research and knowledge. ETSU will continue to be the hub of the region and central to its citizens, economic health and quality of life. Through the development of enhanced facilities, resources and community engagement, ETSU will become an institution that fosters an environment of excellence for faculty, staff, students and the region. There will be an inextricable link between ETSU and the community as a whole.
6. *Adopting a front-porch philosophy, ETSU Athletics will significantly engage the campus and the region so that a “culture of success” permeates its character and provides an inclusive community- building experience through recreation and competitive sports.* It will be known for its vibrant “game day” character, continuously modernized facilities and championship teams – excellence that enhances a spirit of community across the region and attracts new students, faculty, staff and friends.



The vision created by the Committee for 125 established a baseline for planning and policy development at the University. While the process was aspirational in nature, it yielded direct and tangible outcomes that shaped the work of the campus and framed the 2016-26 Strategic Plan for East Tennessee State University.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: March 24, 2017

ITEM: Endorse University Strategic Plan

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Michael Hoff  
Associate Vice President of Planning and Decision Support  
and Chief Planning Officer

As a follow-up to the visioning process conducted through the Committee for 125, the University community has been engaged in the development of an enhanced vision, mission, and strategic agenda for East Tennessee State University (ETSU) through 2026.

At the President's request, the Interim University Council (IUC) created and charged the University Planning Committee (UPC) to develop a planning process that solicited University-wide input on the development of the ten-year strategic plan. Building upon the foundational work of the Committee for 125, the UPC created inclusive mechanisms that allowed for the establishment of an accountability framework that guides the university's development throughout the planning cycle.

Over the course of the past twelve months, the UPC has led an inclusive planning process that incorporated the efforts of multiple committees regarding the following: development of a new budget process/model, the university's academic portfolio, the efficiency of administrative services/units, expansion of research and scholarly activity, the university's public service mission, and the draft vision statement established in fall 2016 by the Interim-University Council. The UPC conducted a significant SWOT/C with input from over 1,000 faculty, staff, and students. The results of the SWOT/C analysis were used to establish a draft strategic agenda that was presented in two town halls attended by over 150 University personnel, made available for 30-day public comment, and presented to groups such as the Academic and Dean's Councils, the Council of Chairs, the Faculty Senate, and Student Government. Based upon the feedback received throughout the process, the UPC developed a final draft that was submitted to the IUC for approval in February 2017.

The 2016-26 strategic plan for ETSU is built around the following core areas:

1. Supporting a strategic growth agenda that maximizes the student experience both inside and outside the classroom
2. Ensuring the diversity and inclusion of people and ideas
3. Empowering employees to make ETSU a great place to learn, work, and grow

4. Supporting excellence in teaching
5. Expanding the foundation for scholarly (research and creative activity) excellence and innovation in all disciplines
6. Leading the region forward through community engagement and service.

**MOTION: I move that the Board of Trustees approve the Strategic Plan containing the University's Mission Statement as presented in the meeting materials.**

## East Tennessee State University Strategic Plan 2016-2026 (Draft 2.6.2017)

This plan is intended to be the guiding document for academic and administrative units when developing and prioritizing their strategies for achieving the strategic goals of the university and to guide budgeting and resource allocation decisions. The hope is that decision-making will become a more decentralized process that will encourage innovation among the units.

### ETSU Vision

(Proposed)

*Developing a world-class environment to enhance student success and improve the quality of life in the region and beyond.*

### ETSU Mission and Values

(Proposed)

ETSU provides a student-centered community of learning, reflecting high standards and promoting a balance of liberal arts and professional preparation, and continuous improvement. The university conducts a wide array of educational and research programs and clinical services including a comprehensive Academic Health Sciences Center. Education is the university's highest priority, and the institution is committed to increasing the level of educational attainment in the state and region based on core values where:

**PEOPLE** come first, are treated with dignity and respect, and are encouraged to achieve their full potential; **RELATIONSHIPS** are built on honesty, integrity, and trust; **DIVERSITY** of people and thought is respected; **EXCELLENCE** is achieved through teamwork, leadership, creativity, and a strong work ethic; **EFFICIENCY** is achieved through wise use of human and financial resources; and **COMMITMENT** to intellectual achievement is embraced.

ETSU endorses the value of liberal education and provides enriching experiences in honors education, student research and creative activity, study abroad, service learning, and community-based education.

ETSU honors and preserves the rich heritage of Southern Appalachia through distinctive education, research, and service programs and is actively engaged in regional stewardship.

ETSU affirms the contributions of diverse people, cultures, and thought to intellectual, social, and economic development.

ETSU offers students a total university experience that includes cultural and artistic programs, diverse student activities, a variety of residential opportunities, and outstanding recreational and intercollegiate athletic programs.

ETSU awards degrees in over one hundred baccalaureate, master, and doctoral programs, including distinctive interdisciplinary programs and distance education offerings that serve students from the region and beyond.

## **Executive Summary**

Through a combination of primary and secondary data review, the University Planning Committee identified five major areas of focus to guide priority development and budget allocations for 2016-2026. These items and their subordinate points are not intended to define all activities the university should undertake, but rather to provide a framework for planning and decision-making at the appropriate level. The five key areas are:

- 1. Supporting a strategic growth agenda that maximizes the student experience both inside and outside the classroom**
- 2. Ensuring the diversity and inclusion of people and ideas**
- 3. Empowering employees to make ETSU a great place to learn, work, and grow**
- 4. Supporting Excellence in Teaching**
- 5. Expanding the foundation for scholarly (research and creative activity) excellence and innovation in all disciplines**
- 6. Leading the region forward through community engagement and service**

Through a focus on activities designed to have a positive impact on improving each of these areas, the committee believes ETSU can realize the vision established by the Committee for 125.

## **University Planning Committee Charge and Membership**

### **Charge:**

Involving many segments of the university community, the Committee will:

1. Identify major institutional goals and objectives, incorporate existing plans for achieving these goals, review these plans to determine their appropriateness and sufficiency for planning, and coordinate planning with the budgeting process.
2. Assure that the university's strategic planning process includes a format for submitting information that will ensure overall consistency and accountability and is done in a timely manner.
3. Provide feedback and support for integrating strategic planning with institutional effectiveness and budgeting processes.
4. Review TBR and THEC planning mandates and associated reporting requirements and ensure that they receive appropriate attention.
5. Strive to align the university's vision, mission, values, and strategic goals and submit to the Interim University Council for the approval any proposed revisions thereof.
6. Review and align results from Committee 125 with planning processes and report on these matters to the Interim University Council.
7. Ensure that the university community is informed in a timely manner about major planning decisions, including the rationale for these decisions and their implications for the university.

## **ETSU Strategic Planning Committee Jan 2016 – May 2017**

Co-Chair: Dr. Wallace E. Dixon, Jr., Professor and Chair of Psychology, College of Arts & Sciences

Co-Chair: Dr. Mike Hoff, Institutional Research and Effectiveness

### **Membership**

Ms. Pooja Shah, President, ETSU Student Government Association

Ms. Makenzie Fulmer, Secretary, ETSU Graduate & Professional Student Association

Dr. Larry Calhoun, Dean, College of Pharmacy

Dr. Bethany Flora, Assistant Professor of Educational Leadership and Policy Analysis, College of  
Education

Dr. Jeff Howard, Dean of Students

Dr. B.J. King, Senior Associate Vice President for Finance and Administration

Dr. Lorianne Mitchell, Associate Professor, Department of Management & Marketing, College of  
Business and Technology

Dr. David Roane, Professor and Chair, Department of Pharmaceutical Sciences, College of  
Pharmacy

Mr. Michael White, Associate Athletic Director for Communications (MBB, FB)

Dr. Ramona Williams, Vice Provost for Enrollment Services and Management

Dr. Randy Wykoff, Dean, College of Public Health

## Historical Context

ETSU was founded in 1911, opened on October 2, 1911, and consisted of eight departments. This was made possible by the Normal School Law of 1909: 'For the education and professional training of teachers for the public schools of the state.' In a broader sense, the act focused squarely on improving living conditions in the regions of the three normal schools.

Four general principles recognized by our first president, Sidney Gilbreath:

1. Support goal of regional service
2. Scholarship
3. The study of education as a science, practice in teaching
4. A knowledge of the conditions and needs of the State.

These principles still guide ETSU today, just as they did at our founding in 1911. We have changed in many ways physically, programmatically, and demographically, but these principals are part of the fabric of ETSU, and the recommendations that follow are aligned to these principles. This document tells a story of an institution that started with 29 students and seeks to enroll 18,000, an institution that seeks to become the primary driver of our region toward prosperity, through teaching, research, and service.

## Planning Purpose and Background

The previous planning cycle ended in 2015. That plan, though largely successful, needed substantive review to prepare ETSU for the next decade. The current planning cycle was conducted in three phases. The Committee for 125 completed their work in 2013 and provided a narrative vision of what ETSU should look like in the year 2036. In 2014 and 2015, four substantive review committees were formed to review ETSU's administrative services, academic program inventory, research, and service. Later in 2015, the president formed the Interim University Council; this committee is charged with acting as an internal board to make decisions and expand shared governance. The IUC formed, at the request of the president, the University Strategic Planning Committee. The UPC is a group of skilled and representative campus actors who were charged with synthesizing the reports from The Committee for 125, Academic Program Inventory, the Research Strategic Plan, and the Community and Public Service Review Committee into a single strategic framework for the campus to guide decisions and budget processes for the next ten years. What follows here is the summary of ten months of activity and the proposed strategic agenda for ETSU through 2026, at which point we will need another major effort to propose strategies for the final ten years to achieve the full vision of 125:

*"In 2036, when a visitor approaches Johnson City, the presence of East Tennessee State University looms large. It is seen in the far outskirts of the city on "Welcome to ETSU" signs; in the high-tech, manufacturing and health care corridor that embraces the region; and in the vibrant college town of Johnson City, where campus and community are synonymous. The message is clear – ETSU is the preeminent player in the region, contributing to the overall high quality of life, innovation, industry and business, health, well-being, vitality and diversity through education, arts and culture and athletics. These themes define its overall 'Culture of Excellence,' whose attributes guided visioning and planning for ETSU's 125th anniversary."*

**Process**



The process over the past ten months began with a series of small group sessions designed to identify the strengths, weaknesses, opportunities, and challenges of ETSU. The committee then met and spent two sessions organizing the results into a survey that could be shared with the campus to refine the results into manageable list. The survey was sent to all faculty, staff, and students. The planning committee received 946 responses and met to review the results and the final SWOT/C is presented in the table below.

**SWOT/C**

<b>Strengths</b>	<b>Weaknesses</b>
Academic Health Sciences Affordability/Scholarships Faculty Academic programs Students <i>'Campus (Beauty, Location, Region)</i>	Low faculty and staff salaries Limited university budget Lack of communication Lack of transparency in decision-making Too few tenured/tenure-track faculty
<b>Opportunities</b>	<b>Challenges</b>
Increase faculty staff salaries Increase academic reputation Grow graduate programs Improve the student experience Grow honors program <i>'Health Systems Merger'</i>	Limited University Budget Low morale Competition from two-year schools Maintain appropriate number of full-time faculty Competition from four-year schools <i>'Inadequate Campus Safety'</i>



After reviewing all the committee reports, the current unit plans, data relative to the status of the current institution, the state mandated metrics and rationale, and the SWOT/C, the committee developed a framework that the committee believed would successfully guide decision-making toward 2026. Once that process was completed, the committee conducted a two-hour session with faculty asking for their activities for each of the broad strategy areas. Those recommendations were reviewed and found to be closely aligned with the activities identified by the UPC. Finally, the committee used that information to review the goals proposed by the president and their alignment with the outcomes of Complete College Tennessee and the Drive to 55. The committee found good alignment with those goals, and the results are presented in the closing section of this report. To best represent the process for implementing the strategic plan, our recommendations are separated into operational improvements needed to ensure success and the strategic framework.

### **Operational Recommendations**

During the review of unit strategic plans, the reports from previous committees, and the feedback received during the planning process, the committee noted some recommendations were of an operational rather than a strategic nature. The committee felt compelled to include the following operational recommendations designed to ensure the university can realize the aspirational goals of the plan within the planning horizon:

1. Provide adequate support and staffing for the transition to an institutional board of trustees per the FOCUS Act, allowing ETSU to make decisions within our unique mission.
2. Organizational Recommendations:
  - a. Align the academic and organizational structure to the strategic plan.
  - b. Furthermore, while the committee recognizes the authority of the president when setting the leadership team of the institution, and in no way wants to mandate the composition of such a group, it should be noted that we would recommend serious consideration of two appointments to the president's executive team: the Vice Provost of Research and Chief Diversity Officer.
3. Resource Realignment: The Administrative Services Review Committee highlighted several areas of improvement, and the Academic Portfolio Review Committee identified several data points needed to improve the assessment of the academic units; however, we believe that a more specific committee must be convened to identify areas of reallocation. ETSU has seen a significant drop in revenue generating FTE over the past five years while increasing personnel and operational costs. To implement the strategic framework, we must identify sources of funds that can be used to ensure success. The committee believes that this realignment will provide the best possible foundation for success.

## Strategic Framework

*Listed in order of priority.*

- 1. Supporting a strategic growth agenda that maximizes the student experience both inside and outside the classroom**
  - a. Student life
    - i. Prioritize funding for academic and administrative programs, at both the university and college level, that are designed to create an engaged campus experience
  - b. Scholarships
    - i. Increase stipends for Graduate Assistantships and Fellowships to nationally competitive levels while ensuring a balanced approach of both merit and need-based undergraduate financial aid
    - ii. Increase mission-centered financial aid that has an additional impact on the region, particularly in the areas of the arts and public service
    - iii. Expand the University's geographical footprint through revision of its tuition policy as it relates to out-of-state students
  - c. Academics
    - i. Increase opportunities and participation by students in high impact educational practices—e.g., first-year seminars and experiences, learning communities, collaborative assignments and projects, undergraduate research, diversity/global learning (augmented by experiential learning in the community and/or study abroad), service learning/community-based learning, internships, and capstone courses and projects
    - ii. Increase opportunities and participation by students in intercollegiate athletics, club sports, and intramurals
    - iii. Promote a balance of workforce and academic outcomes by prioritizing funding for the creation of professional masters and doctoral programs
    - iv. Increase opportunities for students to interact with faculty outside the classroom
    - v. Expand the number of fully online programs, focusing on programs with high demand and strong potential for attracting non-traditional students
  - d. Recruitment
    - i. Increase both undergraduate and graduate applications for admittance to ETSU with a focus on increased yield rates
    - ii. Increase the number of enrolled students who enter the University as first-time freshmen, first-time transfer students, participants in distance-learning cohorts (in-state and out-of-state), students in cost centers at Sevierville and Kingsport, dual enrollment students, and graduate students
    - iii. Promote a more diverse student body, by establishing benchmark percentages for targeting the enrollment of diverse groups, with the goal of 33% of new enrollment growth at ETSU being from traditionally under-represented students
    - iv. Develop a marketing plan that leverages our academic and athletic achievements to expand the core market area for ETSU enrollment from 75 miles to 300 miles

## **2. Ensuring the diversity and inclusion of people and ideas**

- a. Establish a diversity task force that will be responsible for developing and implementing a strategic plan for diversity and inclusion to be integrated with the strategic plan and implemented in 2017-18
- b. Focus on defining diversity and defining inclusion and expanding our view of diversity beyond race or nationality. Areas of focus:
  - i. Students
  - ii. Faculty/Staff
  - iii. Student life
  - iv. Community around ETSU

## **3. Empowering employees to make ETSU a great place to learn, work, and grow**

- a. Employee well-being
  - i. Implement a Human Resources organizational structure and philosophy that supports faculty and staff in a way that aligns with ETSU's values and promotes employee well-being and professional development as the top priority
  - ii. Take adequate measures to ensure campus safety and annually review those measures and the campus perception to continually approve campus environment
- b. Decentralized budget model
  - i. Transition to a decentralized budget model by 2018-19 with the goal of incentivizing units based on student outcomes and obtaining extramural funding at the college level
  - ii. Commit to a budget imperative of allocating at least a 2.5% salary pool annually for market-salary equity adjustments each year of the plan and review current salary tables for adjustment to incrementally increase base hiring salary in high need areas
- c. Professional Development
  - i. Establish and cultivate a formal mentoring program where funded faculty endowed professors and other established faculty mentor junior faculty, post-doctoral fellows, and senior doctoral students
  - ii. Expand the Presidential Fellows program to become a leadership institute that benefits both faculty and staff to aid in succession planning and employee development
- d. Awards and recognition
  - i. Increase opportunities to recognize in a meaningful way the awesome impact of our faculty and staff upon ETSU and the community

## **4. Supporting Excellence in Teaching**

- a. Provide support and resources for addressing recommendations of the Work Group on Teaching that garner formal University endorsement
- b. Develop academic staffing plans, workload policies, and monitoring protocols that support education, research and scholarship, and service and that reflect both peer standards of practice and support by academic administrative at the department, college, and university levels

- c. Support strategies for enhancing curricular, pedagogical, program delivery (including calendars), and infrastructure that encourage innovations that reflect commitment to student engagement, learning, and academic success
- d. Define and pursue strategies to eliminate silos that militate against interdisciplinary programming and encourage inter-college and inter-departmental collaboration

**5. Expanding the foundation for scholarly (research and creative activity) excellence and innovation in all disciplines**

- a. Provide support and resources to colleges for stimulating and facilitating collaborative and interdisciplinary research among the colleges and encourage hiring college level research officers that will act as a college level resource for sponsored programs administration
- b. Target deficiencies in baseline space needs identified in the ETSU Facilities Master Plan (2014) to ensure the strength, quality, and growth of scholarly activities
- c. Review the availability of research instrumentation and determine whether new core facilities should be established to reduce ongoing expenditures and ensure availability to all faculty
- d. Increase the numbers of tenured/tenure-track faculty with terminal degrees and active research programs
- e. Expand research support (start-up funds) for incoming faculty and “bridge support” for faculty who lose funding but have high probability for new funding
- f. Develop interdisciplinary centers of research to promote sharing resources and increase depth of funding proposals

**6. Leading the region forward through community engagement and service**

- a. Create and provide appropriate resources to identify and depict clearly mission-based community and public service provided at ETSU by faculty, staff, and students
- b. Assure that ETSU maintains ongoing annual reporting of activity sufficient to address SACSCOC reporting and adherence to the expected standards for warranting inclusion in the Carnegie Community Engagement Classification
- c. Create opportunities for students to engage with the community that promote community and public service and active citizenship
- d. Engage in service activities that promote economic development in the region
- e. Through the Academic Health Science Center and interdisciplinary partnerships, expand our engagement in research and service opportunities that promote the health and wellness of the region and pursue the opportunities associated with the potential merger of the regional health care systems
- f. Reflect commitment to the Arts Initiative through construction and occupancy of a Performing Arts Center, expanded programming as envisioned in the Arts Initiative, and expanding the number of art and cultural service opportunities available to students in partnership with the external community
- g. Emphasize the university's role to foster research and economic development in the region

## **Summary and Strategic Goals**

The story of ETSU began in 1911 with a focus on being of service to the state and the region in the areas of education and scholarship and has grown to include leadership in the health sciences. This plan is an extension of the 106-year tradition of improving the lives and well-being of the people in our region and beyond. While our core focus is on the people in our region, the agenda for higher education begins at the state level. The Tennessee Higher Education Commission has as its focus for the next decade: access, student success, quality, and resourcefulness and efficiency. This plan aligns with those core areas and strengthens our place within the statewide higher education agenda in Tennessee.

The Focus Act has provided an opportunity to be the author of our own story over the next decade. This plan establishes a framework that prepares ETSU to maximize the benefit of our own board of trustees.

This plan is not the first chapter of the ETSU story, but it is an outline for what will be one of the boldest chapters in our history. Between now and 2026, we will add many pages to the next chapter of ETSU's story; the content of which remains unknown, but the conclusion of this next chapter will result in an ETSU that will...

- Have 18,000 students enrolled on-campus, on-line, or at a remote location.
- Have 3,500 out-of-state and international students enrolled.
- Have 2,000 transfer students enrolled.
- Graduate 60% of first-time, full-time, degree-seeking students within six years.
- Retain 85% of first-time, full-time, degree-seeking students from fall to fall.
- Receive 12,000 freshman applications with an average ACT of 24.
- Be an Insight into Diversity: Higher Education Excellence in Diversity institution.
- Receive \$60 million for research and other extramurally-sponsored activities.
- Receive \$25 million in annual giving to ETSU.
- Have a 10% alumni giving rate.
- House 3,500 students on campus, with another 2,500 living within two miles of campus.
- Have market-salary equity for faculty, staff, and graduate student salaries/stipends.
- Be recognized as a Chronicle Great College to Work For.
- Be a recipient of the Carnegie Community Engagement Classification from the Carnegie Foundation.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: March 24, 2017

ITEM: SACSCOC Accreditation – Substantive Change Process Update

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

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) is the regional accrediting body in the eleven U.S. Southern states (Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Texas and Virginia) and in Latin America for institutions of higher education that award associate, baccalaureate, master's or doctoral degrees. To gain or maintain accreditation with SACSCOC, an institution must comply with the standards contained in the *Principles of Accreditation: Foundations for Quality Enhancement*. The *Principles* provide consistent guidelines for peer review on standards appropriate for the assurance of quality in higher education. SACSCOC applies the requirements of its *Principles* to all applicant, candidate, and member institutions, regardless of type of institution (public, private for-profit, private not-for-profit).

The U.S. Department of Education (USDE) requires accrediting agencies it recognizes to monitor institutions to ensure that institutions having access to federal funds continue to meet accreditation standards. SACSCOC conducts a comprehensive review of accredited institutions every ten years and requires a fifth-year interim report to demonstrate to the USDE that it monitors institutional compliance more frequently than once per decade.

East Tennessee State University (ETSU) is accredited by SACSCOC to award baccalaureate, masters, specialist, and doctoral degrees. ETSU was first accredited in 1927, and accreditation was most recently reaffirmed in 2013. ETSU will submit a fifth-year interim report to SACSCOC in March 2019, and the institution's next reaffirmation is scheduled for 2023.

SACSCOC defines substantive change as “a significant modification or expansion in the nature and scope of an accredited institution.” Certain types of substantive changes, including changes in governance, require prior notification and prior approval by SACSCOC, as well as an on-site visit by a substantive change committee to determine continued compliance with the *Principles*.

A history of the correspondence and activities with SACSCOC related to the governance change is provided below.

- 3/2/16: David Gregory, Acting Chancellor, Tennessee Board of Regents (TBR) notified Belle Wheelan, SACSCOC President, of a potential pending substantive change in governance for the six TBR universities, including ETSU.
- 3/18/16: Dr. Wheelan responded to Dr. Gregory's notification, outlining SACSCOC policy regarding substantive change and requesting a meeting with representatives from affected institutions because the legislative timeline for the proposed change was not consistent with the timeline of SACSCOC policies.
- 6/20/16: ETSU President Brian Noland, ETSU Provost Bert Bach, and ETSU Accreditation Liaison Cheri Clavier, along with their TBR counterparts, met with SACSCOC officials to discuss process and timeline regarding the governance change.
- 8/31/16: President Noland submitted a prospectus to SACSCOC describing the change in governance of ETSU from TBR to the ETSU Board of Trustees. This prospectus included the following sections: abstract, background information, assessment of need and program planning/approval, description of the change, faculty, and financial support.
- 10/15/16: President Noland submitted an addendum to SACSCOC containing the following items:
  - a list of proposed governing board members, their occupations, professional affiliations, and terms of office; and
  - proposed governing board member selected as described by ETSU Faculty Senate bylaws Article IV, Section 1.5.4.5.
- 1/11/17: ETSU was notified of the actions taken by the Executive Council of the Board of Trustees of the SACSCOC.
  - The Council received the recommendation of the SACSCOC Board of Trustees Committee on Compliance and Reports to approve the change of governance from TBR to the ETSU Board of Trustees and to authorize an on-site review by a substantive change committee.
  - The Council deferred final action to its March 14-16, 2017 meeting.
  - The Council requested that ETSU submit materials for review and indicated that it would take final action on the change in governance and notify ETSU within ten days following its March meeting.
- 2/15/17: ETSU submitted a second addendum to SACSCOC containing the following items:
  - the final list and proof of confirmation of the members of the ETSU Board of Trustees;
  - ETSU's financial audit report for FY 2016 that ended June 30, 2016; and
  - a statement of financial position of unrestricted net assets, exclusive of plant assets and plant-related debt for FY 2016.

ETSU's on-site visit with a SACSCOC substantive change committee has been confirmed for May 15-17, 2017. The final committee composition is not yet available, but a four-person team is anticipated. ETSU Trustees are expected to participate in the on-site visit; however, participation via video chat is acceptable in limited cases. During a typical visit, committee members examine data and conduct interviews in order to ascertain whether the institution continues to be in compliance with the *Principles*. The committee offers written advice to the institution, develops a consensus on its findings, and completes a draft report. Finally, the committee presents an oral summary in an exit report to the chief executive officer and invited institutional officials on the last day of the visit.

In preparation for the visit, ETSU will submit a comprehensive report to SACSCOC in early April 2017 documenting compliance with specific *Principles*, as described below.

#### Core Requirements:

- 1.1: The institution operates with integrity in all matters. (Integrity)
- 2.1: The institution has degree-granting authority from the appropriate government agency or agencies. (Degree-granting authority)
- 2.2: The institution has a governing board of at least five members that is the legal body with specific authority over the institution. The board is an active policy-making body for the institution and is ultimately responsible for ensuring that the financial resources of the institution are adequate to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from it. Both the presiding officer of the board and a majority of other voting members of the board are free of any contractual, employment, or personal or familial financial interest in the institution. (Governing board)
- 2.3: The institution has a chief executive officer whose primary responsibility is to the institution and who is not the presiding officer of the board. (Chief executive officer)
- 2.4: The institution has a clearly defined, comprehensive, and published mission statement that is specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service. (Institutional mission)



### Comprehensive Standards:

- 3.2.1: The governing board of the institution is responsible for the selection and the periodic evaluation of the chief executive officer. (CEO evaluation/selection)
- 3.2.2: The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure: (Governing board control)
  - 3.2.2.1: the institution's mission
  - 3.2.2.2: the fiscal stability of the institution
  - 3.2.2.3: institutional policy
- 3.2.3: The governing board has a policy addressing conflict of interest for its members. (Conflict of interest)
- 3.2.4: The governing board is free from undue influence from political, religious, or other external bodies and protects the institution from such influence. (External influence)
- 3.2.5: The governing board has a policy whereby members can be dismissed only for appropriate reasons and by a fair process. (Board dismissal)
- 3.2.6: There is a clear and appropriate distinction, in writing and practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy. (Board/administration distinction)
- 3.2.7: The institution has a clearly defined and published organizational structure that delineates responsibility for the administration of policies. (Organizational structure)
- 3.2.8: The institution has qualified administrative and academic officers with the experience and competence to lead the institution. (Qualified administrative/academic officers)
- 3.7.5: The institution publishes policies on the responsibility and authority of faculty in academic and governance matters. (Faculty role in governance)
- 3.10.3: The institution exercises appropriate control over all its financial resources. (Control of finances)
- 3.14.1: A member or candidate institution represents its accredited status accurately and publishes the name, address, and telephone number of the Commission in accordance with Commission requirements and federal policy. (Publication of accreditation status)

### Federal Requirements:

- 4.5: The institution has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. (Student complaints)
- 4.7: The institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended. (Title IV program responsibilities)

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: March 24, 2017

ITEM: Receipt of the Financial and Compliance Audit Report,  
Tennessee Comptroller of the Treasury

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

The Tennessee Comptroller of the Treasury, Division of State Audit conducts financial and compliance audits, performance audits, information systems audits, attestation engagements, investigations, and special studies to provide the General Assembly, the Governor, and the citizens of Tennessee with objective information about the State's financial condition and the performance of the State's many agencies and programs. The division also audits the State's Comprehensive Annual Financial Report and the Single Audit Report. In addition, the division performs certain other audit procedures for higher education facilities to assist them in meeting regulatory requirements.

The Division of State Audit conducts an annual audit of East Tennessee State University (ETSU) that comprises both a financial and compliance audit. The compliance audit is a requirement for Government Auditing Standards that considers the internal control over financial reporting and compliance with laws, contracts and grants. The auditors also perform agreed upon procedures for National Collegiate Athletic Association (NCAA) reporting. Each year, a team of auditors from the Comptroller's Office arrive on campus in May and complete fieldwork in November. The audit report is generally released in the spring of the year following the report year.

The audit report for fiscal year 2016 was released on January 26, 2017 to facilitate reporting to the University's accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), as part of the substantive change review process required as a result of the organization of the ETSU Board of Trustees. The opinion issued by the Division of Audit was unqualified and there were no findings in the report. The report from The Comptroller of the Treasury follows this agenda item.

The chart below summarizes the auditor's opinion, number of audit findings, and items discussed at exit conference for the last ten years.

Fiscal Year	Opinion	Audit Findings	Items discussed
2016	Unqualified	None	None
2015	Unqualified	None	1
2014	Unqualified	None	1

2013	Unqualified	None	2
2012	Unqualified	1	3
2011	Unqualified	2	6
2010	Unqualified	None	15
2009	Unqualified	1	4
2008	Unqualified	None	5
2007	Unqualified	None	10



**STATE OF TENNESSEE  
COMPTROLLER OF THE TREASURY**



**EAST TENNESSEE STATE UNIVERSITY**

**Financial and Compliance Audit Report**

For the Year Ended June 30, 2016

---

**Justin P. Wilson, Comptroller**



**Division of State Audit  
Financial and Compliance Section**

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**Edward Burr, CPA, CGFM**  
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**Reports are available at**  
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STATE OF TENNESSEE  
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January 26, 2017

The Honorable Bill Haslam, Governor  
Members of the General Assembly  
The Honorable David Gregory, Acting Chancellor  
Dr. Brian Noland, President

Ladies and Gentlemen:

Transmitted herewith is the financial and compliance audit of the Tennessee Board of Regents, East Tennessee State University, for the year ended June 30, 2016. You will note from the independent auditor's report that unmodified opinions were given on the fairness of the presentation of the financial statements.

Consideration of internal control over financial reporting and tests of compliance resulted in no audit findings.

Sincerely,

Deborah V. Loveless, CPA  
Director

16/228

**Audit Report**  
**Tennessee Board of Regents**  
**East Tennessee State University**  
**For the Year Ended June 30, 2016**

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State of Tennessee

# **A u d i t   H i g h l i g h t s**

Comptroller of the Treasury

Division of State Audit

Financial and Compliance Audit  
**Tennessee Board of Regents**  
**East Tennessee State University**  
For the Year Ended June 30, 2016

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## **Opinions on the Financial Statements**

The opinions on the financial statements are unmodified.

## **Audit Findings**

The audit report contains no findings.



STATE OF TENNESSEE  
COMPTROLLER OF THE TREASURY  
DEPARTMENT OF AUDIT  
DIVISION OF STATE AUDIT  
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## Independent Auditor's Report

The Honorable Bill Haslam, Governor  
Members of the General Assembly  
The Honorable David Gregory, Acting Chancellor  
Dr. Brian Noland, President

### Report on the Financial Statements

We have audited the accompanying financial statements of East Tennessee State University, an institution of the Tennessee Board of Regents, which is a component unit of the State of Tennessee, and its discretely presented component units as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the basic financial statements as listed in the table of contents.

#### *Management's Responsibility for the Financial Statements*

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

#### *Auditor's Responsibility*

Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of the East Tennessee State University Foundation and the Medical Education Assistance Corporation, discretely presented component units. Those statements were audited by other auditors, whose reports have been furnished to us. Our opinion, insofar as it relates to the amounts included for these institutions, is based solely on the reports of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor

considers internal control relevant to the university's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

### ***Opinions***

In our opinion, based on our audit and the reports of the other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of East Tennessee State University and its discretely presented component units as of June 30, 2016; and the respective changes in financial position; and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

### ***Emphasis of Matters***

As discussed in Note 1, the financial statements of East Tennessee State University, an institution of the Tennessee Board of Regents, are intended to present the financial position, the changes in financial position, and the cash flows of only East Tennessee State University. They do not purport to, and do not, present fairly the financial position of the Tennessee Board of Regents, as of June 30, 2016, and the changes in financial position and cash flows thereof for the year then ended, in accordance with accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to this matter.

As discussed in Note 20, the financial statements of East Tennessee State University Foundation, a discretely presented component unit of East Tennessee State University, include investments valued at \$7,723,476.54 (8.2% of net position of the foundation), whose fair values have been estimated by management in the absence of readily determinable fair values. Management's estimates are based on information provided by the fund managers. Our opinion is not modified with respect to this matter.

### ***Other Matters***

#### ***Required Supplementary Information***

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 6 through 16; the schedule of East Tennessee State University's proportionate share of the net pension liability for the Closed State and Higher Education Employee Pension Plan within TCRS on page 57; the schedule of East Tennessee State University's proportionate share of the net pension asset for the State and Higher Education Employee Retirement Plan within TCRS on page 58; the schedule of East Tennessee State University's contributions for the Closed State and Higher Education Employee Pension Plan within TCRS on page 59; the schedule of East Tennessee State University's contributions for the State and Higher Education Employee Retirement Plan within TCRS on page 60; and the other

postemployment benefits schedule of funding progress on page 61 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, which considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during the audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

### *Supplementary Information*

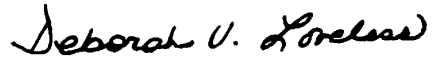
Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the university's basic financial statements. The supplementary schedules of cash flows for both the East Tennessee State University Foundation and the Medical Education Assistance Corporation on pages 62 and 63 are presented for purposes of additional analysis and are not a required part of the basic financial statements.

The supplementary schedules of cash flows for both the component units are the responsibility of the university's management and were derived from, and relate directly to, the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America by us and other auditors. In our opinion, based on our audit and the procedures performed as described above, the information is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

### **Other Reporting Required by *Government Auditing Standards***

In accordance with *Government Auditing Standards*, we have also issued our report dated December 16, 2016, on our consideration of the university's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on

compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the university's internal control over financial reporting and compliance.



Deborah V. Loveless, CPA

Director

December 16, 2016

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Management's Discussion and Analysis**

This section of East Tennessee State University's annual financial report presents a discussion and analysis of the financial performance of the university during the year ended June 30, 2016, with comparative information presented for the year ended June 30, 2015. This discussion has been prepared by management along with the financial statements and related note disclosures and should be read in conjunction with the independent auditor's report, the financial statements, and the notes to the financial statements.

The university has two discretely presented component units, the East Tennessee State University Foundation and the Medical Education Assistance Corporation (MEAC). More detailed information about the university's component units is presented in Note 20 in the notes to the financial statements. This discussion and analysis focuses on the university and does not include the foundation or MEAC.

### **Overview of the Financial Statements**

The financial statements have been prepared in accordance with generally accepted accounting principles as prescribed by the Governmental Accounting Standards Board (GASB), which establishes standards for external financial reporting for public colleges and universities. The financial statements are presented on a consolidated basis to focus on the university as a whole. The full scope of the university's activities is considered to be a single business-type activity and, accordingly, is reported within a single column in the basic financial statements.

The university's financial report includes the statement of net position; the statement of revenues, expenses, and changes in net position; and the statement of cash flows. Notes to the financial statements are also presented to provide additional information that is essential to a full understanding of the financial statements.

### **The Statement of Net Position**

The statement of net position is a point-in-time financial statement. The statement of net position presents the financial position of the university at the end of the fiscal year. To aid the reader in determining the university's ability to meet immediate and future obligations, the statement includes all assets, liabilities, deferred outflows/inflows of resources, and net position of the university and segregates the assets and liabilities into current and noncurrent components. Current assets are those that are available to satisfy current liabilities, inclusive of assets that will be converted to cash within one year. Current liabilities are those that will be paid within one year. The statement of net position is prepared under the accrual basis of accounting; assets and liabilities are recognized when goods or services are provided or received despite when cash is actually exchanged.

From the data presented, readers of the statement are able to determine the assets available to continue the operations of the university. They are also able to determine how much the university owes vendors, lenders, and others. Net position represents the difference between the university's assets and liabilities, along with the difference between deferred outflows and deferred inflows of resources, and is one indicator of the university's current financial condition.

The statement of net position also indicates the availability of net position for expenditure by the university. Net position is divided into three major categories. The first category, net investment in capital assets, represents the university's total investment in property, plant, and equipment, net of outstanding debt obligations and deferred outflows/inflows of resources related to these capital assets. To the extent debt or deferred inflows of resources have been incurred but not yet expended for capital assets, such amounts are not included. The next category is restricted net position, which is subdivided into two categories, nonexpendable and expendable. Nonexpendable restricted net position includes endowment and similar resources whose use is limited by donors or other outside sources and, as a condition of the gift, the principal is to be maintained in perpetuity. Expendable restricted net position is available for expenditure by the university but must be spent for purposes as determined by donors and/or external entities that have placed time or purpose restrictions on the use of the resources. The final category is unrestricted net position. Unrestricted net position is available to the university for any lawful purpose of the university.

The following table summarizes the university's assets, liabilities, deferred outflows/inflows of resources, and net position at June 30, 2016, and June 30, 2015.

**Summary of Net Position  
(in thousands of dollars)**

	<u>2016</u>	<u>2015</u>
<b>Assets:</b>		
Current assets	\$ 33,215	\$ 26,394
Capital assets, net	293,631	295,798
Other assets	134,965	128,001
<b>Total assets</b>	<b>461,811</b>	<b>450,193</b>
<b>Deferred outflows of resources</b>		
Deferred amount on debt refunding	6,758	7,279
Deferred outflows related to pensions	11,239	8,213
<b>Total deferred outflows</b>	<b>17,997</b>	<b>15,492</b>
<b>Liabilities:</b>		
Current liabilities	45,179	38,881
Noncurrent liabilities	197,247	190,289
<b>Total liabilities</b>	<b>242,426</b>	<b>229,170</b>

**Deferred inflows of resources**

Deferred inflows related to pensions	5,763	20,291
<b>Total deferred inflows</b>	<b>5,763</b>	<b>20,291</b>

**Net position:**

Net investment in capital assets	159,591	156,812
Restricted – expendable	5,842	6,552
Unrestricted	66,186	52,860
<b>Total net position</b>	<b>\$231,619</b>	<b>\$216,224</b>

Comparison of Fiscal Year 2016 to Fiscal Year 2015

- ◆ Current assets increased from 2015 to 2016 due to increases in accounts receivable related to College of Medicine resident’s participation agreements and implementation of a new food service contract, as well as increases in current cash for plant and quasi-endowment funds.
- ◆ Capital assets, net of depreciation, remained relatively unchanged because increases due to capital projects were offset by depreciation expense.
- ◆ In 2016, other assets increased due to increases in noncurrent cash held in plant funds for major renovation of the D.P. Culp Student Center, and construction of a new fine arts building, data center, and football stadium.
- ◆ Deferred outflows increased during the year primarily due to calculations of investment earnings and actuarial experience related to the Tennessee Consolidated Retirement System pensions for fiscal year 2015. Further information on pensions can be found in Note 11 of the financial statements.
- ◆ Current liabilities increased from 2015 to 2016 due to increases in accrued liabilities for ongoing construction projects and accounts payable related to the implementation of a new food service contract.
- ◆ In 2016, noncurrent liabilities increased primarily due to a \$12.5 million increase in recorded net pension liability. Further information regarding pensions can be found in Note 11 of the financial statements.
- ◆ Net investment in capital assets remained relatively unchanged in 2016 because increases due to capital projects were offset by depreciation expense.
- ◆ Restricted expendable net position decreased with decreases in balances held for student loans and transfer of restricted scholarship funds to the ETSU Foundation.
- ◆ Unrestricted net position increased from 2015 to 2016, primarily due to increases in net tuition revenue and state appropriations.



## The Statement of Revenues, Expenses, and Changes in Net Position

The statement of revenues, expenses, and changes in net position presents the results of operations for the fiscal year. Revenues and expenses are recognized when earned or incurred, regardless of when cash is received. The statement indicates whether the university's financial condition has improved or deteriorated during the fiscal year. The statement presents the revenues received by the university, both operating and nonoperating; the expenses paid by the university, both operating and nonoperating; and any other revenues, expenses, gains, or losses received or spent by the university.

Generally speaking, operating revenues are received for providing goods and services to the various customers and constituencies of the university. Operating expenses are those expenses paid to acquire or produce the goods and services provided in return for the operating revenues, and to carry out the mission of the university. Nonoperating revenues are revenues received for which goods and services are not provided directly to the payor. Although East Tennessee State University is dependent upon state appropriations and gifts to fund educational and general operations, under GASB standards these funding sources are reported as nonoperating revenues, as is investment income. As a result, the university has historically reported an excess of operating expenses over operating revenues, resulting in an operating loss. Therefore, the "increase in net position" is more indicative of overall financial results for the year.

A summary of the university's revenues, expenses, and changes in net position for the years ended June 30, 2016, and June 30, 2015, follows.

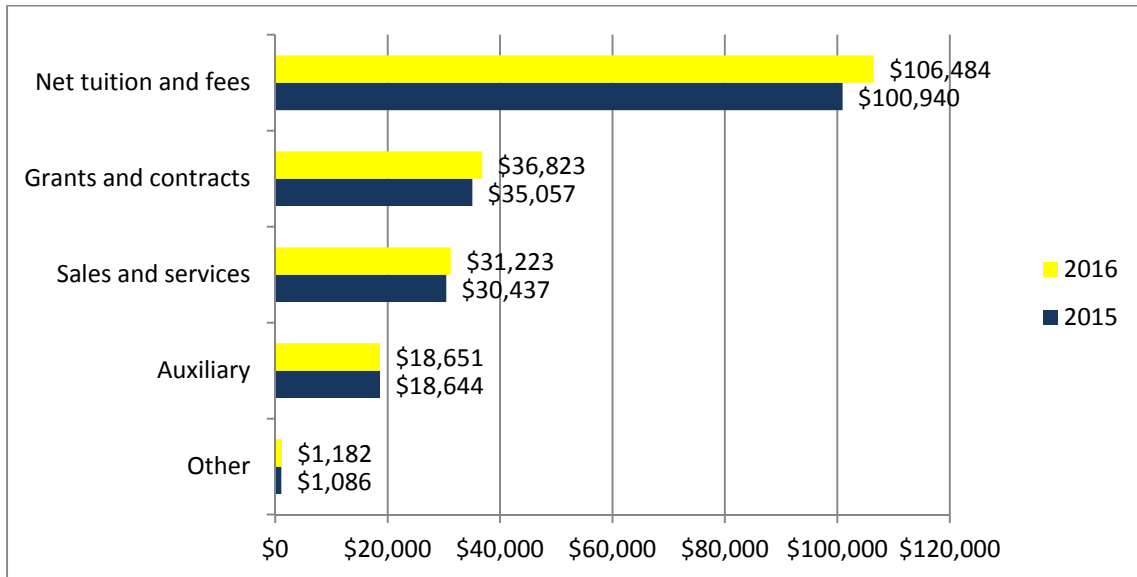
### Summary of Revenues, Expenses, and Changes in Net Position (in thousands of dollars)

	<u>2016</u>	<u>2015</u>
Operating revenues	\$194,363	\$186,164
Operating expenses	326,041	313,057
Operating loss	(131,678)	(126,893)
Nonoperating revenues and expenses	143,995	135,784
Income (loss) before other revenues, expenses, gains, or losses	12,317	8,891
Other revenues, expenses, gains, or losses	3,078	6,697
Increase in net position	15,395	15,588
Net position at beginning of year	216,224	232,912
Cumulative effect of change in accounting principle	-	(32,276)
Net position at beginning of year - restated	216,224	200,636
Net position at end of year	<b>\$231,619</b>	<b>\$216,224</b>

### Operating Revenues

The following summarizes the operating revenues by source that were used to fund operating activities for the last two fiscal years:

**Operating Revenues by Source  
(in thousands of dollars)**



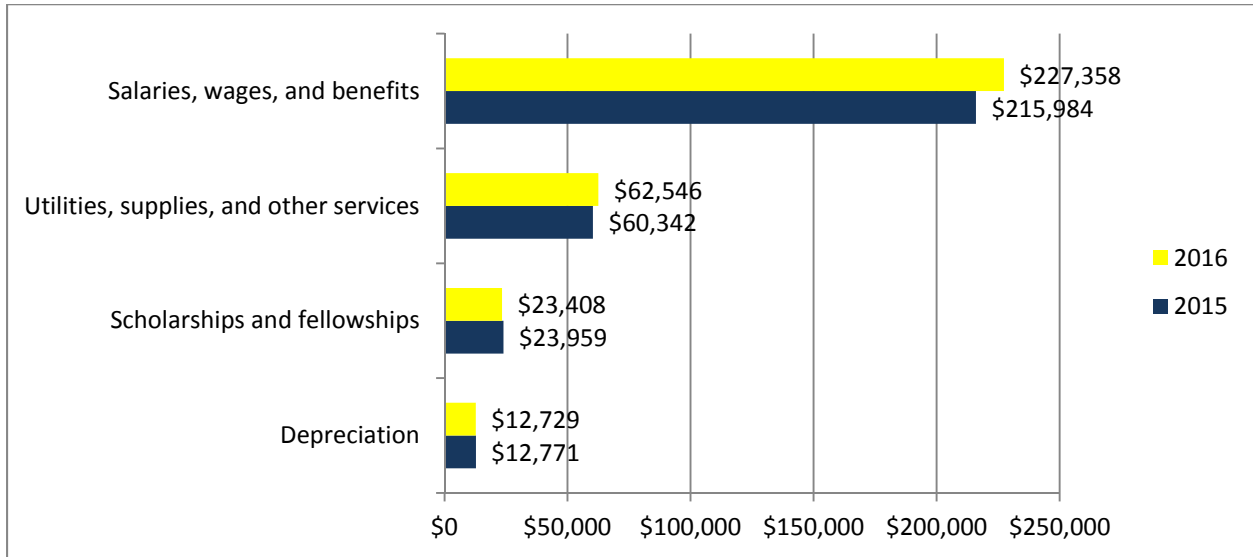
Comparison of Fiscal Year 2016 to Fiscal Year 2015

- ◆ Tuition and fees increased in 2016 due to an average 3% tuition increase, increases in other mandatory fees, and increases in graduate enrollment.
- ◆ Nongovernmental grants and contracts increased primarily due to increases in funding through private grants and contracts for an outpatient drug program and forensic services.
- ◆ Sales and services increased slightly from 2015 to 2016 due to significant increases in athletic ticket sales, game guarantees, conference revenue, and athletics advertising.
- ◆ Auxiliaries and other operating revenues remained relatively unchanged.

Operating Expenses

Operating expenses may be reported by nature or function. The university has chosen to report the expenses in their natural classification on the statement of revenues, expenses, and changes in net position and has displayed the functional classification in the notes to the financial statements. The following summarizes the operating expenses by natural classifications for the last two fiscal years:

**Operating Expenses – Natural Classification  
(in thousands of dollars)**



Comparison of Fiscal Year 2016 to Fiscal Year 2015

- ◆ Salaries, wages, and benefits increased in fiscal year 2016 due to a 2% across-the-board pay increase and increases in cost for health insurance and other employee benefits.
- ◆ Other operating expenses increased with maintenance and repairs services, including repairs for elevators and lighting and campus housing improvements provided by increased funding for operations.
- ◆ Scholarships and depreciation remained relatively unchanged from 2015 to 2016.

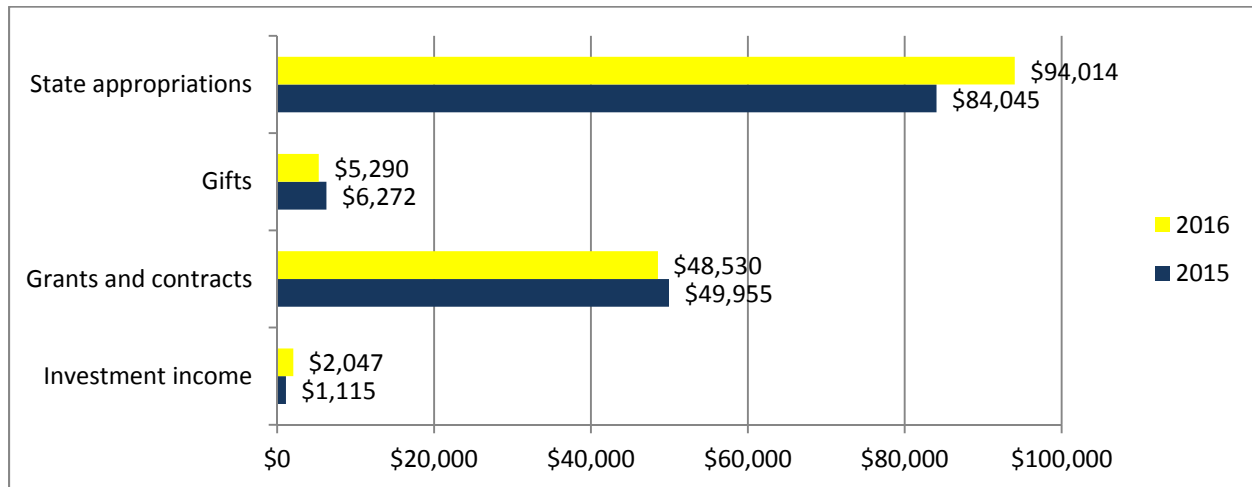
Nonoperating Revenues and Expenses

Certain revenue sources that the university relies on to provide funding for operations, including state noncapital appropriations, certain gifts and grants, and investment income, are defined by the GASB as nonoperating. Nonoperating expenses include capital financing costs and other costs related to capital assets. The following summarizes the university’s nonoperating revenues and expenses for the last two fiscal years:

**Nonoperating Revenues (Expenses)  
(in thousands of dollars)**

	<u>2016</u>	<u>2015</u>
State appropriations	\$ 94,014	\$ 84,045
Gifts	5,290	6,272
Grants and contracts	48,530	49,955
Investment income	2,047	1,115
Interest on capital asset-related debt	(5,432)	(5,303)
Interest on noncapital debt	(165)	(17)
Bond issuance costs	(38)	(158)
Other nonoperating revenues (expenses)	(251)	(125)
<b>Total nonoperating revenues (expenses)</b>	<b>\$143,995</b>	<b>\$135,784</b>

**Nonoperating Revenues  
(in thousands of dollars)**



Comparison of Fiscal Year 2016 to Fiscal Year 2015

- ◆ State appropriations increased due to receiving over \$9 million in increased appropriations in fiscal year 2016 for salary, benefits, and operating increases.
- ◆ Nonoperating gifts decreased from 2015 to 2016 due to a reduction in gifts from the ETSU Foundation in the current year.
- ◆ Nonoperating grants and contracts decreased due to reductions in funding through Pell grants and Tennessee Lottery grants.
- ◆ Investment income increased due to increases in rates of return for investments.
- ◆ Interest on capital asset-related debt remained relatively unchanged.
- ◆ Bond issuance costs decreased due to decreases in TSSBA bonding activity.
- ◆ Other nonoperating expenses increased as a result of loss on disposal of equipment and improvements.

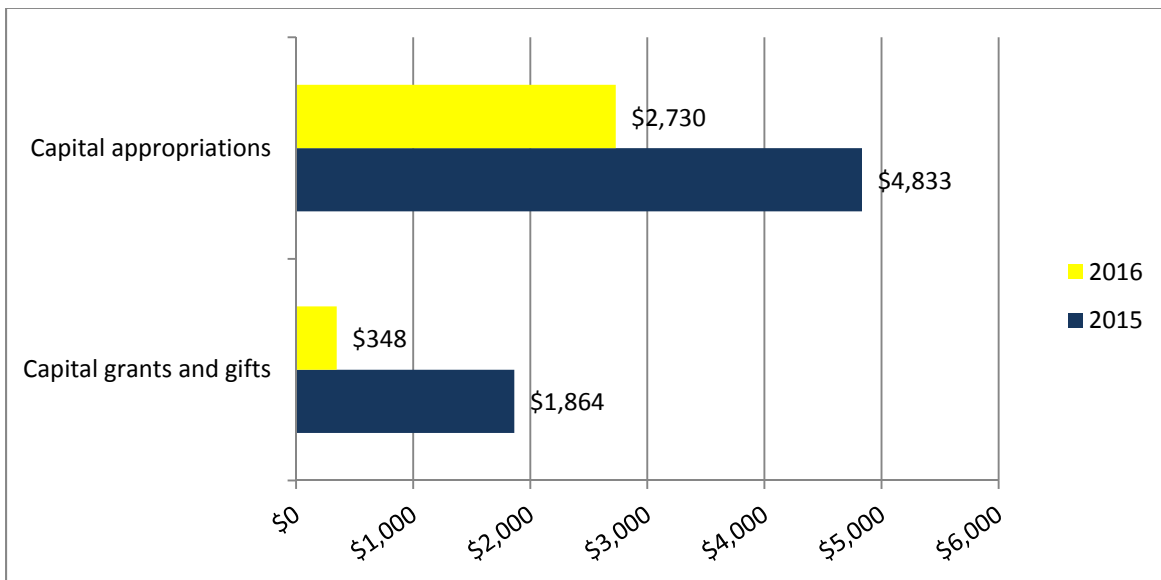
Other Revenues

This category is composed of state appropriations for capital purposes and capital grants and gifts. These amounts were as follows for the last two fiscal years:

**Other Revenues  
(in thousands of dollars)**

	<u>2016</u>	<u>2015</u>
Capital appropriations	\$2,730	\$4,833
Capital grants and gifts	348	1,864
<b>Total other revenues</b>	<b>\$3,078</b>	<b>\$6,697</b>

**Other Revenues  
(in thousands of dollars)**



Comparison of Fiscal Year 2016 to Fiscal Year 2015

- ◆ Capital appropriations decreased from 2015 to 2016 due to a decrease in state appropriations for capital projects.
- ◆ Capital gifts and grants decreased due to a \$1.5 million one-time gift for the fine arts building from the ETSU Foundation in fiscal year 2015.

## Capital Assets and Debt Administration

### Capital Assets

East Tennessee State University had \$293,631,188.37 invested in capital assets, net of accumulated depreciation of \$220,915,817.33 at June 30, 2016; and \$295,798,126.05 invested in capital assets, net of accumulated depreciation of \$209,765,691.00 at June 30, 2015. Depreciation charges totaled \$12,729,179.82 and \$12,770,811.54 for the years ended June 30, 2016, and June 30, 2015, respectively.

### **Summary of Capital Assets, Net of Depreciation (in thousands of dollars)**

	<b><u>2016</u></b>	<b><u>2015</u></b>
Land	\$ 17,483	\$ 16,482
Land improvements and infrastructure	23,956	25,405
Buildings	232,779	237,183
Equipment	12,812	13,613
Library holdings	323	424
Intangible assets	117	538
Art and historical collections	24	24
Projects in progress	6,137	2,129
<b>Total</b>	<b><u>\$293,631</u></b>	<b><u>\$295,798</u></b>

Capital assets, net of depreciation, decreased from 2015 to 2016 due to the disposals of improvements and equipment and depreciation of existing assets.

At June 30, 2016, outstanding commitments under construction contracts totaled \$115,358,838.66 for various renovations and repairs of buildings and infrastructure. Future state capital outlay appropriations will fund approximately \$31,065,978.14 of these costs.

More detailed information about the university's capital assets is presented in Note 6 to the financial statements.

### Debt

The university had \$146,260,529.01 and \$152,470,683.74 in debt outstanding at June 30, 2016, and June 30, 2015, respectively. The table below summarizes these amounts by type of debt instrument.

**Schedule of Outstanding Debt  
(in thousands of dollars)**

	<u>2016</u>	<u>2015</u>
Revolving credit facility	\$ 3,102	\$ 2,940
Bonds	127,361	132,628
Unamortized bond premiums	15,797	16,903
<b>Total</b>	<b>\$146,260</b>	<b>\$152,471</b>

The Tennessee State School Bond Authority (TSSBA) issued bonds with interest rates ranging from 0.65% to 5% due serially to 2043 on behalf of East Tennessee State University. The university is responsible for the debt service of these bonds. The current portion of the \$127,361,395.06 of bonds outstanding at June 30, 2016, is \$5,498,190.31.

The ratings on debt issued by the Tennessee State School Bond Authority at June 30, 2016, were as follows:

Fitch	AA+
Moody's Investor Service	Aa1
Standard & Poor's	AA+

More information about the university's long-term liabilities is presented in Note 9 to the financial statements.

**Economic Factors That Will Affect the Future**

The economic outlook for the State of Tennessee continues to improve. The university is receiving an approximately 6.1% increase in state appropriations in fiscal year 2017 for salary, benefits, and operating increases. This has allowed the university to have the smallest increase in maintenance fees in over 30 years. In addition, the university is beginning over \$170 million in construction in the next several years, which includes major renovations to the Public Health Building and the D.P. Culp Student Center, and new construction of a fine arts center, data center, simulation center, and football stadium. These projects will fundamentally transform the campus for our students. It is hoped the economy of the state will continue to improve, providing increased funding and opportunities for our students.

The Focus on College and University Success (FOCUS) Act became effective July 1, 2016. This Act removes six universities, including East Tennessee State University, from the governance of the Tennessee Board of Regents. The universities will remain part of the State University and Community College System of Tennessee, but each will have its own local board that will provide governance, approve policies, set tuition and fee rates, and hire presidents. The Act also enhances the role of the Tennessee Higher Education Commission (THEC) by requiring THEC to provide greater coordination across the state, including capital project management, institutional mission approval, and higher education finance. The new local ETSU board is expected to convene in

April 2017. The six universities will continue under the governance of the Tennessee Board of Regents in fiscal year 2017, until the local boards are convened.

We are not aware of any other factors, decisions, or conditions that are expected to have a significant impact on the financial position or results of operations during the fiscal year.



**Tennessee Board of Regents  
EAST TENNESSEE STATE UNIVERSITY  
Statement of Net Position  
June 30, 2016**

	University	Component Units	
		East Tennessee State University Foundation	Medical Education Assistance Corporation
<b>Assets</b>			
Current assets:			
Cash and cash equivalents (Notes 2 and 20)	\$ 12,863,045.01	\$ 1,128,837.08	\$ 6,982,159.00
Short-term investments (Note 20)	-	-	5,123,256.00
Accounts, notes, and grants receivable (net) (Note 5)	13,206,324.35	-	4,929,877.00
Due from primary government	4,167,943.35	-	-
Due from component units	545,131.32	-	-
Inventories (at lower of cost or market)	147,065.71	-	-
Prepaid expenses	1,246,722.66	-	342,471.00
Accrued interest receivable	1,028,914.21	29,824.39	-
Other assets	9,691.70	-	-
<b>Total current assets</b>	<b>33,214,838.31</b>	<b>1,158,661.47</b>	<b>17,377,763.00</b>
Noncurrent assets:			
Cash and cash equivalents (Notes 2 and 20)	64,576,141.93	1,341,840.69	-
Investments (Notes 3, 4, and 20)	64,129,270.00	87,329,193.61	6,284,163.00
Accounts, notes, and grants receivable (net) (Note 5)	6,198,797.36	-	-
Net pension asset (Note 11)	60,758.00	-	-
Pledges receivable (Note 20)	-	4,619,888.51	-
Capital assets (net) (Notes 6 and 20)	293,631,188.37	21,486.00	4,203,055.00
Other assets	-	12,117.66	-
<b>Total noncurrent assets</b>	<b>428,596,155.66</b>	<b>93,324,526.47</b>	<b>10,487,218.00</b>
<b>Total assets</b>	<b>461,810,993.97</b>	<b>94,483,187.94</b>	<b>27,864,981.00</b>
<b>Deferred outflows of resources</b>			
Deferred amount on debt refunding	6,758,464.77	-	-
Deferred outflows related to pensions (Note 11)	11,238,190.00	-	-
<b>Total deferred outflows of resources</b>	<b>17,996,654.77</b>	<b>-</b>	<b>-</b>
<b>Liabilities</b>			
Current liabilities:			
Accounts payable (Note 8)	4,664,240.80	57,551.31	571,325.00
Investments purchased	1,000,000.00	-	-
Accrued liabilities	9,601,627.21	-	3,183,156.00
Due to primary government	740,694.22	-	-
Due to the university	-	213,645.48	331,485.84
Student deposits	521,396.21	-	-
Unearned revenue	16,099,235.51	-	-
Compensated absences (Notes 9 and 20)	3,325,837.70	-	179,330.00
Accrued interest payable	1,014,890.45	-	-
Long-term liabilities, current portion (Note 9)	5,498,190.31	-	-
Deposits held in custody for others	2,712,296.74	-	580,537.00
Other liabilities	-	-	101,636.16
<b>Total current liabilities</b>	<b>45,178,409.15</b>	<b>271,196.79</b>	<b>4,947,470.00</b>
Noncurrent liabilities:			
Net OPEB obligation (Note 12)	13,253,924.40	-	-
Net pension liability (Note 11)	26,681,350.00	-	-
Compensated absences (Notes 9 and 20)	8,747,483.16	-	717,320.00
Long-term liabilities (Note 9)	140,762,338.70	-	-
Due to grantors (Note 9)	7,802,160.13	-	-
<b>Total noncurrent liabilities</b>	<b>197,247,256.39</b>	<b>-</b>	<b>717,320.00</b>
<b>Total liabilities</b>	<b>242,425,665.54</b>	<b>271,196.79</b>	<b>5,664,790.00</b>
<b>Deferred inflows of resources</b>			
Deferred inflows related to pensions (Note 11)	5,762,737.00	-	-
<b>Total deferred inflows of resources</b>	<b>5,762,737.00</b>	<b>-</b>	<b>-</b>
<b>Net position</b>			
Net investment in capital assets	159,590,890.83	21,486.00	4,203,055.00
Restricted for:			
Nonexpendable:			
Scholarships and fellowships	-	40,854,816.50	-
Research	-	690,432.28	-
Instructional department uses	-	5,447,787.53	-
Other	-	4,866,462.53	-
Expendable:			
Scholarships and fellowships	126,031.29	13,453,244.33	-
Research	262,854.42	330,932.01	-
Instructional department uses	224,105.63	4,232,066.61	-
Loans	335,006.03	-	-
Capital projects	-	5,773,291.50	-
Debt service	2,927,210.92	-	-
Other	1,967,202.85	15,655,257.02	-
Unrestricted	66,185,944.23	2,886,214.84	17,997,136.00
<b>Total net position</b>	<b>\$ 231,619,246.20</b>	<b>\$ 94,211,991.15</b>	<b>\$ 22,200,191.00</b>

The notes to the financial statements are an integral part of this statement.

**Tennessee Board of Regents  
EAST TENNESSEE STATE UNIVERSITY  
Statement of Revenues, Expenses, and Changes in Net Position  
For the Year Ended June 30, 2016**

	Component Units		
	University	East Tennessee State University Foundation	Medical Education Assistance Corporation
<b>Revenues</b>			
Operating revenues:			
Student tuition and fees (net of scholarship allowances of \$44,935,971.23)	\$ 106,483,509.67	\$ -	\$ -
Gifts and contributions	-	3,567,399.37	-
Governmental grants and contracts	25,562,448.57	-	768,590.00
Nongovernmental grants and contracts	11,261,018.09	-	-
Sales and services of educational activities	21,697,822.59	-	-
Sales and services of other activities	9,524,871.63	-	-
Net patient revenues	-	-	41,783,471.00
Auxiliary enterprises:			
Residential life (net of scholarship allowances of \$247,934.04)	14,064,378.15	-	-
Bookstore	329,612.69	-	-
Food service	684,515.58	-	-
Wellness facility	1,419,774.52	-	-
Other auxiliaries	2,152,491.13	-	-
Interest earned on loans to students	201,517.08	-	-
Other operating revenues, foundation revenues including \$414,000.00 from MEAC	981,311.03	1,512,138.07	758,419.00
<b>Total operating revenues</b>	<b>194,363,270.73</b>	<b>5,079,537.44</b>	<b>43,310,480.00</b>
<b>Expenses</b>			
Operating expenses (Note 16):			
Salaries and wages	168,562,471.03	-	28,118,126.00
Benefits	58,795,000.29	-	2,450,961.00
Utilities, supplies, and other services	62,546,217.51	3,082,149.77	8,841,688.00
Scholarships and fellowships	23,408,204.90	1,899,870.42	-
Depreciation expense	12,729,179.82	-	461,690.00
Payments to or on behalf of East Tennessee State University (Note 20)	-	2,672,626.53	-
<b>Total operating expenses</b>	<b>326,041,073.55</b>	<b>7,654,646.72</b>	<b>39,872,465.00</b>
<b>Operating income (loss)</b>	<b>(131,677,802.82)</b>	<b>(2,575,109.28)</b>	<b>3,438,015.00</b>
<b>Nonoperating revenues (expenses)</b>			
State appropriations	94,013,850.00	-	-
Gifts, including \$2,460,693.17 from ETSU Foundation and \$2,127,139.00 from MEAC	5,289,774.10	-	-
Grants and contracts	48,530,025.38	-	-
Investment income (net of investment expense for the component units of \$146,615.00)	2,047,382.06	(2,637,543.50)	81,632.00
Interest on capital asset-related debt	(5,432,542.12)	-	-
Interest on noncapital debt	(164,686.80)	-	-
Bond issuance costs	(38,601.42)	-	-
Payments to or on behalf of East Tennessee State University or ETSU Foundation (Note 20)	-	-	(2,541,139.00)
Other nonoperating revenues (expenses)	(250,508.01)	-	300.00
<b>Net nonoperating revenues (expenses)</b>	<b>143,994,693.19</b>	<b>(2,637,543.50)</b>	<b>(2,459,207.00)</b>
<b>Income (loss) before other revenues, expenses, gains, or losses</b>	<b>12,316,890.37</b>	<b>(5,212,652.78)</b>	<b>978,808.00</b>
Other revenues:			
Capital appropriations	2,730,515.99	-	-
Capital grants and gifts, university gifts including \$211,933.36 from ETSU Foundation	347,611.99	12,000.00	-
Additions to permanent endowments	-	1,463,818.29	-
<b>Total other revenues</b>	<b>3,078,127.98</b>	<b>1,475,818.29</b>	<b>-</b>
<b>Increase in net position</b>	<b>15,395,018.35</b>	<b>(3,736,834.49)</b>	<b>978,808.00</b>
<b>Net position - beginning of year</b>	<b>216,224,227.85</b>	<b>97,948,825.64</b>	<b>21,221,383.00</b>
<b>Net position - end of year</b>	<b>\$ 231,619,246.20</b>	<b>\$ 94,211,991.15</b>	<b>\$ 22,200,191.00</b>

The notes to the financial statements are an integral part of this statement.

**Tennessee Board of Regents  
EAST TENNESSEE STATE UNIVERSITY  
Statement of Cash Flows  
For the Year Ended June 30, 2016**

<b>Cash flows from operating activities</b>	
Tuition and fees	\$ 105,711,443.97
Grants and contracts	36,821,106.73
Sales and services of educational activities	19,637,638.95
Sales and services of other activities	9,524,871.63
Payments to suppliers and vendors	(59,527,863.48)
Payments to employees	(165,374,733.90)
Payments for benefits	(62,378,477.03)
Payments for scholarships and fellowships	(23,401,742.21)
Loans issued to students	(1,329,242.28)
Collection of loans from students	1,751,504.14
Interest earned on loans to students	88,258.54
Auxiliary enterprise charges:	
Residence halls	14,091,280.42
Bookstore	330,078.01
Food services	744,191.51
Wellness facility	1,419,774.52
Other auxiliaries	2,134,216.64
Other receipts (payments)	1,087,994.03
<b>Net cash used by operating activities</b>	<b>(118,669,699.81)</b>
<b>Cash flows from noncapital financing activities</b>	
State appropriations	93,836,400.00
Gifts and grants received for other than capital or endowment purposes	53,819,799.48
Federal student loan receipts	99,706,824.00
Federal student loan disbursements	(99,678,712.00)
Changes in deposits held for others	283,048.95
Principal paid on noncapital debt	(623,353.24)
Interest paid on noncapital debt	(288,649.27)
Other noncapital financing receipts (payments)	54,477.95
<b>Net cash provided by noncapital financing activities</b>	<b>147,109,835.87</b>
<b>Cash flows from capital and related financing activities</b>	
Capital grants and gifts received	339,611.99
Purchases of capital assets and construction	(8,105,379.05)
Principal paid on capital debt	(7,081,992.35)
Interest paid on capital debt	(5,903,348.46)
Bond issue costs paid on new debt issue	(38,601.42)
<b>Net cash used by capital and related financing activities</b>	<b>(20,789,709.29)</b>
<b>Cash flows from investing activities</b>	
Proceeds from sales and maturities of investments	32,016,072.78
Income on investments	1,651,486.49
Purchase of investments	(32,004,318.75)
<b>Net cash provided by investing activities</b>	<b>1,663,240.52</b>
Net increase in cash	9,313,667.29
Cash - beginning of year	68,125,519.65
<b>Cash - end of year</b>	<b>\$ 77,439,186.94</b>

**Tennessee Board of Regents  
EAST TENNESSEE STATE UNIVERSITY  
Statement of Cash Flows (continued)  
For the Year Ended June 30, 2016**

<b>Reconciliation of operating loss to net cash used by operating activities:</b>	
Operating loss	\$ (131,677,802.82)
Adjustments to reconcile operating loss to net cash used by operating activities:	
Noncash operating expenses	15,484,214.80
Change in assets, liabilities, deferred outflows, and deferred inflows:	
Receivables, net	(3,074,355.34)
Inventories	133,159.88
Prepaid expenses	(394,138.03)
Other assets	(113,258.54)
Accounts payable	938,202.35
Accrued liabilities	3,504,598.02
Net pension asset	(60,758.00)
Deferred outflows related to pensions	(3,024,290.41)
Net pension liability	12,598,467.00
Deferred inflows related to pensions	(14,528,511.00)
Net OPEB obligation	220,881.25
Unearned revenues	81,585.29
Deposits	11,886.06
Compensated absences	701,474.82
Due to grantors	106,683.00
Loans to students	422,261.86
<b>Net cash used by operating activities</b>	<b>\$ (118,669,699.81)</b>

**Noncash investing, capital, or financing transactions**

Gifts of capital assets	\$ 8,000.00
Unrealized gains on investments	\$ 352,404.03
Loss on disposal of capital assets	\$ (304,985.96)
Purchases of capital assets and construction with TSSBA proceeds	\$ 1,733,708.06
Purchases of capital assets and construction with capital appropriations	\$ 1,021,591.97

The notes to the financial statements are an integral part of this statement.

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Notes to the Financial Statements**  
**June 30, 2016**

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**Note 1. Summary of Significant Accounting Policies**

**Reporting Entity**

The university is a part of the State University and Community College System of Tennessee (Tennessee Board of Regents). This system is a component unit of the State of Tennessee because the state appoints a majority of the system's governing body and provides significant financial support; the system is discretely presented in the *Tennessee Comprehensive Annual Financial Report*.

The financial statements present only that portion of the Tennessee Board of Regents' activities that is attributable to the transactions of East Tennessee State University.

The East Tennessee State University Foundation and the Medical Education Assistance Corporation are considered component units of the university. Although the university does not control the timing or amount of receipts from these organizations, the majority of resources, or income thereon, that these organizations hold and invest are restricted to the activities of the university by the donors. Because these restricted resources held by the foundation and the corporation can only be used by, or for the benefit of, the university, these organizations are considered component units of the university and are discretely presented in the university's financial statements. See Note 20 for more detailed information about the component units and how to obtain their reports.

**Basis of Presentation**

The university and its component units' financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America applicable to governmental colleges and universities engaged in business-type activities as prescribed by the Governmental Accounting Standards Board (GASB).

**Basis of Accounting**

For financial statement purposes, the university is considered a special-purpose government engaged only in business-type activities. Accordingly, the financial statements have been prepared using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. Grants and similar items are recognized as revenue as soon as all of the provider's eligibility requirements have been met. All significant internal activity has been eliminated.

## **Notes to the Financial Statements (Continued)**

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The university has classified its revenues and expenses as either operating or nonoperating according to the following criteria: Operating revenues and expenses are those that have the characteristics of exchange transactions. Operating revenues include (1) tuition and fees, net of scholarship discounts and allowances; (2) certain federal, state, local, and private grants and contracts; (3) sales and services of auxiliary enterprises; and (4) interest on institutional loans. Operating expenses include (1) salaries and wages; (2) employee benefits; (3) utilities, supplies, and other services; (4) scholarships and fellowships; and (5) depreciation.

Nonoperating revenues and expenses include activities that have the characteristics of nonexchange transactions, such as gifts and contributions, and other activities that are defined as nonoperating by GASB Statement 9, *Reporting Cash Flows of Proprietary and Nonexpendable Trust Funds and Governmental Entities that Use Proprietary Fund Accounting*, and GASB Statement 34, such as state appropriations and investment income.

When both restricted and unrestricted resources are available for use, it is the university's policy to determine which to use first, depending upon existing facts and circumstances.

### **Inventories**

Inventories are valued at the lower of cost or market. Items are maintained on an average cost or first-in, first-out basis.

### **Compensated Absences**

The university's employees accrue annual and sick leave at varying rates, depending on length of service or classification. Some employees also earn compensatory time.

The amount of the liabilities for annual leave and compensatory time and their related benefits are reported in the statement of net position. There is no liability for unpaid accumulated sick leave since the university's policy is to pay this only if the employee dies or is absent because of illness, injury, or related family death.

### **Capital Assets**

Capital assets, which include property, plant, equipment, library holdings, works of art, historical treasures/collections, and intangible assets, are reported in the statement of net position at historical cost or at acquisition value at date of donation, less accumulated depreciation/amortization. The costs of normal maintenance and repairs that do not add to the value of the asset or materially extend the asset's useful life are not capitalized.

A capitalization threshold of \$100,000 is used for buildings, and \$50,000 is used for infrastructure. Equipment is capitalized when the unit acquisition cost is \$5,000 or greater. The capitalization threshold for additions and improvements to buildings and land is set at \$50,000. The capitalization threshold for intangible assets is set at \$100,000. The capitalization threshold for art, historical treasures/collections, and similar assets is set at \$5,000.

## **Notes to the Financial Statements (Continued)**

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These assets, with the exception of works of art and historical treasures/collections deemed inexhaustible and land, are depreciated/amortized using the straight-line method over the estimated useful lives, which range from 5 to 60 years.

### **Pensions**

For purposes of measuring the net pension liability (asset), deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Closed State and Higher Education Employee Pension Plan and the State and Higher Education Employee Retirement Plan in the Tennessee Consolidated Retirement System (TCRS) and additions to/deductions from the plans' fiduciary net positions have been determined on the same basis as they are reported by the TCRS. For this purpose, benefits (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms of the Closed State and Higher Education Employee Pension Plan and the State and Higher Education Employee Retirement Plan. Investments are reported at fair value.

### **Net Position**

The university's net position is classified as follows:

Net investment in capital assets – This represents the university's total investment in capital assets, net of accumulated depreciation and net of outstanding debt obligations and deferred outflows/inflows of resources related to those capital assets. To the extent debt has been incurred but not yet expended for capital assets, such amounts are not included as a component of net investment in capital assets.

Nonexpendable restricted net position – Nonexpendable restricted net position consists of endowment and similar type funds in which donors or other outside sources have stipulated, as a condition of the gift instrument, that the principal is to be maintained inviolate and in perpetuity, and invested for the purpose of producing present and future income, which may be expendable or added to principal.

Expendable restricted net position – Expendable restricted net position includes resources that the university is legally or contractually obligated to spend in accordance with restrictions imposed by external third parties.

Unrestricted net position – Unrestricted net position represents resources derived from student tuition and fees; state appropriations; sales and services of educational departments; sales and services of other activities; and auxiliary enterprises. These resources are used for transactions relating to the educational and general operations of the university and may be used at the university's discretion to meet current expenses for any purpose. The auxiliary enterprises are substantially self-supporting activities that provide services for students, faculty, and staff.

## Notes to the Financial Statements (Continued)

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### Scholarship Discounts and Allowances

Student tuition and fee revenues, as well as certain other revenues from students, are reported net of scholarship discounts and allowances in the statement of revenues, expenses, and changes in net position. Scholarship discounts and allowances are the difference between the stated charge for goods and services provided by the university and the amount that is paid by the student and/or third parties making payments on the student's behalf. Certain governmental grants, such as Pell grants, and other federal, state, or nongovernmental programs are recorded as either operating or nonoperating revenues in the university's financial statements. To the extent that revenues from such programs are used to satisfy tuition and fees and other student charges, the university has recorded a scholarship discount and allowance.

### Note 2. Cash

This classification includes demand deposits and petty cash on hand. At June 30, 2016, cash consisted of \$5,189,302.17 in bank accounts, \$55,000.00 of petty cash on hand, \$69,093,248.52 in the Local Government Investment Pool (LGIP) administered by the State Treasurer, and \$3,101,636.25 in LGIP deposits for capital projects.

The LGIP is part of the State Pooled Investment Fund. There are no minimum or maximum limitations on withdrawals with the exception of a 24-hour notification period for withdrawals of \$5 million or more. The fund's required risk disclosures are presented in the *State of Tennessee Treasurer's Report*. That report is available on the state's website at [www.treasury.tn.gov](http://www.treasury.tn.gov).

LGIP deposits for capital projects – Payments related to the university's capital projects are made by the State of Tennessee's Department of Finance and Administration. The university's estimated local share of the cost of each project is held in a separate LGIP account. As expenses are incurred, the Tennessee Board of Regents withdraws funds from the LGIP account and transfers them to the Department of Finance and Administration. The funds in the account are not available to the university for any other purpose until the project is completed and the Tennessee Board of Regents releases any remaining funds.

### Note 3. Investments

In accordance with GASB Statement 31, *Accounting and Financial Reporting for Certain Investments and External Investment Pools*, as amended, investments are reported at fair value, including those with a maturity date of one year or less at the time of purchase, unless otherwise noted.

### Interest Rate Risk

Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of a debt investment. The university does not have a formal investment policy that limits investment



## Notes to the Financial Statements (Continued)

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maturities as a means of managing its exposure to fair-value losses arising from increasing interest rates.

At June 30, 2016, the university had the following investments and maturities.

<u>Investment Type</u>	<u>Fair Value</u>	<u>Investment Maturities (In Years)</u>	
		<u>Less than 1</u>	<u>1 to 5</u>
U.S. agency obligations	\$64,129,270.00	3,002,340.00	\$61,126,930.00

### Credit Risk

Credit risk is the risk that an issuer or other counterparty to an investment will not fulfill its obligations. The university is authorized by statute to invest funds in accordance with Tennessee Board of Regents policies. Under the current policy, funds other than endowments may be invested only in obligations of the United States or its agencies backed by the full faith and credit of the United States; repurchase agreements for United States securities; certificates of deposit in banks and savings and loan associations; bankers' acceptances; commercial paper; money market mutual funds; and the State of Tennessee Local Government Investment Pool. Securities are rated by Standard and Poor's, Moody's Investors Service, and/or Fitch Ratings and are presented below using the Standard and Poor's rating scale.

Tennessee Board of Regents policy restricts investments in bankers' acceptances and commercial paper. The policy requires that prime bankers' acceptances must be issued by domestic banks with a minimum AA rating or foreign banks with a AAA long-term debt rating by a majority of the ratings services that have rated the issuer. Prime bankers' acceptances are required to be eligible for purchase by the Federal Reserve System. To be eligible, the original maturity must not be more than 270 days, and it must (1) arise out of the current shipment of goods between countries or with the United States, or (2) arise out of storage within the United States of goods that are under contract of sale or are expected to move into the channel of trade within a reasonable time and that are secured throughout their life by a warehouse receipt or similar document conveying title to the underlying goods.

The policy requires that prime commercial paper shall be limited to that of corporations that meet the following criteria: (1) Senior long-term debt, if any, should have a minimum rating of A1 or equivalent, and short-term debt should have a minimum rating of A1 or equivalent, as provided by a majority of the rating services that rate the issuer. If there is no long-term debt rating, the short-term debt rating must be A1 by all rating services (minimum of two). (2) The rating should be based on the merits of the issuer or guarantee by a nonbank. (3) A financial review should be made to ascertain the issuer's financial strength to cover the debt. (4) Commercial paper of a banking institution should not be purchased. Prime commercial paper shall not have a maturity that exceeds 270 days.

At June 30, 2016, the university's investments were rated as follows:

## Notes to the Financial Statements (Continued)

<u>Investment Type</u>	<u>Balance</u>	<u>Credit Quality Rating</u>	
		<u>AA</u>	<u>Unrated</u>
LGIP	\$ 72,194,884.77	\$ -	\$72,194,884.77
U.S. agency obligations	64,129,270.00	64,129,270.00	-
<b>Total</b>	<b>\$136,324,154.77</b>	<b>\$64,129,270.00</b>	<b>\$72,194,884.77</b>

### Concentration of Credit Risk

Concentration of credit risk is the risk of loss attributed to the magnitude of the university's investment in a single issuer. Tennessee Board of Regents policy restricts investments in bankers' acceptances, commercial paper, and money market mutual funds. The policy limits bankers' acceptances to not exceed 20% of the total investments on the date of acquisition and limits the combined amount of bankers' acceptances and commercial paper to not exceed 35% of the total investments at the date of acquisition. The amount invested in any one bank shall not exceed 5% of total investments on the date of acquisition. Additionally, no more than 5% of total investments at the date of acquisition may be invested in the commercial paper of a single issuer. The policy further limits the total holdings of an issuer's commercial paper to not more than 2% of the issuing corporation's total outstanding commercial paper. Tennessee Board of Regents policy limits investments in money market mutual funds to not exceed 10% of total investments on the date of acquisition.

More than 5% of the university's investments were invested in the following single issuers:

<u>Issuer</u>	<u>Percentage of Total Investments</u>
	<u>June 30, 2016</u>
Federal Home Loan Bank (FHLB) obligations	13%
Federal National Mortgage Association (FNMA) obligations	16%
Federal Home Loan Mortgage Corporation (FHLMC) obligations	52%
Federal Farm Credit Bank (FFCB) obligations	19%

### Note 4. Fair Value Measurement

The university categorizes its fair value measurements within the fair value hierarchy established by accounting principles generally accepted in the United States of America. The university has the following recurring fair value measurements as of June 30, 2016.

## Notes to the Financial Statements (Continued)

<b>Assets by Fair Value Level</b>	<u>June 30, 2016</u>	<u>Quoted Prices in Active Markets for Identical Assets (Level 1)</u>
Debt securities		
U.S. agency obligations	\$64,129,270.00	\$64,129,270.00
Total debt securities	\$64,129,270.00	\$64,129,270.00
Total assets at fair value	\$64,129,270.00	\$64,129,270.00

Assets classified in Level 1 of the fair value hierarchy are valued using prices quoted in active markets for those securities.

### Note 5. Receivables

Receivables at June 30, 2016, included the following:

Student accounts receivable	\$ 6,801,356.38
Grants receivable	2,596,750.03
Notes receivable	497,072.90
Clinic receivables	726,663.37
Medical Resident Participation Agreement receivable	3,025,485.72
Other receivables	3,221,731.61
Subtotal	16,869,060.01
Less allowance for doubtful accounts	2,647,121.51
Total receivables	\$14,221,938.50

Federal Perkins Loan Program funds at June 30, 2016, included the following:

Perkins loans receivable	\$7,755,176.29
Less allowance for doubtful accounts	2,571,993.08
Total	\$5,183,183.21

## Notes to the Financial Statements (Continued)

### Note 6. Capital Assets

Capital asset activity for the year ended June 30, 2016, was as follows:

	Beginning Balance	Additions	Transfers	Reductions	Ending Balance
Land	\$ 16,481,720.07	\$1,001,900.00	\$ -	\$ -	\$ 17,483,620.07
Land improvements and infrastructure	48,443,615.50	-	847,255.00	222,111.30	49,068,759.20
Buildings	391,439,008.84	-	2,844,599.64	-	394,283,608.48
Equipment	41,301,040.05	2,145,039.37	-	1,534,459.02	41,911,620.40
Library holdings	1,312,119.40	21,004.79	-	127,469.13	1,205,655.06
Intangible assets	4,433,400.78	-	-	-	4,433,400.78
Art and historical collections	23,500.00	-	-	-	23,500.00
Projects in progress	2,129,412.41	7,699,283.94	(3,691,854.64)	-	6,136,841.71
<b>Total</b>	<b>505,563,817.05</b>	<b>10,867,228.10</b>	<b>-</b>	<b>1,884,039.45</b>	<b>514,547,005.70</b>
Less accumulated depreciation/amortization:					
Land improvements and infrastructure	23,038,818.95	2,229,406.35	-	155,358.19	25,112,867.11
Buildings	154,255,944.39	7,247,982.12	-	-	161,503,926.51
Equipment	27,687,528.26	2,708,495.62	-	1,296,226.17	29,099,797.71
Library holdings	887,676.52	122,473.75	-	127,469.13	882,681.14
Intangible assets	3,895,722.88	420,821.98	-	-	4,316,544.86
<b>Total</b>	<b>209,765,691.00</b>	<b>12,729,179.82</b>	<b>-</b>	<b>1,579,053.49</b>	<b>220,915,817.33</b>
<b>Capital assets, net</b>	<b>\$295,798,126.05</b>	<b>\$ (1,861,951.72)</b>	<b>\$ -</b>	<b>\$ 304,985.96</b>	<b>\$293,631,188.37</b>

### Note 7. Capital Leases

The university has entered into an Enhanced Use Lease Agreement with the United States Department of Veterans Affairs (VA) for certain real property, including land and several buildings, at the Veterans Affairs Medical Center in Johnson City, Tennessee. The lease is for a period of 35 years. In lieu of lease payments, the university has assumed responsibility for all capital and recurring costs of maintaining the property covered by the agreement.

In conjunction with the lease, the university entered into a memorandum of agreement with the Department of Veterans Affairs to construct a building (the Basic Science Building) with joint funding from the State of Tennessee and the federal government. In accordance with the memorandum of agreement, the state provided \$18 million to the federal government for its share of the total construction costs (\$34,195,153.41). The Basic Science Building is included under the provisions of the Enhanced Use Lease Agreement. The university is renovating several other buildings on the VA campus as funds become available.

## Notes to the Financial Statements (Continued)

The university's leasing of the Basic Science Building and the other buildings on the VA campus will constitute a capital lease agreement. The lease term is substantially equal to the estimated useful life of the leased property. Accordingly, the university has capitalized the cost of the buildings at \$64,738,171.26. At June 30, 2016, the buildings are reported at \$41,869,271.06, net of accumulated depreciation of \$22,868,900.20.

### Note 8. Accounts Payable

Accounts payable at June 30, 2016, included the following:

Vendors payable	\$3,729,514.31
Unapplied student payments	27,504.01
Other payables	907,222.48
<hr/>	
Total accounts payable	<u>\$4,664,240.80</u>

### Note 9. Long-term Liabilities

Long-term liabilities activity for the year ended June 30, 2016, was as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>	<u>Current Portion</u>
Payables:					
TSSBA debt:					
Bonds	\$132,627,481.08	\$ -	\$5,266,086.02	\$127,361,395.06	\$5,498,190.31
Unamortized bond premium	16,902,859.97	-	1,105,727.18	15,797,132.79	-
Revolving credit facility	2,940,342.69	2,600,918.04	2,439,259.57	3,102,001.16	-
<hr/>					
Subtotal	152,470,683.74	2,600,918.04	8,811,072.77	146,260,529.01	5,498,190.31
<hr/>					
Other liabilities:					
Compensated absences	11,371,846.04	7,839,748.55	7,138,273.73	12,073,320.86	3,325,837.70
Due to grantors	7,695,477.13	106,683.00	-	7,802,160.13	-
<hr/>					
Subtotal	19,067,323.17	7,946,431.55	7,138,273.73	19,875,480.99	3,325,837.70
<hr/>					
Total long-term liabilities	\$171,538,006.91	\$10,547,349.59	\$15,949,346.50	\$166,136,010.00	\$8,824,028.01

### TSSBA Debt – Bonds

Bonds, with interest rates ranging from 0.35% to 5%, were issued by the Tennessee State School Bond Authority (TSSBA). The bonds are due serially to 2043 and are secured by pledges of the facilities' revenues to which they relate and certain other revenues and fees of the university, including state appropriations; see Note 10 for further details. The bonded indebtedness with the Tennessee State School Bond Authority included in long-term liabilities on the statement of net

## Notes to the Financial Statements (Continued)

position is shown net of assets held by the authority in the debt service reserve and net of unexpended debt proceeds. The reserve amount was \$2,326,438.23 at June 30, 2016.

Debt service requirements to maturity for the university's portion of TSSBA bonds at June 30, 2016, are as follows:

Year Ending June 30	Principal	Interest	Total
2017	\$ 5,498,190.31	\$ 5,976,390.23	\$ 11,474,580.54
2018	4,726,316.75	5,791,758.17	10,518,074.92
2019	4,606,290.88	5,525,339.26	10,131,630.14
2020	6,038,950.53	5,234,006.77	11,272,957.30
2021	6,255,403.63	4,963,430.19	11,218,833.82
2022-2026	31,698,829.25	20,504,879.35	52,203,708.60
2027-2031	26,248,769.90	13,410,016.24	39,658,786.14
2032-2036	22,105,971.13	7,484,437.25	29,590,408.38
2037-2041	15,418,807.21	2,729,788.85	18,148,596.06
2042-2043	4,763,865.47	326,512.14	5,090,377.61
Total	\$127,361,395.06	\$71,946,558.45	\$199,307,953.51

### TSSBA Debt – Revolving Credit Facility

The Tennessee State School Bond Authority (TSSBA) receives loans from the revolving credit facility to finance the costs of various capital projects during the construction phase. When projects are placed in service, TSSBA issues long-term, fixed-rate debt to finance the project over its useful payback period and repays the revolving credit facility debt. The total outstanding loans from the revolving credit facility for the university were \$2,390,083.51 at June 30, 2016. In addition, the university has expended \$711,917.65 on projects that TSSBA has not yet withdrawn from the revolving credit facility.

More detailed information regarding the bonds and revolving credit facility can be found in the notes to the financial statements in the financial report for the TSSBA. That report is available on the state's website at [www.comptroller.tn.gov/tssba/cafr.asp](http://www.comptroller.tn.gov/tssba/cafr.asp).

### Note 10. Pledged Revenues

The university has pledged certain revenues and fees, including state appropriations, to repay \$127,361,395.06 in revenue bonds issued from January 2007 to April 2015 (see Note 9 for further detail). Proceeds from the bonds provided financing for construction and renovation projects. The bonds are payable through 2043. Annual principal and interest payments on the bonds are expected to require 4.55% of available revenues. The total principal and interest remaining to be paid on the bonds is \$199,307,953.51. Principal and interest paid for the current year and total available revenues were \$13,887,854.11 and \$304,981,082.59, respectively.

## Notes to the Financial Statements (Continued)

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### Note 11. Pension Plans

#### Defined Benefit Plans

##### **Closed State and Higher Education Employee Pension Plan**

###### *General Information About the Pension Plan*

Plan description – State employees and higher education employees with membership in the Tennessee Consolidated Retirement System (TCRS) before July 1, 2014, are provided with pensions through the Closed State and Higher Education Employee Pension Plan. This plan is a component of the Public Employee Retirement Plan, an agent, multiple-employer defined benefit pension plan. The Closed State and Higher Education Employee Pension Plan stopped accepting new membership on June 30, 2014, but will continue providing benefits to existing members and retirees. Beginning July 1, 2014, a new agent defined benefit retirement plan, the State and Higher Education Employee Retirement Plan, became effective for state employees and higher education employees hired on or after July 1, 2014.

The TCRS was created by state statute under Title 8, Chapters 34-37, *Tennessee Code Annotated*. The TCRS Board of Trustees is responsible for the proper operation and administration of all employer pension plans in the TCRS. The Tennessee Treasury Department, an agency in the legislative branch of state government, administers the plans of the TCRS. The TCRS issues a publicly available financial report that can be obtained at [www.treasury.tn.gov/tcrs](http://www.treasury.tn.gov/tcrs).

Benefits provided – Title 8, Chapters 34-37, *Tennessee Code Annotated*, establishes the benefit terms and can be amended only by the Tennessee General Assembly. Members of the Closed State and Higher Education Employee Pension Plan are eligible to retire with an unreduced benefit at age 60 with 5 years of service credit or after 30 years of service credit regardless of age. Benefits are determined using the following formula:

$$\begin{array}{l} \text{Average of member's highest} \\ \text{compensation for 5} \\ \text{consecutive years (up to Social} \\ \text{Security integration level)} \end{array} \times 1.50\% \times \begin{array}{l} \text{Years of Service} \\ \text{Credit} \end{array} \times 105\%$$

Plus:

$$\begin{array}{l} \text{Average of member's highest} \\ \text{compensation for 5} \\ \text{consecutive years (over the} \\ \text{Social Security integration} \\ \text{level)} \end{array} \times 1.75\% \times \begin{array}{l} \text{Years of Service} \\ \text{Credit} \end{array} \times 105\%$$

A reduced early retirement benefit is available at age 55 and vested. Members are vested with five years of service credit. Service-related disability benefits are provided regardless of length of service. Five years of service is required for non-service-related disability eligibility. The

## Notes to the Financial Statements (Continued)

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service-related and non-service-related disability benefits are determined in the same manner as a service retirement benefit but are reduced 10% and include projected service credits. A variety of death benefits are available under various eligibility criteria. Member and beneficiary annuitants are entitled to automatic cost-of-living adjustments (COLAs) after retirement. A COLA is granted each July for annuitants retired prior to July 2 of the previous year. The COLA is based on the change in the consumer price index (CPI) during the prior calendar year, capped at 3%, and applied to the current benefit. No COLA is granted if the change in the CPI is less than 0.5%. A 1% COLA is granted if the CPI change is between 0.5% and 1%. A member who leaves employment may withdraw employee contributions, plus any accumulated interest.

Contributions – Contributions for state employees and higher education employees are established in the statutes governing the TCRS and may only be changed by the Tennessee General Assembly. The university's employees are non-contributory, as are most members in the Closed State and Higher Education Employee Pension Plan. State and higher education agencies make employer contributions at the rate set by the Board of Trustees as determined by an actuarial valuation. By law, employer contributions for the Closed State and Higher Education Employee Pension Plan are required to be paid. Employer contributions by the university for the year ended June 30, 2016, to the Closed State and Higher Education Employee Pension Plan were \$7,784,757, which is 15.03% of covered payroll. The employer rate is expected to finance the costs of benefits earned by members during the year and the cost of administration, as well as an amortized portion of any unfunded liability.

### *Pension Liabilities (Assets), Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions*

Pension liability – At June 30, 2016, the university reported a liability of \$26,681,350 for its proportionate share of the net pension liability. The net pension liability was measured as of June 30, 2015, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of that date. The university's proportion of the net pension liability was based on a projection of the university's contributions during the year ended June 30, 2015, to the pension plan relative to the contributions of all participating state and higher education agencies. At the June 30, 2015, measurement date, the university's proportion was 2.069473%. The proportion measured as of June 30, 2014, was 2.041149%.

Pension expense – For the year ended June 30, 2016, the university recognized a pension expense of \$2,964,432.

Deferred outflows of resources and deferred inflows of resources – For the year ended June 30, 2016, the university reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:



## Notes to the Financial Statements (Continued)

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual experience	\$ 2,823,323.00	\$2,310,169.00
Net difference between projected and actual earnings on pension plan investments	-	3,429,963.00
Changes in proportion of net pension liability	381,588.00	-
University's contributions subsequent to the measurement date of June 30, 2015	7,784,757.00	-
<b>Total</b>	<b>\$10,989,668.00</b>	<b>\$5,740,132.00</b>

Deferred outflows of resources, resulting from the university's employer contributions of \$7,784,757 subsequent to the measurement date, will be recognized as a decrease in net pension liability in the year ending June 30, 2017. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

Year Ended June 30	
2017	\$(1,919,606)
2018	(1,919,606)
2019	(1,919,607)
2020	3,223,598

In the table above, positive amounts will increase pension expense, while negative amounts will decrease pension expense.

Actuarial assumptions – The total pension liability as of June 30, 2015, actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	3.0%
Salary increases	Graded salary ranges from 8.97% to 3.71% based on age, including inflation, averaging 4.25%
Investment rate of return	7.5%, net of pension plan investment expenses, including inflation
Cost-of-living adjustment	2.5%

Mortality rates were based on actual experience from the June 30, 2012, actuarial experience study adjusted for some of the expected future improvement in life expectancy.

## Notes to the Financial Statements (Continued)

The actuarial assumptions used in the June 30, 2015, actuarial valuation were based on the results of an actuarial experience study performed for the period July 1, 2008, through June 30, 2012. The demographic assumptions were adjusted to more closely reflect actual and expected future experience.

The long-term expected rate of return on pension plan investments was established by the TCRS Board of Trustees in conjunction with the June 30, 2012, actuarial experience study by considering the following three techniques: (1) the 25-year historical return of the TCRS at June 30, 2012; (2) the historical market returns of asset classes from 1926 to 2012 using the TCRS investment policy asset allocation; and (3) capital market projections that were utilized as a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. Four sources of capital market projections were blended and utilized in the third technique. The blended capital market projection established the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding inflation of 3%. The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	<u>Long-term Expected Real Rate of Return</u>	<u>Target Allocation</u>
U.S. equity	6.46%	33%
Developed market international equity	6.26%	17%
Emerging market international equity	6.40%	5%
Private equity and strategic lending	4.61%	8%
U.S. fixed income	0.98%	29%
Real estate	4.73%	7%
Short-term securities	0.00%	1%
		100%

The long-term expected rate of return on pension plan investments was established by the TCRS Board of Trustees as 7.5% based on a blending of the three factors described above.

Discount rate – The discount rate used to measure the total pension liability was 7.5%. The projection of cash flows used to determine the discount rate assumed that employee contributions will be made at the current rate and that contributions from all state and higher education agencies will be made at the actuarially determined contribution rate in accordance with the funding policy of the TCRS Board of Trustees and as required to be paid by state statute. Based on those assumptions, the pension plan’s fiduciary net position was projected to be available to make projected future benefit payments of current active and inactive members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

Sensitivity of the net pension liability (asset) to changes in the discount rate – The following presents the university’s proportionate share of the net pension liability (asset) calculated using

## Notes to the Financial Statements (Continued)

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the discount rate of 7.5%, as well as what the university's proportionate share of the net pension liability (asset) would be if it were calculated using a discount rate that is 1 percentage point lower (6.5%) or 1 percentage point higher (8.5%) than the current rate:

	1% Decrease (6.5%)	Current Discount Rate (7.5%)	1% Increase (8.5%)
University's net pension liability (asset)	\$62,518,473	\$26,681,350	\$(3,522,444)

Pension plan fiduciary net position – Detailed information about the pension plan's fiduciary net position is available in a separately issued TCRS financial report at [www.treasury.tn.gov/tcrs](http://www.treasury.tn.gov/tcrs).

### *Payable to the Pension Plan*

At June 30, 2016, the university reported a payable of \$671,452.04 for the outstanding amount of legally required contributions to the pension plan required for the year ended June 30, 2016.

### **State and Higher Education Employee Retirement Plan**

#### *General Information About the Pension Plan*

Plan description – State employees and higher education employees with membership in the Tennessee Consolidated Retirement System (TCRS) before July 1, 2014, are provided with pensions through the Closed State and Higher Education Employee Pension Plan, an agent plan within the Public Employee Retirement Plan administered by the TCRS. TCRS is a multiple-employer pension plan. The Closed State and Higher Education Employee Pension Plan was closed effective June 30, 2014, and covers employees hired before July 1, 2014. Employees hired after June 30, 2014, are provided with pensions through a legally separate plan referred to as the State and Higher Education Employee Retirement Plan, an agent plan within the Public Employee Retirement Plan administered by the TCRS. The TCRS was created by state statute under Title 8, Chapters 34-37, *Tennessee Code Annotated*.

Benefits provided – Title 8, Chapters 34-37, *Tennessee Code Annotated*, establishes the benefit terms and can be amended only by the Tennessee General Assembly. Members of the State and Higher Education Employee Retirement Plan are eligible to retire at age 65 with 5 years of service credit or pursuant to the rule of 90 in which the member's age and service credit total 90. Members are entitled to receive unreduced service retirement benefits, which are determined by a formula multiplying the member's highest five consecutive years' average compensation by 1% multiplied by the member's years of service credit. A reduced early retirement is available at age 60 with 5 years of service credit or pursuant to the rule of 80 in which a member's age and service credit total 80. Service-related disability benefits are provided regardless of length of service. Five years of service is required for non-service-related disability eligibility. The service-related and non-service-related disability benefits are determined in the same manner as a service retirement benefit but are reduced 10% and include projected service credits. A variety of death benefits are available under various eligibility criteria.

## **Notes to the Financial Statements (Continued)**

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Member and beneficiary annuitants are entitled to automatic cost-of-living adjustments (COLAs) after retirement. A COLA is granted each July for annuitants retired prior to July 2 of the previous year. The COLA is based on the change in the consumer price index (CPI) during the prior calendar year, capped at 3%, and applied to the current benefit. No COLA is granted if the change in the CPI is less than 0.5%. A 1% COLA is granted if the CPI change is between 0.5% and 1%. A member who leaves employment may withdraw employee contributions, plus any accumulated interest. Under the State and Higher Education Employee Retirement Plan, benefit terms and conditions, including COLAs, can be adjusted on a prospective basis. Moreover, there are defined cost controls and unfunded liability controls that provide for the adjustment of benefit terms and conditions on an automatic basis.

Contributions – Contributions for state and higher education employees are established in the statutes governing the TCRS and may only be changed by the Tennessee General Assembly. University employees contribute 5% of their salary to the State and Higher Education Employee Retirement Plan. The higher education institutions make employer contributions at the rate set by the Board of Trustees as determined by an actuarial valuation. Per the statutory provisions governing the TCRS, the employer contribution rate cannot be less than 4% for all aggregate employee groups, except in years when the maximum funded level, approved by the TCRS Board of Trustees, is reached. By law, employer contributions for the State and Higher Education Employee Retirement Plan are required to be paid. Employer contributions by the university for the year ended June 30, 2016, to the State and Higher Education Employee Retirement Plan were \$244,997, which is 3.87% of covered payroll. The employer rate is 3.87% of covered payroll except for any salaries derived from federal funds, where the employer rate is 2%. The employer rate, when combined with member contributions, is expected to finance the costs of benefits earned by members during the year and the cost of administration, as well as an amortized portion of any unfunded liability.

### *Pension Liabilities (Assets), Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions*

Pension asset – At June 30, 2016, the university reported an asset of \$60,758 for its proportionate share of the net pension asset. The net pension asset was measured as of June 30, 2015, and the total pension asset used to calculate the net pension asset was determined by an actuarial valuation as of that date. The university's proportion of the net pension asset was based on a projection of the university's contributions during the year ended June 30, 2015, to the pension plan relative to the contributions of all participating state and higher education agencies. At the June 30, 2015, measurement date, the university's proportion was 2.184792%, representing the first-time presentation of this proportion.

Pension expense – For the year ended June 30, 2016, the university recognized a pension expense of \$50,396.

Deferred outflows of resources and deferred inflows of resources – For the year ended June 30, 2016, the university reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

## Notes to the Financial Statements (Continued)

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual experience	\$ -	\$22,605.00
Net difference between projected and actual earnings on pension plan investments	3,525.00	-
University's contributions subsequent to the measurement date of June 30, 2015	244,997.00	-
<b>Total</b>	<b>\$248,522.00</b>	<b>\$22,605.00</b>

Deferred outflows of resources, resulting from the university's employer contributions of \$244,997 subsequent to the measurement date, will be recognized as a decrease in net pension liability in the year ending June 30, 2017. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

Year Ended June 30	
2017	\$(1,945)
2018	(1,945)
2019	(1,945)
2020	(1,944)
2021	(2,826)
Thereafter	(8,475)

In the table above, positive amounts will increase pension expense, while negative amounts will decrease pension expense.

Actuarial assumptions – The total pension asset as of the June 30, 2015, actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	3.0%
Salary increases	Graded salary ranges from 8.97% to 3.71% based on age, including inflation, averaging 4.25%
Investment rate of return	7.5%, net of pension plan investment expenses, including inflation
Cost-of-living adjustment	2.5%

Mortality rates were based on actual experience from the June 30, 2012, actuarial experience study adjusted for some of the expected future improvement in life expectancy.

## Notes to the Financial Statements (Continued)

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The actuarial assumptions used in the June 30, 2015, actuarial valuation were based on the results of an actuarial experience study performed for the period July 1, 2008, through June 30, 2012. The demographic assumptions were adjusted to more closely reflect actual and expected future experience.

The long-term expected rate of return on pension plan investments was established by the TCRS Board of Trustees in conjunction with the June 30, 2012, actuarial experience study by considering the following three techniques: (1) the 25-year historical return of the TCRS at June 30, 2012; (2) the historical market returns of asset classes from 1926 to 2012 using the TCRS investment policy asset allocation; and (3) capital market projections that were utilized as a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. Four sources of capital market projections were blended and utilized in the third technique. The blended capital market projection established the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding inflation of 3%. The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	<u>Long-term Expected Real Rate of Return</u>	<u>Target Allocation</u>
U.S. equity	6.46%	33%
Developed market international equity	6.26%	17%
Emerging market international equity	6.40%	5%
Private equity and strategic lending	4.61%	8%
U.S. fixed income	0.98%	29%
Real estate	4.73%	7%
Short-term securities	0.00%	1%
		100%

The long-term expected rate of return on pension plan investments was established by the TCRS Board of Trustees as 7.5% based on a blending of the three factors described above.

Discount rate – The discount rate used to measure the total pension asset was 7.5%. The projection of cash flows used to determine the discount rate assumed that employee contributions will be made at the current rate and that contributions from all state and higher education agencies will be made at the actuarially determined contribution rate in accordance with the funding policy of the TCRS Board of Trustees and as required to be paid by state statute. Based on those assumptions, the pension plan’s fiduciary net position was projected to be available to make projected future benefit payments of current active and inactive members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension asset.

Sensitivity of the net pension liability (asset) to changes in the discount rate – The following presents the university’s proportionate share of the net pension liability (asset) calculated using

## Notes to the Financial Statements (Continued)

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the discount rate of 7.5%, as well as what the university's proportionate share of the net pension liability (asset) would be if it were calculated using a discount rate that is 1 percentage point lower (6.5%) or 1 percentage point higher (8.5%) than the current rate:

	1% Decrease	Current Discount Rate	1% Increase
	(6.5%)	(7.5%)	(8.5%)
University's net pension liability (asset)	\$(23,870)	\$(60,758)	\$(88,365)

Pension plan fiduciary net position – Detailed information about the pension plan's fiduciary net position is available in a separately issued TCRS financial report at [www.treasury.tn.gov/tcrs](http://www.treasury.tn.gov/tcrs).

### *Payable to the Pension Plan*

At June 30, 2016, the university reported a payable of \$36,574.14 for the outstanding amount of legally required contributions to the pension plan required for the year ended June 30, 2016.

### **Total Defined Benefit Pension Expense**

The total pension expense for the year ended June 30, 2016, for all state and local government defined benefit pension plans was \$3,014,828.

### **Defined Contribution Plans**

#### **Optional Retirement Plans**

Plan description – The university contributes to the Optional Retirement Plan (ORP). The ORP, administered by the Tennessee Treasury Department, is a defined contribution plan. The ORP was established by state statute in Title 8, Chapter 35, Part 4, *Tennessee Code Annotated*. This statute also sets out the plan provisions. The plan provisions are amended by the Tennessee General Assembly. The ORP was designed to provide benefits at retirement to faculty and staff who are exempt from the overtime provision of the Fair Labor Standards Act and who waive membership in the TCRS. In a defined contribution plan, benefits depend solely on amounts contributed to the plan plus investment earnings.

Funding policy – For employees employed prior to July 1, 2014, plan members are noncontributory. The university contributes an amount equal to 10% of the employee's base salary up to the social security wage base and 11% above the social security wage base. For employees hired after June 30, 2014, plan members will contribute 5% to the ORP and the university will contribute 9% of the employee's base salary. Pension expense equaled the required contributions made to the ORP and were \$7,947,909.21 for the year ended June 30, 2016, and \$7,605,476.87 for the year ended June 30, 2015. Contributions met the requirements for each year.

Members are immediately 100% vested in the employer contributions made pursuant to the ORP. The Treasury Department has selected three investment vendors who offer a variety of

## Notes to the Financial Statements (Continued)

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investment products in which members are responsible for selecting how the contributions are invested. Each member makes the decision when to reallocate future contributions or when to transfer funds from one investment product to another. Funds are held by the investment vendor in the name of the member, not in the name of the State of Tennessee. The State of Tennessee has no discretion over these funds other than to make the initial contributions. Accordingly, the State of Tennessee is not acting in a trustee capacity, nor does it have a fiduciary responsibility for the funds held by the investment vendors.

### Deferred Compensation Plans

Employees are offered three deferred compensation plans. The university, through the State of Tennessee, provides two plans, one established pursuant to the *Internal Revenue Code* (IRC), Section 457, and the other pursuant to IRC, Section 401(k). The third plan is administered by the university and was established in accordance with IRC, Section 403(b). The plans are outsourced to third-party vendors, and the administrative costs assessed by the vendors of these plans are the responsibility of plan participants. Section 401(k), Section 403(b), and Section 457 plan assets remain the property of the contributing employees; therefore, they are not presented in the accompanying financial statements. Sections 401(k), 403(b), and 457 establish participation, contribution, and withdrawal provisions for the plans. Participation in the 403(b) and the 457 plans is voluntary for employees. The university provides up to a \$50 monthly employer match for employees who participate in the state's 401(k) plan. Employees hired before July 1, 2014, voluntarily participate in the state's 401(k) plan. Pursuant to Chapter 259 of the Public Acts of 2013, employees hired after June 30, 2014, are automatically enrolled in the state's 401(k) plan and contribute 2% of their salary, with the employer contributing an additional non-matching 5%. Employees may opt out of the 2% auto enrollment. Such contribution rates may only be amended by the Tennessee General Assembly. There are certain automatic cost controls and unfunded liability controls in the defined benefit plan where the employees participate that may impact the non-matching 5% employer contribution to the 401(k) plan.

Employees are immediately vested in both the employee and employer contributions in all plans. The IRC establishes maximum limits that an employee can contribute to these plans. The employee may increase, decrease, or stop contributions at any time for all three plans.

During the year ended June 30, 2016, contributions totaling \$3,073,928.93 were made by employees participating in the 401(k) plan, and the university recognized pension expense of \$1,243,868.71 for employer contributions. During the year ended June 30, 2015, contributions totaling \$2,829,199.23 were made by employees participating in the 401(k) plan and the university recognized pension expense of \$1,012,878.59 for employer contributions.



## Notes to the Financial Statements (Continued)

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### Note 12. Other Postemployment Benefits

Healthcare is the only “other postemployment benefit” (OPEB) provided to employees. The State of Tennessee administers a group health insurance program that provides postemployment health insurance benefits to eligible university retirees. This program includes two plans available to higher education employees—the State Employee Group Plan and the Medicare Supplement Plan. For accounting purposes, the plans are agent multiple-employer defined benefit OPEB plans. Benefits are established and amended by an insurance committee created by Section 8-27-201, *Tennessee Code Annotated*, for the State Employee Group Plan and for the Medicare Supplement Plan. The State Employee Group Plan covers retirees until they reach the age of 65. Members have the option of choosing between the standard or partnership preferred provider organization plan for healthcare benefits. Subsequent to age 65, members who are also in the state’s retirement system may participate in a state-administered Medicare supplement that does not include pharmacy. Employees hired on or after July 1, 2015, are not eligible to continue insurance coverage at retirement in either the Employee Group Plan or the Medicare Supplement Plan. The state makes on-behalf payments to the Medicare Supplement Plan for the university’s eligible retirees; see Note 18. The plans are reported in the *Tennessee Comprehensive Annual Financial Report (CAFR)*. The CAFR is available on the state’s website at [www.tn.gov/finance/article/fa-accfin-cafr](http://www.tn.gov/finance/article/fa-accfin-cafr).

### Special Funding Situation

The State of Tennessee is legally responsible for contributions to the Medicare Supplement Plan, which covers the retirees of other governmental entities, including East Tennessee State University. The state is the sole contributor for the university retirees who participate in the Medicare Supplement Plan and, therefore, is acting as the employer.

### Funding Policy

The premium requirements of plan members are established and may be amended by the insurance committee. The plans are self-insured and financed on a pay-as-you-go basis with the risk shared equally among the participants. The plan’s claims liabilities are periodically computed using actuarial and statistical techniques to establish premium rates. The plan’s administrative costs are allocated to plan participants. Retired members pay the same base premium, adjusted for years of service, as active employees. Retirees with 30 years of service are subsidized 80%; retirees with 20 years of service but less than 30 years of service, 70%; and retirees with less than 20 years of service, 60%. Retirees in the Medicare Supplement Plan have flat-rate premium subsidies based on years of service. Retirees with 30 years of service receive \$50 per month; retirees with 20 years of service but less than 30 years of service, \$37.50; and retirees with 15 years of service but less than 20 years of service, \$25.

## Notes to the Financial Statements (Continued)

### University's Annual OPEB Cost and Net OPEB Obligation State Employee Group Plan

Annual required contribution (ARC)	\$ 2,985,000.00
Interest on the net OPEB obligation	488,739.12
Adjustment to the ARC	(490,701.93)
Annual OPEB cost	2,983,037.19
Amount of contribution	(2,762,155.94)
Increase in net OPEB obligation	220,881.25
Net OPEB obligation – beginning of year	13,033,043.15
Net OPEB obligation – end of year	\$13,253,924.40

<u>Year-end</u>	<u>Plan</u>	<u>Annual OPEB Cost</u>	<u>Percentage of Annual OPEB Cost Contributed</u>	<u>Net OPEB Obligation at Year-end</u>
June 30, 2016	State Employee Group Plan	\$2,983,037.19	92.6%	\$13,253,924.40
June 30, 2015	State Employee Group Plan	\$2,930,256.14	94.3%	\$13,033,043.15
June 30, 2014	State Employee Group Plan	\$2,827,985.26	90.7%	\$12,865,581.48

### Funded Status and Funding Progress

The funded status of the university's portion of the State Employee Group Plan was as follows:

Actuarial valuation date	July 1, 2015
Actuarial accrued liability (AAL)	\$23,133,000.00
Actuarial value of plan assets	-
Unfunded actuarial accrued liability (UAAL)	\$23,133,000.00
Actuarial value of assets as a percentage of the AAL	0%
Covered payroll (active plan members)	\$113,801,678.67
UAAL as percentage of covered payroll	20.3%

Actuarial valuations involve estimates of the value of reported amounts and assumptions about the probability of events far into the future, and actuarially determined amounts are subject to continual revision as actual results are compared to past expectations and new estimates are made about the future. The schedule of funding progress, presented as Required Supplementary Information following the notes to the financial statements, presents multiyear trend information about whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liability for benefits.

## **Notes to the Financial Statements (Continued)**

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### **Actuarial Methods and Assumptions**

Calculations are based on the types of benefits provided under the terms of the substantive plan at the time of each valuation and on the pattern of sharing of costs between the employer and plan members to that point. Actuarial calculations reflect a long-term perspective. Consistent with that perspective, actuarial methods and assumptions used include techniques that are designed to reduce short-term volatility in actuarial accrued liabilities and the actuarial value of assets.

In the July 1, 2015, actuarial valuation, the Projected Unit Credit actuarial cost method was used. The actuarial assumptions included a 3.75% investment rate of return (net of administrative expenses) and an annual healthcare cost trend rate of 6.5% initially. The rate decreased to 6% in fiscal year 2016 and then reduces by decrements to an ultimate rate of 4.7% in fiscal year 2050. All rates include a 2.5% inflation assumption. Premium subsidies in the Medicare Supplement Plan are projected to remain unchanged, and, consequently, trend rates are not applicable. The unfunded actuarial accrued liability is being amortized as a level percentage of payroll on a closed basis over a 30-year period beginning with July 1, 2007. Payroll is assumed to grow at a rate of 3%.

### **Note 13. Chairs of Excellence**

The university had \$26,608,803.56 on deposit at June 30, 2016, with the State Treasurer for its Chairs of Excellence program. These funds are held in trust by the state and are not included in the financial statements.

### **Note 14. Insurance-related Activities**

It is the policy of the state not to purchase commercial insurance for the risks associated with casualty losses for general liability, automobile liability, professional medical malpractice, and workers' compensation. The state's management believes it is more economical to manage these risks internally and set aside assets for claim settlement in its internal service fund, the Risk Management Fund (RMF). The state purchases commercial insurance for real property; builder's risk (for construction projects starting prior to July 1, 2012); and crime and fidelity coverage on the state's officials and employees. The contractor is responsible for acquiring builder's risk insurance for all construction projects after June 30, 2012; thus, builder's risk is no longer covered by the RMF. For property coverage, the deductible for an individual state agency is the first \$25,000 of losses. The RMF is responsible for property losses for the annual aggregate deductible of \$10 million for perils other than earthquake and flood. Purchased insurance coverage is responsible for losses exceeding the \$10 million annual aggregate deductible. For earthquake and flood, there is a deductible of \$10 million per occurrence. The maximum insurance coverage is \$750 million per year for perils other than earthquake and flood. The maximum flood insurance coverage is \$50 million per occurrence, except there is only \$25 million of coverage in flood zones A and V. The maximum earthquake insurance coverage is \$50 million per occurrence. The amounts of settlements have not exceeded insurance coverage for each of the three past fiscal years.

## **Notes to the Financial Statements (Continued)**

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The university participates in the RMF. The fund allocates the cost of providing claims servicing and claims payment by charging a premium to the university based on a percentage of the university's expected loss costs, which include both experience and exposures. This charge considers recent trends in actual claims experience of the state as a whole. An actuarial valuation is performed as of fiscal year-end to determine the fund liability and premium allocation. Information regarding the determination of the claims liabilities and the changes in the balances of the claims liabilities for the year ended June 30, 2016, is presented in the *Tennessee Comprehensive Annual Financial Report (CAFR)*. The CAFR is available on the state's website at [www.tn.gov/finance/article/fa-accfin-cafr](http://www.tn.gov/finance/article/fa-accfin-cafr). Since the university participates in the RMF, it is subject to the liability limitations established by statute. The maximum liability for general liability, automobile liability, and medical malpractice liability is \$300,000 per person and \$1,000,000 per occurrence. Claims are paid through the state's RMF. At June 30, 2016, the RMF held \$142.9 million in cash designated for payment of claims.

At June 30, 2016, the scheduled coverage for the university was \$852,166,780 for buildings and \$175,543,000 for contents.

The state has also set aside assets in the Employee Group Insurance Fund, an internal service fund, to provide a program of health insurance coverage for the employees of the state, with the risk retained by the state. The university participates in the Employee Group Insurance Fund. The fund allocates the cost of providing claims servicing and claims payment by charging a premium to the university based on estimates of the ultimate cost of claims, including the costs of claims that have been reported but not settled and of claims that have been incurred but not reported. Employees and providers have 13 months to file medical claims.

### **Note 15. Commitments and Contingencies**

#### **Sick Leave**

The university records the cost of sick leave when paid. The dollar amount of unused sick leave was \$60,067,133.53 at June 30, 2016.

#### **Operating Leases**

The university has entered into various operating leases for buildings and equipment. Such leases will probably continue to be required. Expenses under operating leases for real property were \$571,355.79 for the year ended June 30, 2016. All operating leases are cancelable at the lessee's option.

#### **Construction in Progress**

At June 30, 2016, outstanding commitments under construction contracts totaled \$115,358,838.66 for construction and renovation projects, of which \$31,065,978.14 will be funded by future state capital outlay appropriations.

## Notes to the Financial Statements (Continued)

### Litigation

The university is involved in several lawsuits, none of which are expected to have a material effect on the accompanying financial statements.

### Note 16. Natural Classification With Functional Classifications

The university's operating expenses for the year ended June 30, 2016, are as follows:

Functional Classification	Natural Classification					Total
	Salaries	Benefits	Other Operating	Scholarships	Depreciation	
Instruction	\$ 99,328,423.86	\$32,583,442.64	\$15,067,190.09	\$ -	\$ -	\$146,979,056.59
Research	5,190,843.75	1,583,779.86	3,134,196.42	-	-	9,908,820.03
Public service	12,849,889.32	4,305,648.38	6,788,897.60	-	-	23,944,435.30
Academic support	17,302,439.47	6,599,483.38	4,725,817.16	-	-	28,627,740.01
Student services	12,281,981.35	5,126,370.77	7,897,248.79	-	-	25,305,600.91
Institutional support	12,140,847.18	4,376,644.78	2,310,244.51	-	-	18,827,736.47
Maintenance & operation	7,505,040.65	3,516,840.87	15,466,120.59	-	-	26,488,002.11
Scholarships & fellowships	-	-	-	23,408,204.90	-	23,408,204.90
Auxiliary	1,963,005.45	702,789.61	7,156,502.35	-	-	9,822,297.41
Depreciation	-	-	-	-	12,729,179.82	12,729,179.82
<b>Total</b>	<b>\$168,562,471.03</b>	<b>\$58,795,000.29</b>	<b>\$62,546,217.51</b>	<b>\$23,408,204.90</b>	<b>\$12,729,179.82</b>	<b>\$326,041,073.55</b>

### Note 17. Affiliated Entity Not Included

The East Tennessee State University Research Foundation is a private, nonprofit foundation with the university as the sole beneficiary. The Research Foundation is controlled by a board independent of the university. The financial records, investments, and other financial transactions are handled external to the university, and these amounts are not included in the university's financial report. As reported in the foundation's most recently audited financial report, at June 30, 2016, the assets of the foundation totaled \$946,091, liabilities were \$38,011, and the net position amounted to \$908,080.

### Note 18. On-Behalf Payments

During the year ended June 30, 2016, the State of Tennessee made payments of \$177,450.00 on behalf of the university for retirees participating in the Medicare Supplement Plan. The Medicare Supplement Plan is a postemployment benefit healthcare plan and is discussed further in Note 12. The plan is reported in the *Tennessee Comprehensive Annual Financial Report* (CAFR). That report is available on the state's website at [www.tn.gov/finance/article/fa-accfin-cafr](http://www.tn.gov/finance/article/fa-accfin-cafr).

## **Notes to the Financial Statements (Continued)**

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### **Note 19. Subsequent Event**

The Focus on College and University Success (FOCUS) Act became effective July 1, 2016. This Act removes six universities, including East Tennessee State University, from the governance of the Tennessee Board of Regents. The universities will remain part of the State University and Community College System of Tennessee, but each will have its own local board that will provide governance, approve policies, set tuition and fee rates, and hire presidents. The Act also enhances the role of the Tennessee Higher Education Commission (THEC) by requiring THEC to provide greater coordination across the state, including capital project management, institutional mission approval, and higher education finance. During the period of transition (July 1, 2016, until the local boards are convened), the six universities will continue under the governance of the Tennessee Board of Regents. Each university will submit proposals to the Southern Association of Colleges and Schools Council on Colleges (SACSCOC) for substantive change of governance during fall 2016. The SACSCOC will meet during December 2016 to consider those proposals.

### **Note 20. Component Units**

#### **EAST TENNESSEE STATE UNIVERSITY FOUNDATION**

The East Tennessee State University Foundation is a legally separate, tax-exempt organization supporting East Tennessee State University. The foundation acts primarily as a fund-raising organization to supplement the resources that are available to the university in support of its programs. The 30-member board of the foundation is self-perpetuating and consists of graduates and friends of the university. Although the university does not control the timing or amount of receipts from the foundation, the majority of resources, or income thereon, that the foundation holds and invests are restricted to the activities of the university by the donors. Because these restricted resources held by the foundation can only be used by, or for the benefit of, the university, the foundation is considered a component unit of the university and is discretely presented in the university's financial statements.

During the year ended June 30, 2016, the foundation made distributions of \$2,672,626.53 to or on behalf of the university for both restricted and unrestricted purposes. Complete financial statements for the foundation can be obtained from Dr. David D. Collins, Vice President for Finance and Administration, P.O. Box 70601, Johnson City, TN 37614.

#### **Cash and Cash Equivalents**

In addition to demand deposits and petty cash on hand, this classification includes instruments that are readily convertible to known amounts of cash and that have original maturities of three months or less. At June 30, 2016, cash and cash equivalents consisted of \$218,051.66 in bank accounts, \$1,221,273.29 in the Local Government Investment Pool (LGIP) administered by the State Treasurer, and \$1,031,352.82 in cash held by others.

## Notes to the Financial Statements (Continued)

The LGIP is part of the State Pooled Investment Fund. There are no minimum or maximum limitations on withdrawals with the exception of a 24-hour notification period for withdrawals of \$5 million or more. The fund's required risk disclosures are presented in the *State of Tennessee Treasurer's Report*. That report is available on the state's website at [www.treasury.tn.gov](http://www.treasury.tn.gov).

### Investments

In accordance with GASB Statement 31, *Accounting and Financial Reporting for Certain Investments and External Investment Pools*, as amended, investments are reported at fair value, including those with a maturity date of one year or less at the time of purchase, unless otherwise noted. All investments are valued at fair value except certificates of deposit, which are valued at cost, and insurance contracts, measured at cash surrender value. The foundation is authorized to invest funds in accordance with its board of directors' policies.

**Interest Rate Risk** – Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of a debt investment. In order to reduce the exposure to interest rate risk, the foundation will set limits regarding the weighted average maturity for each direct investment pool. In the case of federal securities, the weighted average of all investments should be less than three years.

At June 30, 2016, the foundation had the following investments and maturities:

<u>Investment Type</u>	<u>Reported Value</u>	<u>Investment Maturities (in Years)</u>			
		<u>Less than 1</u>	<u>1 to 5</u>	<u>6 to 10</u>	<u>More than 10</u>
Corporate bonds	\$ 3,209,442.60	\$761,674.72	\$2,447,767.88	\$ -	\$ -
Mutual bond funds	14,555,312.00	31,105.00	2,737,964.00	3,759,308.00	8,026,935.00
<b>Total debt investments</b>	<b>\$17,764,754.60</b>	<b>\$792,779.72</b>	<b>\$5,185,731.88</b>	<b>\$3,759,308.00</b>	<b>\$8,026,935.00</b>

### Non-Fixed Income Investments

Mutual equity funds	66,542,452.84
Real estate funds	81,043.39
Certificates of deposit	2,521,357.00
Cash surrender value of life insurance	349,685.78
Real estate	69,900.00
<b>Total investments</b>	<b>\$87,329,193.61</b>

**Credit Risk** – Credit risk is the risk that an issuer or other counterparty to an investment will not fulfill its obligations. Securities are rated using Standard and Poor's, Moody's Investor Service, and/or Fitch Ratings and are presented below using the Standard and Poor's rating scale. The foundation's policy is to limit all direct investments to securities with an investment rating of no less than A as rated by Moody's and A as rated by Standard and Poor's.

## Notes to the Financial Statements (Continued)

At June 30, 2016, the foundation's investments were rated as follows:

Investment Type	Reported Value	Credit Quality Rating				
		AAA	AA	A	BBB or Less	Unrated
LGIP	\$ 1,221,273.29	\$ -	\$ -	\$ -	\$ -	\$ 1,221,273.29
Corporate bonds	3,209,442.60	-	-	211,823.22	1,585,464.64	1,412,154.74
Bond mutual funds	14,555,312.00	9,619,501.29	301,794.82	1,140,974.33	3,493,041.56	-
<b>Total</b>	<b>\$18,986,027.89</b>	<b>\$9,619,501.29</b>	<b>\$301,794.82</b>	<b>\$1,352,797.55</b>	<b>\$5,078,506.20</b>	<b>\$2,633,428.03</b>

Investments of the foundation's endowment and similar funds are composed of the following at June 30, 2016:

	Reported Value
Mutual funds	\$65,095,477.67
Corporate bonds	3,209,442.60
Deposits held by others	13,650.87
Certificates of deposit	266,222.15
Land	69,900.00
<b>Total</b>	<b>\$68,654,693.29</b>

Assets of endowments are pooled on a fair-value basis, with each individual fund subscribing to or disposing of units on the basis of the fair value per unit at the beginning of the calendar quarter within which the transaction takes place. Of the total units at March 31, 2016, each having a fair value of \$.09926638089, 64,800,102.65 units were owned by endowments, and 127,422.78 units were owned by quasi-endowments.

The following tabulation summarizes changes in relationships between cost and fair values of the pooled assets for the year ended June 30, 2016:

	Pooled Assets		Net Gains (Losses)	Fair Value Per Unit
	Fair Value	Cost		
End of year	\$86,979,507.83	\$86,447,124.34	\$ 532,383.49	\$0.9926638089
Beginning of year	\$90,452,238.40	\$85,275,845.35	5,176,393.05	\$1.1417575585
Unrealized net losses			(4,644,009.56)	
Realized net losses			(465,614.46)	
Total net losses			<u>\$(5,109,624.02)</u>	

The average annual earnings per unit, exclusive of net gains (losses), were \$0.029 for the year ended June 30, 2016.



## Notes to the Financial Statements (Continued)

### Fair Value Measurement

The foundation categorizes its fair value measurements within the fair value hierarchy established by accounting principles generally accepted in the United States of America. The foundation has the following recurring fair value measurements as of June 30, 2016:

	<u>June 30, 2016</u>	<u>Quoted Prices in Active Markets for Identical Assets (Level 1)</u>	<u>Significant Other Observable Inputs (Level 2)</u>	<u>Significant Unobservable Inputs (Level 3)</u>	<u>Investments Measured at the Net Asset Value (NAV)</u>
<b>Assets by Fair Value Level</b>					
Debt securities					
Corporate bonds	\$ 3,209,442.60	\$ 3,209,442.60	\$ -	\$ -	\$ -
Mutual bond funds	14,555,312.00	14,555,312.00	-	-	-
<b>Total debt securities</b>	<b>17,764,754.60</b>	<b>17,764,754.60</b>	<b>-</b>	<b>-</b>	<b>-</b>
Equity securities					
Mutual equity funds	66,542,452.84	58,818,976.30	-	-	7,723,476.54
<b>Total equity securities</b>	<b>66,542,452.84</b>	<b>58,818,976.30</b>	<b>-</b>	<b>-</b>	<b>7,723,476.54</b>
Other assets					
Real estate funds	81,043.39	-	-	-	81,043.39
Real estate	69,900.00	-	-	69,900.00	-
<b>Total other assets</b>	<b>150,943.39</b>	<b>-</b>	<b>-</b>	<b>69,900.00</b>	<b>81,043.39</b>
<b>Total assets at fair value</b>	<b>\$84,458,150.83</b>	<b>\$76,583,730.90</b>	<b>\$ -</b>	<b>\$69,900.00</b>	<b>\$7,804,519.93</b>

Assets classified in Level 1 of the fair value hierarchy are valued using prices quoted in active markets for those securities. Assets classified in Level 3 are valued using realtor market analysis.

Required disclosures for assets measured at the net asset value per share are shown below.

Commingled equity funds are considered to be commingled in nature. Each is valued at the net asset value of units held at the end of the period based on the fair value of the underlying investments. Real estate funds measured at NAV are in the liquidation stage and expect to be fully liquidated in fiscal year 2017 at their net asset value.

	<u>Fair Value</u>	<u>Unfunded Commitments</u>	<u>Redemption Frequency (if currently eligible)</u>	<u>Redemption Notice Period</u>
<b>Assets Measured at the NAV</b>				
Commingled equity funds:				
Vontobel Asset Management, Inc.	\$2,699,123.54	-	Monthly	15 days
Copper Rock Capital Partners, LLC	\$2,531,769.00	-	Monthly	10 days
Thompson, Siegal, & Walmsley, LLC	\$2,492,584.00	-	Monthly	30 days
Real estate funds	\$81,043.39	-	Daily	None

## Notes to the Financial Statements (Continued)

### Pledges Receivable

Pledges receivable at June 30, 2016, are summarized below, net of the allowance for doubtful accounts:

Current pledges	\$ 936,216.66
Pledges due in one to five years	3,080,698.72
Pledges due after five years	870,220.00
Subtotal	4,887,135.38
Less discount to net present value	267,246.87
Total pledges receivable, net	\$4,619,888.51

### Capital Assets

Capital asset activity for the year ended June 30, 2016, was as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Transfers</u>	<u>Reductions</u>	<u>Ending Balance</u>
Buildings	\$59,000.00	\$ -	\$ -	\$ -	\$59,000.00
Equipment	9,486.00	-	-	-	9,486.00
Other assets	-	12,000.00	-	-	12,000.00
Total	68,486.00	12,000.00	-	-	80,486.00
Less accumulated depreciation:					
Buildings	59,000.00	-	-	-	59,000.00
Total	59,000.00	-	-	-	59,000.00
Capital assets, net	\$ 9,486.00	\$12,000.00	\$ -	\$ -	\$21,486.00

### Endowments

The ETSU Foundation's endowment consists of 527 individual funds established for a variety of purposes. Its endowment includes both donor-restricted endowment funds and funds designated by the board of directors to function as endowments. As required by GAAP, net position associated with endowment funds, including funds designated by the board of directors to function as endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of relevant law – The Board of Directors of the ETSU Foundation has interpreted the Uniform Prudent Management of Institutional Funds Act (the Act) as adopted by Tennessee as requiring preservation of the historical dollar value of the original gift. As a result of this interpretation, the ETSU Foundation classifies as nonexpendable restricted net position (a) the original value of gifts donated to the nonexpendable endowment, (b) the original value of subsequent gifts to the nonexpendable endowment, and (c) accumulations to the nonexpendable

## **Notes to the Financial Statements (Continued)**

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endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in nonexpendable restricted net position is classified as expendable restricted net position until those amounts are appropriated for expenditure by the foundation in a manner consistent with the standard of prudence prescribed by the Act. In accordance with the Act, the foundation considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

1. the duration and preservation of the fund,
2. the purposes of the foundation and the endowment fund,
3. general economic conditions,
4. the possible effect of inflation or deflation,
5. the expected total return from income and the appreciation of investments,
6. other resources of the foundation, and
7. the investment policies of the foundation.

Return objectives and risk parameters – The foundation has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the organization must hold in perpetuity or for donor-specified periods, as well as board-designated funds. Under this policy, as approved by the board of directors, the endowment assets are invested in a manner that is intended to produce results that, over the long term, will achieve a total return equivalent to or greater than the foundation’s financial requirements over the time horizon. The foundation expects its endowment funds, over time, to provide an average rate of return of approximately 7% annually. Actual returns in any given year may vary from this amount.

Strategies employed for achieving objectives – To satisfy its long-term rate-of-return objectives, the foundation relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The foundation targets a diversified asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk restraints.

Spending policy and how the investment objectives relate – The foundation has a policy of appropriating for distribution each year 3% to 5% of the average quarterly balance for the three preceding calendar years, depending on the amount of reserve for each endowment. In establishing this policy, the foundation considered the long-term expected return on its endowment. Accordingly, over the long term, the foundation expects the current spending policy to allow its endowment to grow at an average of 4% annually. This is consistent with the foundation’s objective to maintain the purchasing power of the endowment assets held in

## Notes to the Financial Statements (Continued)

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perpetuity or for a specified term, as well as to provide additional real growth through new gifts and investment return.

At June 30, 2016, net appreciation of \$12,944,937.22 is available to be spent, of which \$5,588,855.71 is included in restricted net position expendable for scholarships and fellowships, \$84,234.68 is included in restricted net position expendable for research, \$704,851.95 is included in restricted net position expendable for instructional departmental uses, and \$6,566,994.88 is included in restricted net position expendable for other purposes.

### Prior-period Restatement

In prior years, land received as an endowment gift was included in capital assets on the statement of net position. During audit review, it was determined that the land should be included in investments and restricted nonexpendable net position – other. In addition, the cash surrender value of life insurance was classified as other assets instead of investments. As a result of these errors, the statement of net position was restated to reflect these corrections at June 30, 2015:

	<u>As Previously Stated</u>	<u>As Restated</u>	<u>Effect of Correction</u>
<b>Assets</b>			
Noncurrent assets:			
Other assets	\$ 321,411.00	\$ -	\$(321,411.00)
Investments	90,452,238.40	90,970,229.40	517,991.00
Capital assets (net)	206,066.00	9,486.00	(196,580.00)
<b>Net position</b>			
Net investment in capital assets	206,066.00	9,486.00	(196,580.00)
Restricted for nonexpendable:			
Other	4,922,540.31	5,119,120.31	196,580.00

### MEDICAL EDUCATION ASSISTANCE CORPORATION

The Medical Education Assistance Corporation (MEAC) is a legally separate, tax-exempt organization supporting East Tennessee State University. MEAC acts primarily as a physicians' practice group to supplement the resources that are available to the university in support of its medical education programs. The 15-member board of MEAC is self-perpetuating and consists of the department chairs from Quillen College of Medicine, a representative from East Tennessee State University's Office of the President, a representative from the Tennessee Board of Regents, and at-large faculty from the Quillen College of Medicine. Although the university does not control the timing or amount of receipts from MEAC, the residual income that MEAC earns is restricted to supporting medical education. Because these restricted resources held by MEAC can only be used by, or for the benefit of, the university, MEAC is considered a component unit of the university and is discretely presented in the university's financial statements.

## Notes to the Financial Statements (Continued)

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During the year ended June 30, 2016, MEAC made distributions of \$2,541,139 to or on behalf of ETSU or the ETSU Foundation for both restricted and unrestricted purposes. Complete financial statements for MEAC can be obtained from Russell Lewis, Executive Director, P.O. Box 699, Mountain Home, TN 37684.

### Cash

At June 30, 2016, cash consisted of \$6,894,780 in bank accounts, \$2,300 of petty cash on hand, and \$85,079 in the Local Government Investment Pool (LGIP) administered by the State Treasurer.

The LGIP is part of the State Pooled Investment Fund. There are no minimum or maximum limitations on withdrawals with the exception of a 24-hour notification period for withdrawals of \$5 million or more. The fund's required risk disclosures are presented in the *State of Tennessee Treasurer's Report*. That report is available on the state's website at [www.treasury.tn.gov](http://www.treasury.tn.gov).

### Investments

In accordance with GASB Statement 31, *Accounting and Financial Reporting for Certain Investments and External Investment Pools*, as amended, investments are reported at fair value, including those with a maturity date of one year or less at the time of purchase, unless otherwise noted. The corporation is authorized to invest funds in accordance with its board of directors' policies. The corporation's investments at June 30, 2016, consisted of \$6,405,419 of certificates of deposit reported at cost and \$5,002,000 of U.S. agency obligations reported at fair value. The certificates of deposit and U.S. agency obligations had original maturities greater than three months.

**Interest Rate Risk** – Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of a debt investment. MEAC does not have a formal investment policy that limits investment maturities as a means of managing its exposure to fair-value losses arising from increasing interest rates.

At June 30, 2016, MEAC had the following debt investments and maturities:

<u>Investment Type</u>	<u>Fair Value</u>	<u>Investment Maturities (In Years)</u>	
		<u>Less than 1</u>	<u>1 to 5</u>
U.S. agency obligations	\$5,002,000	\$1,000,000	\$4,002,000
Total debt investments	\$5,002,000	\$1,000,000	\$4,002,000

**Credit Risk** – Credit risk is the risk that an issuer or other counterparty to an investment will not fulfill its obligations. Securities are rated using the Standard and Poor's rating scale. MEAC has no investment policy limiting its investment choices based on ratings issued by nationally recognized statistical rating organizations.

## Notes to the Financial Statements (Continued)

At June 30, 2016, the corporation's investments were rated as follows:

<u>Investment Type</u>	<u>Balance</u>	<u>Credit Quality Rating</u>	
		<u>AA</u>	<u>Unrated</u>
LGIP	\$ 85,079	\$ -	\$85,079
U.S. agency obligations	5,002,000	5,002,000	-

Concentration of Credit Risk - Concentration of credit risk is the risk of loss attributed to the magnitude of the corporation's investment in a single issuer. The corporation places no limit on the amount it may invest in any one issuer.

At June 30, 2016, more than 5% of the corporation's investments were invested in the following single issuers:

<u>Issuer</u>	<u>Percentage of Total Investments</u>
Federal Home Loan Bank (FHLB) obligations	17%
Federal Home Loan Mortgage Corporation (FHLMC) obligations	9%
Federal National Mortgage Association (FNMA) obligations	9%
Federal Farm Credit Bank (FFCB) obligations	9%

### Fair Value Measurement

MEAC categorizes its fair value measurements within the fair value hierarchy established by accounting principles generally accepted in the United States of America. MEAC has the following recurring fair value measurements as of June 30, 2016:

	<u>June 30, 2016</u>	<u>Quoted Prices in Active Markets for Identical Assets (Level 1)</u>	<u>Significant Other Observable Inputs (Level 2)</u>	<u>Significant Unobservable Inputs (Level 3)</u>	<u>Investments Measured at the Net Asset Value (NAV)</u>
<b>Assets by Fair Value Level</b>					
Debt securities					
U.S. agency obligations	\$5,002,000	\$ -	\$5,002,000	\$ -	\$ -
<b>Total debt securities</b>	<b>\$5,002,000</b>	<b>\$ -</b>	<b>\$5,002,000</b>	<b>\$ -</b>	<b>\$ -</b>

Assets classified in Level 2 of the fair value hierarchy are valued using the spread above risk-free yield curve. As the yields for the risk-free yield curve and the spreads for these securities are observable market inputs, the fair values of U.S. government agency debt securities are included

## Notes to the Financial Statements (Continued)

in the Level 2 hierarchy. Valuations are obtained from a third-party pricing service for investment securities.

### Receivables

Receivables at June 30, 2016, included the following:

Patient accounts receivable, net	\$3,004,338
Other receivables	1,925,539
<hr/>	
Total	\$4,929,877

### Capital Assets

Capital asset activity for the year ended June 30, 2016, was as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>
Land	\$ 18,150	\$ -	\$ -	\$ 18,150
Buildings	4,902,488	67,010	-	4,969,498
Leasehold improvements	710,078	53,288	-	763,366
Equipment	4,366,653	47,741	59,830	4,354,564
<hr/>				
Total	9,997,369	168,039	59,830	10,105,578
<hr/>				
Less accumulated depreciation:				
Buildings	1,033,195	154,819	-	1,188,014
Leasehold improvements	565,048	76,462	-	641,510
Equipment	3,902,420	230,409	59,830	4,072,999
<hr/>				
Total	5,500,663	461,690	59,830	5,902,523
<hr/>				
Capital assets, net	\$4,496,706	(\$293,651)	\$ -	\$4,203,055

### Long-term Liabilities

Long-term liabilities activity for the year ended June 30, 2016, was as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>	<u>Current Portion</u>
Compensated absences	\$847,638	\$49,012	\$ -	\$896,650	\$179,330
<hr/>					
Total long-term liabilities	\$847,638	\$49,012	\$ -	\$896,650	\$179,330

## **Notes to the Financial Statements (Continued)**

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### **Capital Lease Between MEAC and the University**

In 2008, MEAC entered into an agreement to lease a clinical education building from the university for 30 years at a rate equivalent to the cost of construction of the building, which was \$2,942,255. The entire lease obligation was paid in 2009 upon the completion of construction. The agreement is currently being treated as a capital lease. Because there is no remaining obligation, no capital lease obligation has been reported by MEAC, and no capital lease receivable has been reported by the university.



**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Required Supplementary Information**  
**Schedule of East Tennessee State University's Proportionate Share of the Net**  
**Pension Liability**  
**Closed State and Higher Education Employee Pension Plan Within TCRS**

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	<u>2016</u>	<u>2015</u>
University's proportion of the net pension liability	2.069473%	2.041149%
University's proportionate share of the net pension liability	\$26,681,350	\$14,082,883
University's covered payroll	\$54,038,562	\$55,762,565
University's proportionate share of the net pension liability as a percentage of its covered payroll	49.37%	25.26%
Plan fiduciary net position as a percentage of the total pension liability	91.26%	95.11%

- 1) To correspond with the measurement date, the amounts presented were determined as of June 30 of the prior fiscal year.
- 2) This is a ten-year schedule; however, the information in this schedule is not required to be presented retroactively. Years will be added to this schedule in future years until ten years of information are available.

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Required Supplementary Information**  
**Schedule of East Tennessee State University's Proportionate Share of the Net**  
**Pension Asset**  
**State and Higher Education Employee Retirement Plan Within TCRS**

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	2016
University's proportion of the net pension asset	2.184792%
University's proportionate share of the net pension asset	\$60,758
University's covered payroll	\$2,379,157
University's proportionate share of the net pension asset as a percentage of its covered payroll	2.55%
Plan fiduciary net position as a percentage of the total pension asset	142.55%

- 1) To correspond with the measurement date, the amounts presented were determined as of June 30 of the prior fiscal year.
  
- 2) This is a ten-year schedule; however, the information in this schedule is not required to be presented retroactively. Years will be added to this schedule in future years until ten years of information are available.

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Required Supplementary Information**  
**Schedule of East Tennessee State University's Contributions**  
**Closed State and Higher Education Employee Pension Plan Within TCRS**

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	Contractually Determined Contributions	Contributions in Relation to Contractually Determined Contribution	Contribution Deficiency (Excess)	Covered Payroll	Contributions as a Percentage of Covered Payroll
2016	\$7,784,757	\$7,784,757	\$ -	\$51,794,799	15.03%
2015	8,121,767	8,121,767	-	54,038,562	15.03%
2014	8,381,113	8,381,113	-	55,762,565	15.03%
2013	8,044,873	8,044,873	-	53,525,437	15.03%
2012	7,674,153	7,674,153	-	51,469,841	14.91%
2011	7,186,331	7,186,331	-	48,198,060	14.91%
2010	6,074,138	6,074,138	-	46,652,366	13.02%
2009	6,187,233	6,187,233	-	47,520,989	13.02%
2008	6,372,126	6,372,126	-	46,785,067	13.62%
2007	6,057,797	6,057,797	-	44,477,214	13.62%

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Required Supplementary Information**  
**Schedule of East Tennessee State University's Contributions**  
**State and Higher Education Employee Retirement Plan Within TCRS**

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	<u>2016</u>	<u>2015</u>
Contractually determined contribution	\$ 244,997	\$ 92,133
Contributions in relation to the contractually determined contribution	244,997	92,133
Contribution deficiency (excess)	\$ -	\$ -
Covered payroll	\$6,330,672	\$2,379,157
Contributions as a percentage of covered payroll	3.87%	3.87%

This is a ten-year schedule; however, contributions to this plan began in 2015. Years will be added to this schedule in future years until ten years of information are available.

**Tennessee Board of Regents  
EAST TENNESSEE STATE UNIVERSITY  
Required Supplementary Information  
Other Postemployment Benefits Schedule of Funding Progress**

Actuarial Valuation Date	Plan	Actuarial Value of Assets (a)	Actuarial Accrued Liability (AAL) (b)	Unfunded AAL (UAAL) (b-a)	Funded Ratio (a/b)	Covered Payroll (c)	UAAL as a Percentage of Covered Payroll [(b-a)/c]
July 1, 2015	State Employee Group Plan	\$ -	\$23,133,000	\$23,133,000	0%	\$113,801,679	20.33%
July 1, 2013	State Employee Group Plan	\$ -	\$22,189,000	\$22,189,000	0%	\$108,619,569	20.43%
July 1, 2011	State Employee Group Plan	\$ -	\$28,137,000	\$28,137,000	0%	\$100,388,162	28.03%

The amount reported here for covered payroll relates to the fiscal year in which the valuations were performed.

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Supplementary Schedule of Cash Flows - East Tennessee State University Foundation**  
**For the Year Ended June 30, 2016**

<b>Cash flows from operating activities</b>	
Gifts and contributions	\$ 4,205,006.56
Payments to suppliers and vendors	(2,938,773.09)
Payments for scholarships and fellowships	(1,776,588.51)
Payments to or on behalf of ETSU	(2,672,626.53)
Other receipts (payments)	1,512,138.07
<b>Net cash used by operating activities</b>	<b>(1,670,843.50)</b>
<b>Cash flows from noncapital financing activities</b>	
Private gifts for endowment purposes	1,463,818.29
<b>Net cash provided by noncapital financing activities</b>	<b>1,463,818.29</b>
<b>Cash flows from investing activities</b>	
Proceeds from sales and maturities of investments	22,800,004.04
Income on investments	2,038,392.52
Purchases of investments	(23,829,154.29)
<b>Net cash provided by investing activities</b>	<b>1,009,242.27</b>
Net increase in cash and cash equivalents	802,217.06
Cash and cash equivalents - beginning of year	1,668,460.71
<b>Cash and cash equivalents - end of year</b>	<b>\$ 2,470,677.77</b>
<b>Reconciliation of operating loss to net cash used by operating activities:</b>	
Operating loss	\$ (2,575,109.28)
Adjustments to reconcile operating loss to net cash used by operating activities:	
Change in assets and liabilities:	
Receivables	720,402.44
Accounts payable	183,863.34
<b>Net cash used by operating activities</b>	<b>\$ (1,670,843.50)</b>
<b>Noncash investing, capital, or financing transactions</b>	
Gifts of capital assets	\$ 12,000.00
Unrealized losses on investments	\$ (4,644,009.56)

**Tennessee Board of Regents**  
**EAST TENNESSEE STATE UNIVERSITY**  
**Supplementary Schedule of Cash Flows - Medical Education Assistance Corporation**  
**For the Year Ended June 30, 2016**

<b>Cash flows from operating activities</b>	
Collections from patient charges	\$ 41,629,856.00
Payments to employees	(27,775,937.00)
Payments for benefits	(2,450,961.00)
Payments to suppliers and vendors	(9,113,550.00)
Other receipts (payments)	744,507.00
<b>Net cash provided by operating activities</b>	<b>3,033,915.00</b>
<b>Cash flows from noncapital financing activities</b>	
Payments to or on behalf of ETSU or ETSU Foundation	(2,541,139.00)
<b>Net cash used by noncapital financing activities</b>	<b>(2,541,139.00)</b>
<b>Cash flows from capital and related financing activities</b>	
Purchases of capital assets and construction	(168,039.00)
<b>Net cash used by capital and related financing activities</b>	<b>(168,039.00)</b>
<b>Cash flows from investing activities</b>	
Proceeds from sales and maturities of investments	6,265,000.00
Income on investments	81,632.00
Purchases of investments	(8,295,304.00)
Other investing receipts (payments)	300.00
<b>Net cash used by investing activities</b>	<b>(1,948,372.00)</b>
Net decrease in cash	(1,623,635.00)
Cash - beginning of year	8,605,794.00
<b>Cash - end of year</b>	<b>\$ 6,982,159.00</b>

<b>Reconciliation of operating gain to net cash provided by operating activities:</b>	
Operating gain	\$ 3,438,015.00
Adjustments to reconcile operating gain to net cash provided by operating activities:	
Depreciation expense	461,690.00
Changes in assets and liabilities:	
Receivables	(945,384.00)
Prepaid expenses	(61,719.00)
Accounts payable	(92,835.00)
Accrued liabilities	293,177.00
Due to the university	(26,744.00)
Compensated absences	49,012.00
Deposits held in custody for others	9,268.00
Other liabilities	(90,565.00)
<b>Net cash provided by operating activities</b>	<b>\$ 3,033,915.00</b>



STATE OF TENNESSEE  
COMPTROLLER OF THE TREASURY  
DEPARTMENT OF AUDIT  
DIVISION OF STATE AUDIT  
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505 DEADERICK STREET  
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**Independent Auditor's Report on Internal Control Over Financial Reporting  
and on Compliance and Other Matters Based on an Audit of  
Financial Statements Performed in Accordance With  
*Government Auditing Standards***

The Honorable Bill Haslam, Governor  
Members of the General Assembly  
The Honorable David Gregory, Acting Chancellor  
Dr. Brian Noland, President

We have audited the financial statements of East Tennessee State University, an institution of the Tennessee Board of Regents, which is a component unit of the State of Tennessee, and its discretely presented component units as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the university's basic financial statements, and have issued our report thereon dated December 16, 2016. We conducted our audit in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Our report includes a reference to other auditors who audited the financial statements of East Tennessee State University Foundation and the Medical Education Assistance Corporation, as described in our report on East Tennessee State University's financial statements. This report does not include the results of the other auditors' testing of internal control over financial reporting or compliance and other matters that are reported on separately by those auditors.

**Internal Control Over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the university's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the university's internal control. Accordingly, we do not express an opinion on the effectiveness of the university's internal control.

*A deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a



combination of deficiencies, in internal control that is less severe than a material weakness yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

### **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the university's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### **Purpose of This Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Deborah V. Loveless, CPA

Director

December 16, 2016