

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
SEPTEMBER 2017 MEETING

1:00-3:30pm EDT  
Friday  
September 8, 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. [Approval of the Minutes of June 9, 2017 and August 24, 2017](#) ..... Tab 1
- IV. [Consent Agenda](#) (5 minutes) ..... Tab 2
  - A. Minutes from the June 9, 2017 Finance and Administration Committee
  - B. Minutes from the June 9, 2017 Academic and Student Affairs Committee
  - C. Minutes from the June 9, 2017 Audit Committee
  - D. Tenure appointment for Dean Aloia
  - E. Advancement policies from the Finance and Administration Committee
- V. Report from the Finance and Administration Committee (5 minutes)
  - A. [Capital project approval](#) ..... Tab 3
- VI. Report from the Academic and Student Affairs Committee (5 minutes)
- VII. Report from the Audit Committee (5 minutes)
- VIII. [Gatton College of Pharmacy Overview and Scholarship Proposal](#) (15 minutes) ..... Tab 4
- IX. [Overview of Health Science Center Clinical Operations](#) (15 minutes) ..... Tab 5
- X. [Naming of the Arts Center](#) (5 minutes) ..... Tab 6
- XI. [Footprints Marketing Campaign](#) (15 minutes) ..... Tab 7
- XII. [Student Affairs Overview: Promoting Student Success](#) (15 minutes) ..... Tab 8
- XIII. President’s Report (30 minutes)
- XIV. [Resolution of Appreciation for Ms. Mary Jordan](#) (5 minutes) ..... Tab 9
- XV. [Resolution of Appreciation for Dr. Richard Sander](#) (5 minutes) ..... Tab 10

- XVI. Other Business
- XVII. Executive Session
  - A. Discuss pending legal action (if necessary)
- XVIII. Adjournment

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Approval of Minutes of June 9, 2017 Meeting and the August 24, 2017 Special Called Meeting

RECOMMENDED ACTION: Approval

PRESENTED BY: David Linville, Secretary

The minutes of the June 9, 2017 meeting and the August 24, 2017 special called meeting of the Board of Trustees are included in the meeting materials.

**MOTION: I move that the Board of Trustees adopt the resolution, approving the minutes as outlined in the meeting materials.**

**RESOLVED: The reading of the minutes of the June 9, 2017 and August 24, 2017 meetings of the Board of Trustees is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

MINUTES

June 9, 2017  
Johnson City, Tennessee

The quarterly meeting of the East Tennessee State University Board of Trustees was held at 1 p.m. on Friday, June 9, 2017, in the East Tennessee Room of the D.P. Culp University Center on ETSU's main campus in Johnson City, Tennessee. The meeting was also livestreamed for those who could not be in attendance.

**I. Call to Order**

Chair Scott Niswonger called the meeting to order.

**II. Roll Call**

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

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

In his opening remarks, Chair Niswonger noted that the work conducted by the committees of the Board of Trustees since the last meeting has been engaging. He added that the first Board of Trustees meeting in March set the stage for going forward as a board. In addressing the items on the June agenda, Chair Niswonger pointed out that it was the first time in the university's history that these decisions will be made at the campus level. For this reason alone, he said it is a historic day at ETSU. The chairman also pointed out that the advent of a Board of Trustees at the institutional level provides an opportunity for flexibility, responsiveness and mission emphasis as well as a chance to enhance shared governance and encourage an open, transparent and inclusive culture.

Chair Niswonger also shared some of the events that took place on campus since the last meeting, including the graduation of the largest class in the history of the institution in May; the men's soccer department winning the Commissioner's Cup from the SoCon; doctoral student Hannah Oakes earning a national research fellowship; and the university being just one of 83 campuses in 23 states to be named a "Voter Friendly Campus."

Before moving to the next agenda item, Chair Niswonger proposed a change to the order of items on the agenda. He made a motion to move agenda item XI. (A) “Internal Audits in Progress” out of the Executive Session, at the recommendation of Audit Committee Chair Golden, and into the open portion of the meeting, placing it immediately after the Academic and Student Affairs Committee report (Agenda Item VI). The motion was seconded by Trustee Ramsey and unanimously approved.

**III. Approval of the Minutes of May 8, 2017**

Trustee Grisham made a motion to accept the minutes of the May 8, 2017, Board of Trustees meeting. It was seconded by Trustee Alsop and unanimously approved.

**IV. Consent Agenda**

Items included on the consent agenda are:

- A. Policies from the Finance and Administration Committee
- B. Pilot Proposal for the Department of Social Work
- C. Pilot Proposal for the Department of Educational Leadership and Policy Analysis
- D. Audit Committee Charter
- E. Office of Internal Audit Charter
- F. Policies from the Audit Committee
- G. Minutes of April 24, 2017, Academic and Student Affairs Committee
- H. Minutes of April 28, 2017, and May 26, 2017, Finance and Administration Committee
- I. President Emeritus Contract

Chair Niswonger pointed out that the broad range of items included on the consent agenda had been reviewed by committees of the board at their meetings and asked if there were any items that any trustee wanted to pull for separate consideration. There were none. Trustee Grisham made a motion for the adoption of the consent agenda. It was seconded by Trustee Alsop and unanimously approved.

**V. Report from the Finance and Administration Committee**

Committee Chair DeCarlo thanked the committee for the thoughtful discussions that had taken place during multiple committee meetings that took place leading up to the full Board of Trustees meeting. He also thanked Dr. B.J. King, ETSU’s acting chief financial officer.

**A. Approval of 2017-18 Salary Increase Proposal and April 2017 Equity Pay Plan Methodology**

Committee Chair DeCarlo explained that the governor’s budget provided for a 3 percent salary pool, which ETSU plans to distribute through a 2 percent across-the-board salary increase with a \$500 minimum and a 1 percent equity pool with a \$3,000 maximum. Trustee Ayers made a motion to adopt, on the recommendation of the Finance and Administration Committee, the 2017-18 Salary Increase Proposal and April 2017 Equity Pay Plan Methodology as presented in the meeting materials.

**B. Approval of Tuition and Fees 2017-18**

Committee Chair DeCarlo made a motion recommending a 3.97 percent increase that equates to \$172 per semester for undergraduates taking 15 credit hours and \$188 per semester for graduate students taking 9 credit hours. The recommendation also includes a 2 percent increase in tuition at the Quillen College of Medicine and a 3 percent increase at the Bill Gatton College of Pharmacy. The motion was seconded by Trustee Latimer and unanimously approved.

**C. Approval of the University Budget 2017-18**

Committee Chair DeCarlo pointed out that the committee had gone through the budget in detail at its meetings and received a great deal of information regarding the budgets for the main campus, college of medicine, college of pharmacy and family medicine. He made a motion to recommend budgets that report

- Revenues of \$245 million and expenditures of \$245 million for the main campus;
- Revenues of \$58.7 million and expenditures of \$58.7 million for the Quillen College of Medicine;
- Revenues of \$16.2 million and expenditures of \$16.2 million for Family Medicine; and
- Revenues of \$11.5 million and expenditures of \$11.4 million for the Bill Gatton College of Pharmacy.

The total revenues equal \$332 million and total expenditures equal \$332.1 million. The motion was seconded by Trustee Grisham and unanimously approved. Trustee Ramsey emphasized that the committee delved down very deeply into the budget proposal.

**VI. Report from the Academic and Student Affairs Committee**

Committee Chair Latimer thanked the committee for its insightful and important morning meeting leading up to the full board meeting.

**A. Promotion and Tenure of Faculty Members**

Dr. Bill Kirkwood, vice provost, presented the recommendations for tenure and promotion and presented on the tenure and promotion process. Dr. Kirkwood explained that tenure plays an important role in the lives of faculty at the institution and called receiving tenure “perhaps the milestone achievement in a faculty member’s life.” He said tenure is also one of the foremost ways a university ensures quality. Tenure and promotions, he said, are a reflection of excellence at a university. The review process for granting tenure and promotion begins with faculty members creating digital dossiers to submit. Those applications are first reviewed by (higher ranking) faculty working in the same department as the applicant. Those faculty members make their recommendation and the application then moves to the chair of the department, who reaches his or her own independent conclusions and forms a separate recommendation. From there, the application is reviewed by faculty across the college and then goes to the college dean, who forms an

independent recommendation. Next, an application moves to the vice president level and finally moves on to the Office of the President where it receives additional scrutiny. Dr. Kirkwood said it is with considerable pride he now presents it to the Board of Trustees for the first time. Trustee Latimer made a motion to approve the candidates presented for promotion in rank and/or the granting of tenure. Trustee Alsop seconded the motion and it received unanimous approval.

#### **B. Periodic Notification of Academic Actions**

Dr. Kirkwood explained that ETSU policy calls for notification of certain actions (i.e.: program name changes, curriculum requirement changes) that do not require Board of Trustees action and presented the report indicating such actions that have taken place in the past quarter.

Academic Actions submitted to the Tennessee Higher Education Commission via a notification scene (Academic Program Inventory Update) are:

- Name change of existing academic program: Brand and Media Strategy
- Amendment of instructional delivery mode from traditional to fully online: Community Leadership
- Amendment of instructional delivery mode from traditional to traditional and fully online: Gerontology
- Termination of an academic concentration: Paleontology (Biology)
- Establishment of a new concentration within an existing academic program: Psychiatric Mental Health Nurse Practitioner
- Establishment of a certificate less than 24 semester credit hours: STEM K-12 Education
- Termination of an academic degree program: Women's Studies (Bachelor's)

Academic Action Notifications to the ETSU Board of Trustees are:

- Establishment of two departments in the College of Business and Technology: 1. Engineering, Engineering Technology and Surveying and 2. Digital Media
- Reorganization of one department into two departments in the College of Arts and Sciences: 1. Communications and Performance and 2. Theatre and Dance
- Substantive curricular revision to an existing graduate program: Master of Science in Nursing (MSN)
- Revision of admission policy: Master of Science in Nursing (MSN)
- Revision of admission policy: PhD in Nursing
- Substantive curricular revision to an existing undergraduate program: BSEd in Interdisciplinary Studies in Education

- Establishment of an articulation agreement between two existing degree programs: Bachelor of Arts (BA) in Anthropology and a Bachelor of Social Work (BSW)

Trustee Golden commended the university on the creation of the STEM K-12 graduate certificate and recognizing the need to get STEM into K-12 education earlier and faster.

## **VII. Audit Committee Report**

### **A. Audit Plan**

Committee Chair Golden explained that Ms. Rebecca Lewis, director of Internal Audit, presented the committee with the 2017-18 audit plan during the group's morning meeting. He said Ms. Lewis shared how she and her staff deploy resources to assure the committee of good operations controls. Some of the audits that are set to be conducted are required while others are determined through a risk assessment.

### **B. Recommendation Log**

Also in the morning Audit Committee meeting, Ms. Lewis reviewed the recommendation log with the group. Trustee Golden commended Ms. Lewis on the presentation of a color-coded score sheet and noted that if the log ever contains a red item, meaning the item is significantly overdue, the committee intends to ask someone to attend its meeting to answer for the lateness.

### **C. Executive Session**

Committee Chair Golden reported to the full board the discussion that occurred in the committee's executive session earlier in the day. In the session, Trustee Golden said the committee reviewed an investigation involving the men's tennis team, specifically around the head men's tennis coach. The committee concluded that the audit is finalized. Trustee Golden said you can't help but note the detail included in the audit, which concluded that the coach engaged in fraud, waste and abuse to the level of \$85,000 and an additional \$20,000 of abuse of the vacation policy at the institution. Trustee Golden told the board that the scheme the coach was involved in was fairly sophisticated and included the counterfeiting of receipts and expenses going back to as early as 2010. Trustee Golden commended Ms. Lewis and her team for the exceptional job on the audit in a very short amount of time. He added that the university, in his estimation, took the investigation very seriously and did the right thing by jumping on it right away. The university has proposed changes to controls to better prevent future incidents such as this one, however Trustee Golden noted that someone who is determined to engage in that type of behavior will find a way to engage in it. Trustee Golden reiterated that the audit was well done, the management response was appropriate and the university did not impede the investigation. He said Athletic Director Richard Sander will faithfully ensure the implementation of the recommendations and noted that additional audits will be conducted going forward. The coach being investigated resigned in March 2017.



### **VIII. Memorandum of Understanding with Mountain States Health Alliance**

Dr. Wilsie Bishop, vice president for Health Affairs, provided a PowerPoint presentation summarizing the Academic Health Sciences Center at ETSU and its affiliations with health care systems in the region (Mountain States, Wellmont Health System, the VA Medical Center and Frontier Health). Approximately 4,000 students are enrolled in the five colleges that make up the Academic Health Sciences Center and the proposed MOU is focused primarily on those five colleges. Dr. Bishop noted that the university has had varying contracts and ways of doing business with its health system affiliates over the past 60 years and leaders at ETSU came to the realization that is important to look at developing an MOU to define the institution's relationship and operations in a more formal way. ETSU had approximately \$15 million in contracts, residents' salaries and services with Mountain States in 2015-16. Student placements at Mountain States facilities are as follows: 214 students from the College of Clinical and Rehabilitative Health Sciences; 762 students from the College of Nursing; 113 students from the College of Pharmacy; 32 students from the College of Public Health; and 103.5 resident slots (compared to 71 at Wellmont and 30 at the VA) for the Quillen College of Medicine. In addition, all Quillen medical students rotate through Mountain States facilities during their four years at the college. The MOU, Dr. Bishop said, will help the university determine ways to maximize its health professional education program in the region. It allows for the entities to work together on strategic planning and to conduct a needs assessment of the region, ultimately to maximize education and health care to the region. She pointed out that a member of the Board of Trustees would serve on the coordinating council that would be created through the MOU.

Dr. Noland thanked Dr. Bishop and Dr. David Linville as well as all of the others involved in the creation of the MOU. He said the university has spent considerable time formalizing what has, up until now, essentially been general agreements with Mountain States. Trustee Ramsey asked whether ETSU has been operating on just a handshake in the past. Dr. Bishop said the institution has a number of formal contracts and agreements with the health care system, but they have all been negotiated individually. The MOU will prevent some redundancy while allowing the entities to plan together. Trustee Grisham asked whether a research team has already been put into place. Dr. Bishop said both Mountain States and Wellmont put in place a number of strategic task forces that look at care delivery. She said there is a model leaders have begun to discuss and also pointed out that ETSU is the major research institute in the region.

Chair Niswonger emphasized how proud the board is of the university's health-related colleges and made a motion to authorize Dr. Noland to execute a memorandum of understanding with Mountain States Health Alliance. Trustee Grisham seconded the motion, which was unanimously approved.

### **IX. Presentation on Open Meetings and Open Records Law**

Outlined in statute, Tennessee has very extensive open meetings and open records laws that are applicable to the Board of Trustees. Building on training previously provided to the board by the Tennessee Higher Education Commission, Mr. Ed Kelly, legal counsel at ETSU, presented on the laws regarding open meetings and open records.

Mr. Kelly summarized the roles of the legal counsel office at ETSU, which includes legal matters related to employment, litigation, compliance, contracts, transactions, immigration, athletics, international programs and student issues. His office also handles legal matters for auxiliary corporations such as the ETSU Foundation and the Research Foundation. In health sciences colleges, counsel is also involved in research items, MOUs and HIPAA compliance issues. In addition to Mr. Kelly, attorneys on staff include Mr. Troy Perdue, Ms. Lisa Williams and Ms. Lindsay Daniel.

Tennessee was the 46<sup>th</sup> state to pass an open meetings law and now has what is probably the broadest open records law in the country. He pointed out key things for the trustees to remember. These items included the definition of a meeting as two or more trustees to convene to make a decision or deliberate toward a decision. This includes convening via email and/or telephone. There are exceptions to what is considered a meeting. On-site inspections of a project or program; a daylong tour of facilities; and a work session on strategic planning are all examples of scenarios that are not considered meetings, Mr. Kelly said. The law does not intend to prevent the trustees from being together outside of public meetings, but does require them not to deliberate and to maintain some isolation from the duties of the board when they are together outside of a public forum. Mr. Kelly noted a difference between whether a document is an open record (public) and whether it is discoverable. Discoverable, he explained, comes along with litigation and is related to court activity. In addition, Mr. Kelly provided examples of records that are not public. These included records regarding donations to the university, trade secrets, documents considered attorney-client privilege at the time of request and student records, which are governed by federal law (FERPA).

#### **X. Strategic Plan Implementation: Presentation on Student Recruiting**

Dr. Brian Henley, admissions director, provided a PowerPoint presentation related to student recruitment and enrollment. He said the admissions department has a staff of approximately 25 people, but emphasized that university recruitment is a university-wide mission.

He shared the priorities for enrollment by 2026, which include:

- 18,000 students enrolled
- 3,500 out-of-state and international students enrolled
- Graduate 60 percent of first-time, full-time, degree-seeking students within six years;
- Retain 85 percent of first-time, full-time degree-seeking students

- Receive 12,000 freshman applications (5,000 more than what is received now) with an ACT of 24 or higher.

Goals for this year include:

- Increase applications by 8 percent per year
- Enroll a freshman class of 2,100 (compared to 1,886 this past year)
- Increase level of academic preparation of the entering class
- Increase the number and percentage of students from underrepresented and ethnic groups
- Increase number of non-Tennessee residents through the use of specific scholarships

Dr. Henley shared historic freshman enrollment, noting two events that have significantly changed the landscape in Tennessee: 1. The Class of 2004 was the first class eligible for the Tennessee Lottery Scholarship, which increased the number of students coming through the college pipeline, and 2. The Class of 2015 was the first class eligible for Tennessee Promise.

Dr. Henley addressed the importance of raising academic preparation of students, noting that GPAs and ACT scores are the best predictors of retention and graduation of students. ETSU's freshman class has gone from an average GPA of 3.32 in 2012 to 3.47 for this past freshman class. The ACT score has risen from 22.1 to 23.2 this past year. He said the institution's efforts are already starting to see early indications of results in retention down the road.

He also addressed Tennessee high school graduate projections, noting the total graduation rate is projected to increase by about .8 percent out to 2026, making it a time of growth but not significant growth and pointing out that growth in Tennessee high school graduates is going to be from students who identify as Latino/Hispanic. Virginia is projected to grow about 6.3 percent in high school graduates; North Carolina is predicted to grow 10 percent in high school graduates; and South Carolina is predicted to grow 13-14 percent by 2025. Dr. Henley concluded from this that if ETSU is going to maintain its enrollment and grow, the institution is going to have to capture a larger market share in Tennessee, reach out to the Latino population and reach out to bordering states for students.

Next, Dr. Henley discussed the enrollment funnel, starting out by saying that student recruitment is all about relationship building.

The funnel starts with building brand. To help build the ETSU brand, seven admission counselors divide the state into geographic territories to work with high schools and their students to build relationships. Other brand building efforts include guest lecture series in the high schools by ETSU professors, website and social media presence, high school counselor days on campus and a partnership with Royall and Company, a company that assists in reaching out to students and gets them interested enough to respond. The university buys names of sophomores and juniors in Tennessee and border county areas as well as some students who appear eligible for the Carter scholarship (within 150 miles) and students within 250 miles who are interested in the health sciences.

The next step in the funnel is generating applications. Efforts related to generating applications include high school visits and college fairs, campus visits, targeted mailings like the View Book, hosting open house events and an application marketing campaign with Royall and Company. At this point, ETSU buys the names of approximately 35,000 seniors and Royall and Company reaches out to them. They are given the promise of a waived out-of-state application fee, a two-week admission decision and automatic consideration for scholarships based on their location. The effort generated 3,400 applications this year, Mr. Henley said.

In selecting the class, ETSU does not require application essays or letters of recommendation. Mr. Henley believes efficiency is to the institution's advantage in selecting the class and, even at the busiest time, was able to meet the two-week decision turnaround goal.

The next portion of the funnel is enrollment and yield, which Mr. Henley said he sees as the most important part of the funnel. Mr. Henley noted that the days when you could assume a completed application is a high likelihood a student will come to the university are gone. The assumption now is students are applying to at least four to five universities and even 10-15 schools. The yield is extremely important and the recruitment efforts are just getting started when the applications arrive. Efforts here include admitted students' receptions, targeted mailings, top scholar receptions, scholarship awards ceremonies, outreach by colleges and departments and pre-advising sessions at area high schools. Admissions has also identified the top 100 feeder schools for the university and admissions counselors are working to provide every admitted student with a hand-written note and/or phone call. Other efforts include academic signing days and scholarship certificates on behalf of ETSU. Royall and Company also provides a Decision IQ communication plan that encourages students to sign up for orientation.

The final stages of the funnel are registration and melt. New students have orientation in summer where they register for classes, summer send-offs are held in Sevierville, Chattanooga and Nashville, and the university hosts two programs leading into the fall semester – QUEST and Preview ETSU.

## **XI. President's Report**

Dr. Noland summarized the board meeting by noting that the trustees had, in the matter of an hour and 20 minutes, adopted policies for audit; provided salary enhancements; approved tenure and promotion; approved tuition, fees and a budget for the university; formalized an MOU with Mountain States and heard an enrollment growth presentation. He thanked the board for the hours it spent working on these issues in committee meetings leading up to the full board meeting. He also informed the trustees that they will have an opportunity for information sessions where they can get out and about around campus and learn more about the institution.

In addressing events that had occurred since the last meeting, Dr. Noland mentioned the following:

- The recent SACS visit took place in May and went extremely well. By all accounts, it appears the university's accreditation will be reaffirmed with

no findings. He thanked Drs. Bert Bach, Mike Hoff and Cheri Clavier for their efforts related to the visit.

- The largest graduating class in the history of the university crossed the stage in two ceremonies on May 6.
- Leaders are anticipating the single best fall-to-fall retention rate (at 75 percent) since 1986.
- Today marks a milestone for the university with tenure and promotion acted upon locally for the first time.

Dr. Noland also took a moment to talk about the Athletics Department and emphasized the incident related to the men's tennis coach is not reflective of the university's athletics program as a whole. He pointed out that teams competed in eight conference tournaments or NCAA appearances this year. He also noted that the department had the Outstanding Athletic Program in the SoCon for the second year in a row. Additionally, he shared that 29 student athletes recorded a 4.0 GPA for the most recent semester while Brooke Baxter, a softball player, graduated in May with a perfect 4.0 GPA for her collegiate career. Ms. Baxter is going on to attend Quillen College of Medicine in the fall.

In continuing to share positive stories of the university, Dr. Noland also noted that the institution is on target to have the best fundraising year in recent history (on track for almost \$19 million) and the university is making significant headway toward making strategic plan goals.

Transitioning to campus climate, Dr. Noland noted that every single student at the ETSU campus goes through HAVEN training and 2,500 employees took part in the online sexual harassment training so far this academic year. Dr. Noland also noted that the trustees will see the institution's research mission advance through some big announcements in the coming months.

#### **A. Campus Construction Update**

Dr. Noland shared brief updates regarding ongoing and upcoming construction projects. They include:

- **Martin Center** – With a projected cost of \$52.3 million and an expected completion date of Spring 2019, this performing arts center will include a recital hall, main hall, black box theater, practice space, rehearsal space and office space. It will be a massive facility that will encompass most of Lot 1 just across State of Franklin Road from the main ETSU campus. It is being developed in partnership with the City of Johnson City and will serve as a home for the arts across this portion of the Tri-Cities. Groundbreaking will take place in August/September.
- **Football Stadium** – There remains a lot to be done with just 90 days before the start of the football season, but it is moving toward completion. The project remains on schedule and under budget. Seating will go in by about Aug. 6.
- **D.P. Culp University Center** – With a projected cost of \$46 million including food service enhancements, the renovation to the Culp Center is expected to be complete in 2019. It will become the living room of the university, however construction will cause the

displacement of 250 offices, the amphitheater will be unusable during the construction phase and Lot 35 will not be available for parking. There will also be a temporary loss of some food service. There is the hope that the Martha Street Culp Auditorium will be accessible. Dr. Noland said it will be important for the board to look at the possibility of formal negotiations for a lease or potential acquisition of the Millennium Centre. He said this will involve a lot of conversations with folks in Nashville.

- **Building 60 on the VA campus** – The Interprofessional Education and Research Center on the VA campus is a renovated historic building. Project cost is \$13 million with an estimated completion date of Spring 2018. A significant portion of the simulation for health sciences colleges will be housed here with a chance for students to learn in interprofessional teams.
- **Data Center** – This facility will soon open. It is a new home for IT infrastructure. Cost is \$2.7 million.
- **Lamb Hall** – Renovation to Lamb Hall is the next big project. ETSU received funding in Haslam’s budget for the facility. It has yet to go before the State Building Commission. The next phase is beginning the fundraising campaign for the capital match for the \$21.8 million project. The renovation will provide enhanced teaching and research space.

## **B. Legislative Review**

In providing a legislative review, Dr. Noland said he considered this to be a very successful legislative session for the university. It included support for the outcomes formula and salary enhancements, support for Lamb Hall (remaining with a 25 percent match), support for deferred maintenance projects, FOCUS implementation, campus safety, out-of-state tuition and DACA students (this legislation did not go through but is expected to return to legislature for further discussion next year), and major policy changes that impact access, veterans and free speech.

With respect to policy changes, the first is access.

- **Tennessee Reconnect** does the same thing for adults that Tennessee Promise does for graduating high school students. The act establishes a last-dollar tuition scholarship at any of the state’s 13 community colleges. The funds are available to residents qualifying as independent adult students. This is significant for ETSU because that adult learner is then positioned to transfer to 4-year institutions like ETSU to further their education.
- The **STRONG Act** establishes a pilot program to provide eligible members of the Tennessee National Guard with last-dollar funding toward a bachelor’s degree at Tennessee’s public institutions. Focused on members of the National Guard who have some college but no degree. The

STRONG act is another piece of a different funnel to help reach our student enrollment goals.

- **FOCUS Act** updates include giving statutory authority in several policy/procedural areas including campus police/public safety; extending whistleblower protections applicable under present law; requiring an independent audit committee; and allowing board members to serve on the governing board of a private institution.
- **Free speech law** goes into effect January 1, 2018. Tennessee is the first state in the nation to recognize the importance of faculty's academic freedom in state law. The law provides a framework to facilitate a marketplace of ideas and safeguard free speech. Public universities may not disinvite campus speakers invited by students or faculty or charge an additional security fee for speakers based on the anticipated content of the speech. It prohibits free speech zones and requires public universities to regularly inform students and faculty of their speech rights.

Continuing with his legislative update, Dr. Noland noted that this is one of the few years in which support from the governor was above and beyond the THEC recommendation. He also reiterated that the budget included \$17.3 million for Lamb Hall and another \$8.7 million for capital maintenance projects.

## **XII. Adjournment**

Chair Niswonger thanked President Noland for his tireless effort for ETSU and then adjourned the public portion of the meeting. From there, the full board then went into executive session to discuss pending litigation.

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David Linville  
Secretary of the Board of Trustees

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

MINUTES OF THE CALLED MEETING

August 24, 2017  
Johnson City, Tennessee

A special called meeting of the East Tennessee State University Board of Trustees was held at 3:30 p.m. on Thursday, August 24, 2017, in the President's Conference Room on the second floor of Burgin Dossett Hall. The meeting was also livestreamed.

**XIII. Call to Order**

Board of Trustees Chairman Scott Niswonger called the meeting to order.

**XIV. Roll Call**

Secretary David Linville called the roll, with the following members present:

Fred Alsop (physically present)  
Janet Ayers (telephonically)  
Steven DeCarlo (telephonically)  
David Golden (telephonically)  
Dorothy Grisham (telephonically)  
Linda Latimer (telephonically)  
Scott Niswonger (telephonically)  
Jim Powell (telephonically)  
Ron Ramsey (telephonically)

Trustee Nathan Farnor was absent. In accordance with Tennessee Code 8-44-108 section (c) (3), Secretary Linville asked the trustees participating by phone two questions: (1) Are you able to clearly hear us so that you can participate in this meeting and (2) Can you please identify any persons present in the room with you from which you are participating in the meeting. All trustees affirmed they could hear and all reported they were alone in their respective locations.

Others present in the President's Conference Room for the meeting included: ETSU President Brian Noland, Nathan Dugger (Deputy Secretary to the Board), Dr. David Linville (Secretary to the Board), James Batchelder, Joe Smith, Dr. Susan Epps, Tony Treadway (community member), Kristen Swing (taking minutes), and media representatives from WJHL, WCYB and the Johnson City Press.

Secretary Linville told Chairman Niswonger he did not detect a physical quorum present; however a quorum did exist by the inclusion of those members participating by electronic means. In accordance with Tennessee Code 8-44-108



section (b) (2), Secretary Linville offered up to the committee the following circumstances that necessitated the reason for holding the meeting:

1. Because of the pending opening of the ETSU stadium, the university would like to ensure the naming of the facility is finalized by the Board of Trustees today.
2. The prompt necessity of the Board's meeting did not provide adequate time for our Trustees to make necessary arrangements to be physically present for a quorum.

For those reasons, Secretary Linville contended that participation by a quorum of the Board of Trustees members by electronic or other means of communication was necessary. Secretary Linville asked that a motion be made and a roll call vote be taken for a determination on the necessity of holding the meeting. Trustee Powell made a motion that the meeting proceed due to the necessity that did exist. It was seconded by Trustee Alsop and unanimously approved via roll call vote.

#### **XV. Approval of the Naming of the Stadium**

Chair Niswonger asked Dr. Noland to give a presentation regarding the naming of the new football stadium on ETSU's campus. Dr. Noland thanked the trustees for agreeing to conduct a called meeting under such unique circumstances. He provided a document detailing the background and history of the stadium and noted that the facility will open next week, on Sept. 2, for the inaugural football game. Dr. Noland said staff is recommending the facility be named the William B. Green, Jr. Stadium in honor of Mr. Greene's longstanding current and future support of the university and its athletic programs. Dr. Noland noted that Mr. Greene has funded scholarships across campus and is a pillar of the community. He said it would be appropriate to honor Mr. Greene for his past, present and future contributions to the university by naming the stadium after him.

Vice Chair Golden made a motion to approve the recommendation to name the stadium the William B. Greene, Jr. Stadium. It was seconded by Trustee Grisham. Other than Trustee Latimer, who abstained from the vote, all trustees voted in favor of naming the stadium in honor of Mr. Greene.

#### **XVI. Other business**

None.

#### **XVII. Adjournment**

Hearing no other business, Chair Niswonger asked for a motion to adjourn. A motion and a second were made, and received unanimous approval to adjourn.

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David Linville  
Secretary of the Board of Trustees

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

CONSENT AGENDA ITEMS

DATE: September 8, 2017  
ITEM: Consent Agenda  
RECOMMENDED ACTION: Approval  
PRESENTED BY: David Linville, Secretary

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

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

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

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

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

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Approval of the Minutes of June 9, 2017

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approve

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

The minutes of the June 9, 2017 meeting of the Finance and Administration Committee are included in the meeting materials.

**MOTION: I move that the Board of Trustees adopt the resolution, approving the minutes as outlined in the meeting materials.**

**RESOLVED: The reading of the minutes of the June 9, 2017 meeting of the Finance and Administration Committee is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND ADMINISTRATION COMMITTEE

MINUTES

June 9, 2017  
Johnson City, Tennessee

The East Tennessee State University Board of Trustees' Finance and Administration Committee met at 9:40 a.m. on Friday, June 9, 2017, in Meeting Room 3 in the D.P. Culp University Center on ETSU's main campus in Johnson City, Tennessee.

**I. Call to Order**

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

**II. Roll Call**

Board of Trustees Secretary Dr. David Linville called the roll and declared that a quorum was present. Committee members in attendance were: Chairman DeCarlo, Mr. Nathan Farnor, Ms. Dorothy Grisham, Mr. Jim Powell, and Mr. Ron Ramsey.

Among the guests in attendance were: Ms. Bridget Baird, ETSU Associate Vice President for Community and Government Relations; Dr. James Batchelder, Assistant Dean for Fiscal Affairs, ETSU College of Clinical and Rehabilitative Health Sciences; Mr. Alex Cassell, ETSU President's Office; Mr. David Floyd, *Johnson City Press*; Ms. Mary Jordan, ETSU Special Assistant to the President for Equity and Diversity; Dr. B.J. King, ETSU's Acting Chief Financial Officer; Ms. Amanda Marsh, ETSU University Relations; Dr. Brian Noland, ETSU President; Ms. Margaret Pate, Associate Vice President for Budget and Financial Planning at ETSU; Mr. Bill Rasnick, ETSU Associate Vice President for Facilities Management; Dr. Richard Rhoda, Interim Dean of the Claudius G. Clemmer College of Education at ETSU; and Fred Sauceman, ETSU University Relations (taking minutes).

**III. Approval of the Finance and Administration Committee Minutes of May 26, 2017**

Trustee Powell moved that the minutes of the committee's May 26, 2017, meeting be approved. Trustee Grisham seconded. The motion passed unanimously.

**IV. Adoption of Policies**

Consensual Romantic or Sexual Relationship Policy

Evaluative Authorities have a distinct and prestigious role in the educational process at this university. This policy is meant to prevent any abuse of this special role – even unintentionally – and to protect all parties involved from being in a vulnerable position or from feeling pressure. Also, consensual relationships can lead to favoritism from the Evaluative Authority; others may believe that there is favoritism even if there is not.

Definitions:

Evaluative Authority: any person with authority over another individual (e.g. grading, employment, supervision, writing letters of recommendation, award/scholarship recognition, scheduling, or the ability to provide special consideration or treatment).  
Consensual relationship: any intimate relationship when both parties consent and the relationship is of a romantic or sexual nature, whether that be dating, marriage, or another arrangement.

Policy:

The University prohibits a consensual relationship between an Evaluative Authority and any other individual over whom that person has a form of authority. Such a relationship implies a conflict of interest. Any consensual relationship that constitutes a potential conflict of interest must be reported to the Evaluative Authority's supervisor by the Evaluative Authority. The conflict of interest must be resolved. If an Evaluative Authority fails to report, then the Office of Equity and Diversity will investigate and take action as appropriate.

Ms. Jordan reviewed with the committee the internal processes and steps that led to the creation of the new policy and explained that all applicable state and federal laws had been consulted. She told the committee that, previously, four different such policies had been found on campus, and the new policy provides standardization and uniformity. Chairman DeCarlo asked Ms. Jordan if she knew of any such conflicts that currently exist on the campus. She responded that ones the institution was aware of have been resolved. Trustee Grisham asked if the policy would apply to faculty-student relationships. Ms. Jordan responded affirmatively, indicating that it covers any types of evaluative relationships that might exist on campus.

Trustee Farnor moved that the policy be approved by the committee. Trustee Ramsey seconded. The motion passed unanimously.

## **V. Proposal for a Pilot In-State Equivalent Tuition Rate for Social Work BSW and MSW programs in Asheville and Abingdon**

Background

ETSU's Mission Statement asserts that "Education is the university's highest priority." It further elaborates that "the institution is committed to increasing the

level of educational attainment in the state and region” and that it “honors and preserves the rich heritage of Southern Appalachia . . . and is actively engaged in regional stewardship.”

- ETSU’s Strategic Plan includes a priority to have enrolled by 2026 (1) 18,000 students on campus, on-line, or at a remote location and (2) 3,500 out-of-state and international students.
- ETSU is pursuing—as a growth agenda—a strategic priority that envisions expanding “the University’s geographical footprint through revision of its tuition policy as it relates to out-of-state students.”
- No department at ETSU has pursued more aggressively the goal of expanding ETSU’s regional geographical footprint than has the Department of Social Work. Its commitment to the extended campus is represented by approved teaching sites where it offers programs in Kingsport, Sevierville, Abingdon, and Asheville.

#### Proposal for Pilot

The Department of Social Work requests authorization to initiate a pilot program of “in-state-equivalent” tuition for all out-of-state students enrolled in the Department’s Baccalaureate and Masters programs at its approved teaching sites in Virginia and North Carolina.

- The three-year pilot would apply to all students enrolled in ETSU’s Social Work program cohorts and cost centers beginning with the Fall term (2017-18) and extending through the Spring term (2019-20).
- The pilot would apply to students in both the Baccalaureate program (BSW) in Virginia (currently, Abingdon) and to those in the Master’s degree program (MSW) in both North Carolina (Asheville) and Virginia (currently, Abingdon).

#### Rationale for Supporting Pilot

The purpose of the pilot program is to provide a method for increasing applications and consequent admissions to both BSW and MSW programs at both locations by removing the financial disincentive prospective applicants in the region encounter when weighing their options about pursuing their education at ETSU as opposed to public or private universities in either of these non-Tennessee locations.

- It is particularly appropriate that the pilot involve Social Work because the department has an historical commitment to access.
- The added benefit of increasing ETSU enrollment in these areas is that of attracting an ever-larger proportion of the available market, discouraging attempts by

competing institutions to duplicate ETSU programming in our target areas by “soaking up” the most attractive applicants.

- Apart from programming costs to the department (each site—whether in-state or out-of-state— quite unique), our goals remain the same: (1) expanding the contributions offered by the Department of Social Work through its BSW and MSW programming to residents throughout and across our multi-state region, (2) reaching out to new populations of potential students as a method to overcome the geographic challenges mountains and distances provide, (3) generating revenue for ETSU and with that portion of revenue allotted to the Department of Social Work in order to expand the resource base from which it can address its mission, and (4) improving the quality and relevance of professional/academic programming on behalf of a region that desperately needs it.

- Additional indicators of success include development of additional programming sites (this primarily relating to Virginia) and/or implementation of additional dimensions of departmental programming (e.g., the introduction of elements of BSW programming in Asheville where none currently exists).

- Caveat: What is proposed here is essentially a programming initiative rather than a careful, tightly controlled experimental study. The purpose is not that of “studying” the effects of an experimental tuition for certain out-of-state students but rather that of concluding whether such an initiative can be successfully employed as part of a comprehensive effort to market BSW and/or MSW educational opportunities toward the goals of achieving market dominance within our geographic/service region.

#### Evaluation of Pilot:

The 3-year period specified for this pilot is necessary for purposes of (1) communicating the competitive costs of our programming to prospective applicants (some of whom are still one or more years removed from being eligible to apply to our programs), (2) examining marketing, recruiting, admission, and capture dynamics as we expand the footprint of our programming into additional market areas of Virginia well beyond the “Border Compact” (e.g., the Wise or Richlands areas), and (3) providing sufficient data to enable some comparisons of market yield and relative revenue generation across pre- and active pilot periods. Success will be measured in terms of applications received, applications accepted, actual enrollments, “capture rate,” student retention, and successful pursuit of graduation revenue generation. The Department will seek from those data to determine distinctive factors from out-of-state sites compared to Tennessee programming locations. Data on these same variables will also be compared for out-of-state programming locations only looking for significant changes between pre- and pilot implementation periods.

Dr. King explained that there is a clear need for these programs in the designated areas and that out-of-state tuition is a major hurdle. Trustee Powell moved that the proposal be adopted. Trustee Ramsey seconded. The motion passed unanimously.

## **VI. Proposal for a Pilot In-State Equivalent Tuition Rate for Community Colleges of Appalachia**

### Background

- ETSU's Mission Statement asserts that "Education is the university's highest priority." It further elaborates that "the institution is committed to increasing the level of educational attainment in the state and region" and that it "honors and preserves the rich heritage of Southern Appalachia . . . and is actively engaged in regional stewardship."
- ETSU's Strategic Plan includes a priority to have enrolled by 2026 (1) 18,000 students on campus, on-line, or at a remote location and (2) 3,500 out-of-state and international students.
- ETSU is pursuing—as a growth agenda—a strategic priority that envisions expanding "the University's geographical footprint through revision of its tuition policy as it relates to out-of-state students."
- The Center for Community College Leadership (CCCL) at ETSU was established in 2016. It is committed to be the preeminent source for leadership training, both in the form of graduate degree credit instruction and professional development, for faculty and staff at community colleges in Tennessee and throughout Appalachia.
- The Community Colleges of Appalachia (CCA) is a voluntary association of public community colleges serving the common interests of member colleges and their communities through programs and services responsive to the unique cultural, geographic, and economic development challenges facing the region. The CCA footprint is that of the Appalachian Regional Commission, which represents portions of 13 states. The ARC is a sponsor of the CCA.

### Proposal for Pilot

- The Department of Educational Leadership and Policy Analysis requests authorization to initiate a pilot program of "in-state-equivalent" tuition for faculty and staff of CCA member institutions enrolled in the Department's graduate higher education programs: Master of Education in Student Personnel, Doctor of Education in Postsecondary and Private Sector Leadership, and Certificate in Community College Leadership.
- The designated graduate programs serve three levels of career and leadership development to address the needs of faculty and staff at different stages in their



career: post-baccalaureate masters education; post-masters community college-specific certificate; and post-masters doctorate. It should be noted that the certificate program, which was launched in Fall 2016 as part of the CCCL proposal, is designed as a standalone credential or as a concentration of the Doctor of Education.

- The three-year pilot would apply to all eligible students enrolled in the designated programs beginning with the Fall term (2017-18) and extending through the Spring term (2019-20).

#### Rationale for Supporting Pilot

- The purpose of the pilot program is to initiate a collaborative relationship between ETSU and the CCA that will be of mutual benefit in fulfilling their respective missions. Other dimensions of the relationship will include the CCA executive director and CCA campus presidents serving on the advisory committee of the CCCL, and collaboration in the design and conducting of targeted professional development events for faculty and staff.
- The pilot will advance the ability of CCCL to strategically serve and influence community college leadership in Appalachia.
- All instruction in the designated programs is online, which lessens the significance of students' residence and physical location of instruction. It should be noted, however, that seminars, workshops, and symposia may be convened at ETSU or other locations as part of the programs.
- It also should be noted that the proposal anticipates that over time, faculty and staff from virtually every member college of the CCA could earn graduate credentials from ETSU. Current membership of the CCA includes 68 institutions in states other than Tennessee.

#### Evaluation of Pilot

- The three-year period specified for this pilot is an appropriate period from which to assess the effectiveness of marketing, recruiting, and admissions, as well as whether the expectations of the CCA are met successfully.
- Success will be measured in terms of applications received, applications accepted, actual enrollments, student retention, and successful completion.
- Continuation of this collaborative relationship beyond the pilot period will be subject to approval by ETSU and CCA.

Dr. King emphasized that this relationship will serve to strengthen community college leadership across several states. Trustee Ramsey made a motion that the proposal be approved. Trustee Powell seconded. The motion passed unanimously.

## **VII. Budget for 2017-18**

Dr. King explained that budget requests were based on Governor Haslam's appropriation and tuition and fees. Included is a three percent pool for employee salary increases, 60 percent of which is funded by the state. ETSU must cover the other 40 percent. She explained that since ETSU is now a locally-governed institution, comparative data from other schools will not be available until they complete their governing board processes. She said the new ETSU budget is based on a 3.97 percent increase in tuition.

Dr. King told the board that this budget represents an investment in people. Two percent salary increases will be given across the board, with the other one percent covering equity adjustments. She said that out of an approximately \$2.7 million increase for the main campus, some \$2 million will directly represent an investment in people, primarily in the form of new faculty positions.

Trustee Grisham asked if figures listed under student services and scholarships included money to help underserved populations. Dr. King responded in the affirmative, adding that ETSU has pushed scholarship increases and the creation of new scholarship programs and has improved its marketing of scholarship programs.

Chairman DeCarlo asked about the transparency of the budget process. Dr. King responded that there has been a much higher level of transparency in the budget process this year—that meetings have been open and materials made available widely, including posting on the web. She said the goal of the process is to let everyone have a voice. She told the board that “next year's budget starts today” and that a list of items that did not get covered in this proposed budget is already being assembled. She said that in order to help students with their financial planning, her desire is to gain board approval for fees by April 27 of next year and perhaps even earlier in years after that. She said it would be advantageous to have budget hearings in September, once fall enrollment figures are known.

Trustee Grisham made a motion that the budget for 2017-18 be approved. Trustee Powell seconded. The motion passed unanimously.

### 2017-18 Budget Totals:

Main Campus: \$245,630,700

College of Medicine: \$58,799,300

Family Medicine: \$16,241,800  
College of Pharmacy: \$11,458,300

### **VIII. Presentation: An Introduction to University Physical Plant and Current Capital Projects**

Dr. Noland and Mr. Rasnick updated the committee on the status of current and future capital projects across campus and university physical plant operations. Dr. Noland indicated that one of the purposes of the presentation was to provide a sense of the complexity of the campus and that in the future, he hopes to set up work sessions so that committee members can get a first-hand look at the construction, improvement, and maintenance work being done. The presentation was divided into four parts: review of campus facilities master plan; review of current capital projects; review of local projects; and overview of staff, operations, budget, and utilities. (See handout and PowerPoint presentation on file.)

Dr. Noland reported that between now and September, much time will be spent working on the Capital Strategic Master Plan. He highlighted the West Walnut Street corridor as a potential growth zone for the university, with the possible acquisition of the Neebo property and some neighboring properties. Mr. Rasnick told the committee that the current master plan was completed in 2014 and that an update is targeted for 2019.

As called for in the housing master plan, Mr. Rasnick said all student housing units on campus are either new or have been renovated over the last 10 years. Some 3,000 beds now exist on campus. Discussions are now underway regarding next steps in improving campus housing opportunities.

Mr. Rasnick then reviewed vehicular and pedestrian circulation patterns on campus and raised the likelihood of a parking garage to be located on the eastern side of campus that might also include retail operations. He indicated that there are some opportunities for expansion on the west side of campus as well, where commercial property exists, and perhaps on the south side, when residential properties might come available.

Mr. Rasnick then reviewed existing Health Sciences Center space on the VA campus, where ETSU is in year 22 of a 35-year lease. He then gave a brief overview of ETSU's remote facility locations, including the Nave Center in Elizabethton; ETSU at Kingsport Downtown; ETSU at Kingsport, Allandale; ETSU's locations in Sevierville; ETSU's offices at Northeast State Community College; and ETSU's Valleybrook campus. Trustee Ramsey asked about current usage of the Allandale facility. Mr. Rasnick replied that many evening classes are still held there.

Mr. Rasnick described various capital projects in design, all in accordance with the master plan. Over \$100 million in projects are now in the design phase. The largest are D.P. Culp University Center additions and renovation at \$40,500,000 and the fine arts building at more than \$52,300,000.

Capital projects in the construction phase currently total almost \$50 million. Mr. Rasnick told the committee that some \$250 million in new construction has either been completed or has been in process over the past five years. In response to Chairman DeCarlo's question about how that compared to the previous five to 15 years, Mr. Rasnick said that for the last 20-year period, the total would approach \$750 million.

Dr. Noland continued the presentation by highlighting some smaller projects that will in actuality have a major impact on campus life and that are driven by strict deadlines and timetables. A case in point is the storm water drainage repair project, with a \$2 million price tag but of major importance to the structural integrity and safety of the campus. Dr. Noland commended Mr. Rasnick and his staff for juggling so many projects so skillfully.

Dr. Noland then focused attention on the construction of the new football stadium, which he said is on time and under budget. Ground was broken December 15, and the stadium should be completed in August. Seats are scheduled to arrive August 6.

Dr. Noland shared a number of drawings of the Martin fine arts center, noting that the project was approved at just over \$52 million by the State Building Commission. He said the updated exterior now blends well with the neighboring Millennium Centre. Among the building's major features will be a 1,200-seat main auditorium, a 200-seat recital hall, a "black box" theatre space, rehearsal areas, and faculty offices. Dr. Noland noted that the City of Johnson City's \$8 million investment allowed for the addition of 500 seats to the auditorium and various other improvements including HVAC. Ground will be broken at the start of the fall semester, with a goal for the opening being in November or December of 2019. Dr. Noland stressed the necessity of remaining within the specified budget. Chairman DeCarlo asked if the university would get money back if the cost were reduced, and Mr. Rasnick indicated that it would. Chairman DeCarlo then asked about who will be controlling the construction schedule, given the partnership with the city. Mr. Rasnick responded that the city has not been a part of those discussions and that the schedule is driven by the university, the architect, and Denark Construction. Dr. Noland added that once the center is opened, a committee will control the performance schedules. The city's financial investment guarantees it 10 public events per year. Trustee Farnor asked about features that had to be eliminated from the building plan. Dr. Noland replied that in order to keep the project within budget as required by the state, art, dance, aerial

dance, and bluegrass will not be included, but other spaces both on and off campus for those units will be considered.

Dr. Noland then presented an analysis of renovations and additions to the D.P. Culp University Center. The budget for the project is some \$40 million, encompassing an area exceeding 200,000 square feet. President Noland said more than 250 offices will have to be relocated when construction begins. One salient example is the entire Advisement Center, with over 48 work stations. Among the areas to be closed temporarily during construction will be the amphitheater, parking lot 35 between Culp and the Reece Museum, and retail food service in Culp. Completion is expected in late 2019 or early 2020. Dr. Noland stressed the importance of talking with the city about temporary or permanent acquisition of Millennium Centre, in part to accommodate these temporary displacements. In response to Chairman DeCarlo's question about the advantages that these renovations and additions will bring, Mr. Rasnick said that the building will be more student-centric and that the new spaces being created are a result of much student input. Dr. Noland and Mr. Rasnick pointed out that the changes in and around Culp are all part of making ETSU a more student-friendly campus.

Dr. Noland then turned to the work underway to renovate Building 60 on the VA campus, a building to be known as the Sim Center, since it will be the new home for medical simulation for Medicine, Pharmacy, Nursing, and Physical Therapy. Dr. Noland pointed out that the building will feature outdoor seating as well as food service, marking the first time that food service will be available in a building belonging to ETSU on the VA campus. The building is almost a century old, and many of its distinguishing features will be retained. The \$12.9 million, self-funded project began in January and should be complete by June of 2018. Trustee Ramsey inquired about the name of the architectural firm, and Mr. Rasnick indicated that it is Red Chair out of Knoxville.

The presentation continued with Mr. Rasnick describing how local projects are carried out on campus. Funds for these projects typically come from departmental budgets. In 2016, for example, 187 such projects were requested, and 129 of those were completed, for a total of almost \$1 million. In addition, Mr. Rasnick told the committee that Facilities Management receives almost 20,000 work orders a year. After those jobs are completed, a customer satisfaction survey is sent, and the positive response rate is consistently around 88 percent.

Mr. Rasnick also shared peer comparison data for several categories of Facilities Management work. ETSU compares favorably in almost all categories. For example, during fiscal year 2014-15, for main campus custodial work, ETSU spent \$1.07 per square foot, whereas southeastern region peers spent \$1.19. The national average was \$1.41. Custodial costs in terms of full-time enrollment were also lower, with ETSU

at \$281.84 per FTE, southeastern peers at \$395.98, and the national average at \$404.44. Main campus maintenance proved lower as well, with ETSU at \$1.06 per square foot, southeastern peers at \$1.37, and the national average at \$1.63. Computed per FTE, maintenance costs for that same year equated to \$280.38 at ETSU, \$487.81 for southeastern peers, and \$482.03 nationally. Grounds costs per FTE at ETSU that year were \$91.76, while southeastern peers reported \$146.12 and the national average was \$129.09. Trustee Ramsey asked about whether Governor Haslam's outsourcing proposal would be effective at ETSU. Mr. Rasnick responded that the numbers show it would not. He said the benchmarking data clearly pinpoint efficiencies at ETSU, plus the quality of work being done by campus personnel is excellent. Mr. Rasnick added that ETSU has experienced some struggles in recruiting people, but those were minor compared to what is happening in other parts of the state.

Mr. Rasnick went on to highlight further efficiencies in energy usage on campus. For fiscal year 2014-15, he reported, ETSU's energy costs per square foot were \$1.55, compared to \$2.27 for southeastern peers and a national average of \$2.31. Mr. Rasnick also provided the committee with detailed tables listing usage and costs for electricity, gas, water, and sewer. Chairman DeCarlo asked if ETSU is able to negotiate discounts. Mr. Rasnick responded that the university purchases gas on the futures market and locks in rates when they are low. In addition, ETSU has been able to take advantage of a new billing rate for commercial customers offered by the Johnson City Power Board, resulting in savings of around \$400,000 a year.

Dr. Noland added that ETSU now has an energy manager, a new position added within the past two years. He also pointed out that ETSU intends to become the first institution in the state system to sever from the Board of Regents on locally managed projects. And he reported that boiler replacement is underway on campus, finalizing the shift away from coal to natural gas.

Chairman DeCarlo and the committee commended Dr. Noland and Mr. Rasnick for the thoroughness of their report and acknowledged the outstanding work being done all across campus by ETSU staff.

## **IX. Other Business**

There was no other business to come before the committee.

## **X. Adjournment**

The committee meeting adjourned at 11:17 a.m.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Approval of the Minutes of June 9, 2017

COMMITTEE: Academic and Student Affairs Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: David Linville, Secretary

The minutes of the June 9, 2017 meeting of the Academic and Student Affairs Committee are included in the meeting materials

**MOTION: I move that the Board of Trustees adopt the resolution, approving the minutes as outlined in the meeting materials.**

**RESOLVED: The reading of the minutes of the June 9, 2017 meeting of the Academic and Student Affairs Committee is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.**

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

MINUTES

June 9, 2017  
Johnson City, Tennessee

The East Tennessee State University Board of Trustees Academic and Student Affairs Committee met at 9:30 a.m. on Friday, June 9, 2017, in Meeting Room 3 of the D.P. Culp University Center on ETSU's main campus in Johnson City, Tennessee.

I. Call to Order

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

II. Roll Call

Deputy Secretary Mr. Nathan Dugger called the roll and declared that a quorum was present. Committee members in attendance were:

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

Guests in attendance included: Dr. Wilsie Bishop, Vice President for Health Affairs; Dr. Lauren Collier, Director of Institution and Board Affairs, Tennessee Higher Education Commission; Karen Ervin, Assistant Dean for Finance and Administration, College of Public Health; Dr. Mike Hoff, Associate Vice President of Planning and Decision Support and Chief Planning Officer; Myra Jones, Associate CIO and Chief of Staff for Information Technology Services; Dr. William Kirkwood, Vice Provost for Undergraduate Education; Dr. Brian Noland, President; Dr. Joe Sherlin, Vice President for Student Affairs; and Jennifer Hill of University Relations (taking minutes).

III. Approval of the Committee Minutes from April 24, 2017

Trustee Alsop made a motion to accept the minutes from the April 24, 2017, meeting of the Academic and Student Affairs Committee. Trustee Golden seconded the motion and the minutes were unanimously approved.



#### IV. Promotion and Tenure of Faculty Members

Dr. William Kirkwood, on behalf of Dr. Bert Bach, Provost and Vice President for Academic Affairs, called committee members' attention to the listing in their packets of ETSU faculty being recommended for tenure and promotion; he pointed out that some of the individuals recommended had applied for tenure or promotion earlier than the designated time and one individual was recommended for tenure upon appointment, and both of these situations are allowed for in university policy.

Because this was the committee's first time reviewing these recommendations, Dr. Kirkwood reviewed the university's process by which the list is formulated. He noted that tenure is an important milestone in a faculty member's career, and is also important to the university in that it helps assure the quality of the faculty and the student experience. In addition, he stated that promotion is important because it recognizes the excellence of the faculty and affirms the excellence of the institution. Dr. Kirkwood explained the review process: a faculty member spends weeks preparing a digital dossier in application for tenure/promotion, which is reviewed by a departmental committee, the departmental chair, a college-level committee, the college dean, the vice president for Academic Affairs or vice president for Health Affairs, and the university president before being recommended to the Board of Trustees for final approval. He stressed that this review process is rigorous, and each dossier undergoes intense scrutiny; there are no "rubber stamps" or foregone conclusions in the process, as each level of review is independent of earlier levels. Dr. Kirkwood stated that tenure affirms that a faculty member is worthy of becoming a long-standing member of the ETSU community and worthy of the rank bestowed, which carries with it recognition of the individual's achievement. He said that the individuals recommended are deserving and that ETSU is well served by bestowing tenure and promotion on them.

Chair Latimer asked if any of the candidates reviewed had any pending personnel or disciplinary actions against them, and Dr. Kirkwood replied that to his knowledge, there were none. Trustee Alsop noted that there are two points at which a faculty member may appeal, and Dr. Kirkwood said that one of the most important parts of the review process is due process, and this is followed meticulously for the sake of both the applicants and the university. Trustee Ayers asked if any candidates were denied in this year's process. Dr. Kirkwood said that if memory served, there may have been one or two individuals who withdrew their applications late in the process when it became apparent that they would not receive a recommendation or that the application would be denied. Dr. Wilsie Bishop added that in the Division of Health Sciences, there were no denials for tenure, but four applications for promotion were turned down. President Brian Noland referred back to the point regarding the appeals process, noting that this is the first year during his tenure as president that there has not been an appeal that went through an appellate review at the committee level; he pointed out that when a tenure decision is appealed, there is an opportunity to appeal to the Board of Trustees, but no applications fall under that circumstance this year.

Sixteen ETSU faculty members were recommended for promotion to the rank of full professor; their names and departments are: Randy Byington, Allied Health Sciences; Saravanan Elangovan, Audiology and Speech Language Pathology; Travis Graves, Art and Design; Christopher Gregg, Geosciences; Diana Heiman, Family Medicine; Thomas Jones and Dharendra Kumar, Biological Sciences; Scott Kirkby, Chemistry; Jill Leroy-Frazier, Continuing Studies; Leslie McCallister, Sociology and Anthropology; Sun-Joo Oh and Christian Zembower, Music; Eric Sellers and Jon Webb, Psychology; Wael Shams, Internal Medicine; and Martha Whaley, Medical Library.

Recommended for promotion to associate professor were the following 33 faculty members: Arsham Alamian and Liang Wang, Biostatistics and Epidemiology; Lana Becker, Accountancy; Thomas Bishop, Family Medicine; Teresa Boggs, Audiology and Speech-Language Pathology; Patrick Brown and Jonathan Peterson, Health Sciences; Shirley Cherry, Allied Health Sciences; David Cluck and Nicholas Hagemeyer, Pharmacy Practice; James Denham, Section of Medical Education; Brad DeWeese and Kimitake Sato, Sport, Exercise, Recreation and Kinesiology; Matthew Fehskens, Literature and Language; Stacey Fisher, Curriculum and Instruction; Bethany Flora, Educational Leadership and Policy Analysis; Jennifer Gibson and Jackson Williams, Pediatrics; Colin Glennon, Political Science, International Affairs and Public Administration; Charles Gorman, Management and Marketing; Andrew Herrmann, Communication and Performance; Kristi Julian and Mohammed Uddin, Engineering Technology, Surveying and Digital Media; Carolyn King, Sociology and Anthropology; Dinah Mayo-Bobee, History; Mary Mullins and Brittany Wilkins, Social Work; Jennifer Pealer, Criminal Justice and Criminology; Marina Roginskaya, Chemistry; Andrew Ross, Art and Design; Zachary Walls, Pharmaceutical Sciences; Susan Waters, Media and Communication; and Dima Youssef, Internal Medicine.

The following 25 faculty members were recommended for tenure in addition to their promotions: Alamian, Becker, Bishop, Brown, DeWeese, Fehskens, Fisher, Flora, Glennon, Gorman, Hagemeyer, Herrmann, Julian, King, Mayo-Bobee, Mullins, Pealer, Peterson, Roginskaya, Ross, Sato, Uddin, Wang, Waters and Wilkins.

The following seven faculty members were also recommended for tenure: Erin Doran, Jessica Lee and Daniel Tadlock, University School; Jean Hemphill, Graduate Studies; Matthew Potterton, Music; Laura Robertson, Curriculum and Instruction; and Zachary Walls, Pharmaceutical Sciences.

Trustee Golden moved that the Academic and Student Affairs Committee approve the recommendation of tenure and promotion as presented. The motion was seconded by Trustee Ayers and approved unanimously.

Between presentations, President Noland asked the Committee to recognize that he was moving between committee meetings and that he would need to leave to give a presentation to the Board of Trustees' Finance Committee.

## V. A Review of the Teaching Profile of ETSU by Time Status and Tenure Status

Dr. Mike Hoff noted that his presentation would provide further explanation of what the action previously taken regarding tenure and promotion means within the instructional environment of ETSU. In introducing his remarks, he noted that a stable and supportive faculty with a good percentage of tenured faculty members is necessary at a robust, comprehensive university.

In a PowerPoint presentation, Dr. Hoff shared data from the Integrated Postsecondary Education Data System (IPEDS) in giving a snapshot of ETSU as compared to a group of peer institutions. ETSU's total enrollment in 2015 was 14,334 (including medical and pharmacy students but not residents), compared to the peer average of 18,135. He reminded Committee members that ETSU's goal in its Strategic Plan is to reach 18,000 students, and that the administration believes the university can reach that goal. He said a common question asked in discussions regarding such growth is, "What does the institution have to change right away to accommodate that growth?" Faculty, he said, is one of the answers. ETSU had 1,083 instructional faculty in 2015 compared to the peer average of 1,032; while ETSU is, therefore, similar in size to its peers, it is different due to the presence of its professional schools in medicine and pharmacy. Dr. Hoff said that if the medicine and pharmacy faculty are removed from those numbers and one looks only at undergraduate enrollment, the ratio of faculty to students in the peer group is two points ahead of ETSU's. He stated that ETSU could add 1,200 undergraduate students without adding staff; he noted that the numbers of faculty might not be in the right places, and it would be incumbent upon the institution to figure out the proper placement. He said that ETSU's faculty-to-student ratio in 2015 was 17 compared to the peer average of 18.4, and if that average were to hold, ETSU would still have sufficient faculty to support a larger student body. He gave the median teaching load – or the number of courses a faculty member teaches each semester – as three, which is also the mode – the most frequent number of courses a faculty member teaches at ETSU. Dr. Hoff added that if ETSU can reach 18,000 students without increasing its staff size, the resulting money could be converted into salary and equity enhancements.

Dr. Hoff showed that ETSU is in the middle of its peer group in terms of peer faculty tenure status at all ranks with 73.35 percent in 2015; the peer median was 71.32 percent.

From ETSU census files, Dr. Hoff showed university-level hours by faculty type, looking at headcount and the percent of full-time and tenured faculty. ETSU's percentage of full-time faculty was 55 in 2015 and 2016. ETSU has increased its number of adjunct faculty to 372 from 358. Dr. Hoff noted that while there is talk regarding this increase, the numbers show that the percentage of total hours taught is still within the 22 percent range, indicating that the adjunct instructor population is not overloaded and that classes are staffed appropriately at all levels, with higher numbers of adjunct faculty teaching general education courses.

Dr. Hoff shared information on the percent of hours by faculty type and both location and hour type. In 2016, 51.9 percent of credit hours on the main campus and 25.3 percent of credit hours in other locations were taught by tenure and tenure-track faculty; 22.4 percent of credit hours on the main campus and 28.6 percent of credit hours in other locations were taught by adjuncts. Dr. Hoff noted that different approaches are taken to staffing courses at satellite locations; some satellite locations with more adjunct activity see more instructors drawn from the local population, while some departments have been able to hire full-time faculty for courses with enough support in the markets in which they are offered. He said the same holds for online courses; while there has been an increase in online education, the numbers of tenured and tenure-track faculty remain stable because content area experts are needed, and this allows students to interact with faculty in their fields.

With a slide on the percent of university credit hours by college, Dr. Hoff pointed out that the College of Arts and Sciences retains the highest percentage with 51 percent in 2016; while this percent is down from 55 in 2012, it indicates that the institution is becoming more diversified in its academic portfolio, with an increase in the number of credit hours offered in the health sciences over the past five to 10 years.

When discussing the distribution of tenure/tenure-track hours by college, Dr. Hoff noted most have remained stable. He said Clinical and Rehabilitative Health Sciences showed a decrease, which was the result of some positions being vacant, but these have been filled and the percentages will go up in the next year's figures.

A slide on credit hours by faculty type looked at the percentages of full-time faculty for lower division, upper division and graduate credits.

In summary, Dr. Hoff said the data indicates the institution is appropriately staffing to meet the demands of its educational mission, and peer comparisons indicate ETSU has the instructional staff to handle an increase in enrollment. The percent of tenured and tenure-track faculty is just above the peer average; there has been growth in the headcount of part-time faculty, but the percent of hours taught has remained stable. He noted that ETSU uses a peer group appropriate to measure itself on where the university is headed relative to its strategic plan, as opposed to in-state peers; institutions in ETSU's peer group include Oakland, Southern Illinois-Edwardsville, Indiana State, Texas Woman's, Marshall, Sam Houston State, Georgia Southern, Florida Atlantic, Old Dominion, East Carolina, Central Michigan, Ball State, and Wright State (main campus) universities, along with the universities of Arkansas-Little Rock, Northern Colorado, North Carolina-Charlotte, North Carolina-Greensboro, Missouri-Kansas City, and South Alabama.

## VI. ETSU Online: A Report on Quantitative and Qualitative Dimensions

Myra Jones, on behalf of Dr. Karen King, CIO and Senior Vice Provost for Information Technology Services, shared a PowerPoint presentation starting with the

history of ETSU's online education effort, which began in 1997 with the first online class in dental hygiene; ETSU's first fully online program was the Dental Hygiene Degree Competition Program, which went online in 2001, was the first online dental hygiene program in the country, and remains popular, drawing students from throughout the United States.

ETSU currently has about 50 programs that are online, Ms. Jones said. These programs draw two different populations of students: the first is students who take online courses in conjunction with on-ground programs for a variety of reasons, and the second is students enrolled in fully online programs. Ms. Jones explained that with some of the online programs, students never come on campus, while with others, they do occasionally come to campus but communicate with their faculty and fellow students via technology. Of ETSU's online programs, 40 are at the graduate level, including concentrations and graduate certificate programs. Eight undergraduate programs are online. Ms. Jones pointed out that while some still subscribe to the early philosophy that online education is more appropriate for graduate programs due to the student independence that is required, research has indicated that students can be successful in online studies at both the undergraduate and graduate levels.

Ms. Jones noted that online courses play an important role in ETSU's growth initiative; this is one of the first places looked to for growth, because infrastructure is not a problem. Faculty and other resources are needed, but the university does not have to find classroom space for these additional students. It also tends to be where students are headed these days; both traditional and non-traditional students like the convenience and flexibility of taking their courses online.

Ms. Jones said ETSU set 2008 as its baseline when it began tracking growth and started building online education. Information Technology Services (ITS) tracks fall to fall and spring to spring because online enrollments are always higher in the spring. ETSU Online has grown 114% for fall enrollment, from 5,107 students in 2008 to 10,953 in 2016, and about 142% for spring enrollment, from 5,226 in 2009 to 12,662 in 2017. Ms. Jones noted that ITS provides compensation to ETSU's colleges from fees for the online courses they offer, and the tracking numbers help the colleges see how they are doing. She pointed out that there was a jump in online enrollment in spring 2012 from the implementation of the winter session, which counts as part of our spring semester.

Ms. Jones shared a slide showing the 2001 and current enrollments at several well-known online programs nationwide to illustrate the rapidly changing environment of online education. In 2001, the University of Phoenix had 29,000, Capella had 28,372, and Southern New Hampshire had 2,000. Currently, the University of Phoenix has 213,000 (down from 460,000 five years ago), Capella has 37,708, and Southern New Hampshire has 63,000. Western Governors, which was founded in 1997, now has 76,722; Purdue, which just acquired Kaplan, has 45,355; Coursera, EdEx, and ETSU, through OpenBucks, have gotten into the massive open online courses (MOOCs) movement; and the University of Tennessee-Knoxville has not developed a big online program, preferring to focus on on-ground education. Ms. Jones stated that most institutions that have ventured into online education have seen notable growth, but experts believe this will level off as the field becomes more competitive. She also pointed out that research shows most online students come from within a 150-mile

radius of a campus, so they are still regional students, but some of the institutions that have experienced the largest growth, such as Southern New Hampshire, have learned how to market nationwide to draw students to their programs. She noted that MOOCs, which offer content online at no charge for anyone who wishes to consume it, were highly popular at first but have leveled off; institutions, including ETSU, found that people are really interested at first but tend not to follow through as other commitments intrude. Ms. Jones said unlike some other MOOC programs, ETSU offered a path to credit, through which participants who did well and wanted to earn academic credit after completing the course could do so with some additional work and a nominal fee. ETSU offers three MOOCs – one history and two introductory classes in music and psychology – and when these started four years ago, hundreds of students enrolled each semester; today, approximately 50 students enroll each semester, and of those, about three decide to take the path to credit. Ms. Jones says this program introduces online education risk-free to students who might not otherwise try it or who might not otherwise be aware of ETSU.

Ms. Jones discussed ETSU Online's marketing efforts for the fall 2017 semester, which include ongoing course and program support through digital marketing, social media, design and production. In addition, ITS sent 5,696 emails focusing on the flexibility and convenience of online courses to students who were eligible to return but had not registered and to part-time students; of those, 3,175, or 56 percent, were read. She said ETSU has stayed consistent in its messaging, stressing quality, convenience and flexibility. One of the big differences between ETSU and other schools offering online education is that the same people who teach online are the same people who teach on-ground courses, which gives ETSU's online students the same quality of instruction online as anywhere else. Other highlights of ETSU's efforts include: good support for online students so they can call and get help in a variety of areas; the eRate for students who are out-of-state and taking solely online programs, which is not as low as in-state but is about half-way between in-state and out-of-state tuition; and scholarships. ITS is also working on targeted ad campaigns for departments with online programs that have been identified as being poised for significant growth; this effort is yielding an increase in inquiries. Ms. Jones said ETSU Online has seen a 5 percent increase in web traffic since March 24, which does not seem like much but is actually a nice increase in light of already high web traffic and yields a 16 percent increase in brand-new users.

Following a request for proposals, ETSU Online has met with and issued a letter of intent to work with Apollidon, a third-party marketing company based in Florida, to assist in its marketing efforts. Apollidon will conduct significant up-front market research to determine what ETSU needs to focus on and what programs will work best, followed by professional design work and other sorts of support. Ms. Jones said the primary value in this effort is that Apollidon will put significant money and resources into up-front marketing, both nationally and internationally, to bring in students, and the trade-off is a percentage of enrollment fees. She said that one thing that differentiates Apollidon from other firms is program exclusivity; for instance, if they market ETSU's dental hygiene completion program, they will not market a like program for another institution.

Ms. Jones also discussed ETSU's involvement in statewide online education efforts, which began with the Regents Online Degree Program (RODP) through the Tennessee Board of Regents system in 2001 and are now coordinated through TN eCampus. Through the RODP, ETSU students could take needed courses from other TBR schools with a seamless transfer of credit. Ms. Jones explained that the RODP struggled with accreditation issues and took away from work ETSU was doing itself. Nursing was ETSU's biggest program offered through TN eCampus, and the College of Nursing has announced it will withdraw, so this summer is its last semester on eCampus. We still have a couple of programs offered through TN eCampus. Ms. Jones noted that the majority of ETSU enrollments in these statewide efforts are students who need a class that is already full on campus or that is not available at ETSU. She said permits are once again required for ETSU students to take courses through TN eCampus; if a student wants to take a course through TN eCampus that ETSU does not offer, he or she may take that course, but if a course needed is offered by ETSU Online, he or she will be put in that course, which provides a better value for the student, as the fees are lower.

Ms. Jones stated that one of the biggest concerns with online education is quality, and one step ETSU is taking to ensure a high quality standard is implementation of a Master Online Teacher program. This features college liaisons for all colleges except Medicine and Pharmacy, which do not offer online courses. The liaisons are experienced online teachers who have done excellent work and are willing to share their experiences with other faculty. They work with ITS regularly to develop policies and procedures, as well as to talk about problems in online education and what can be done to help departments, faculty, and students. They provide our faculty oversight within the colleges, which is required by the Southern Association of Colleges and Schools (SACS) Committee on Colleges. The Master Online Teachers are chosen and retained based on rigorous criteria, and are rewarded through recognition and a stipend. Other quality assurance measures ETSU is taking are providing monetary incentives to faculty developing online classes; revising the ETSU Online Memorandum of Understanding to raise the standards required for approval of online courses, using best practices standards set forth by Quality Matters; and requiring training and assessment for faculty teaching online courses.

Ms. Jones said internal research shows that there is little difference in the grades earned by online and on-ground students, and ITS is confident it is upholding quality. Ms. Jones stated ETSU follows the federal guidelines that must be followed for SACS, noting that there is a higher level of responsibility for online programs through SACS than on-ground programs. All of ETSU's online programs go through the same approval process as its on-ground programs, with the only difference being the method of delivery.

Trustee Golden asked how hybrid courses show up in the statistics, and Ms. Jones said that hybrid courses are considered online courses. She said that according to the SACS definition, a course with 50 percent or more of its material online is an online course.

Trustee Golden asked if ITS has used focus groups of students who have registered and taken online courses to gather information on their experiences. Ms. Jones said that has been done on a small scale, and a student advisory group was recently

established to help ITS learn about the members' challenges and suggestions for improvement. Trustee Golden noted that he is the parent of a child who has gone through some of the online courses at ETSU, and he believed that that would be a rich opportunity there. He also inquired about feedback on ETSU's GoldLink course registration system. Ms. Jones said there is a place for students to provide feedback on GoldLink, and usability testing has been conducted using students. Ms. Jones told Trustee Golden that ITS would gladly receive his feedback. Trustee Golden noted that the GoldLink system could be a student's introduction to the online interface with the university, and that a good experience with it could translate to other online opportunities. Trustee Golden also asked if he could provide a referral list of individuals who are interested in a high-demand area, such as a K-12 STEM (science, technology, engineering and mathematics) graduate certificate, and Ms. Jones indicated that ITS would be glad to receive such a list, as finding contact lists for marketing efforts is a challenge.

Trustee Ayers asked about the benefits and drawbacks of TN eCampus, particularly regarding enrollment and financial impact. Ms. Jones said TN eCampus gives students access to opportunities not offered by ETSU, citing the nursing collaboration between ETSU, the University of Memphis, Middle Tennessee State University and Tennessee Tech as an example, which allows a broader range of courses and faculty. The negative aspects, she said, are that fees are higher for students and ETSU loses money when tuition dollars go to the other schools and to the TBR. Ms. Jones said that ITS likes to bring such programs in-house and work on dual arrangements with other universities, which allows ETSU to provide richer opportunities to its students while having more control over the educational experience, as SACS requires.

Trustee Ayers indicated that it would be good to promote ETSU's online offerings in such a way that more dollars would go to ETSU.

Chair Latimer noted that she had many questions, also, and said that a future Board of Trustees orientation session could involve members pretending they are students to try GoldLink or online courses to get a feel for them. She asked Committee members to let her know their suggestions for orientation topics and potential dates.

Trustee Alsop praised the marketing and course development efforts to bring ETSU's online offerings to the forefront. He said he has always questioned what the university knows about the students taking online courses and how much outside help they might be getting, which could compromise grade sanctity. Ms. Jones noted that ETSU is following best practices to maintain course security, and some courses employ proctored online exams, in which a student scans the room with a camera to ensure no one else is in the room and shows ID before taking the test. The university uses anti-plagiarism software to ensure the integrity of papers submitted, and finds that the trust factor and the threat of being caught are usually enough to prevent cheating.

## VII. Memorandum of Understanding with Mountain States Health Alliance

Chair Latimer noted that this item was taken out of order from the published agenda. In introducing her presentation, which included PowerPoint slides, Dr. Wilsie Bishop provided the Committee an overview of ETSU's Academic Health Sciences Center



(AHSC) to help members understand its complexity, as well as the complexity of its relationship with Mountain States Health Alliance.

Dr. Bishop noted that there are about 130 AHSCs in the country, and the requirement for this designation is a college of medicine and at least one other college in the health sciences; ETSU is among the more complex AHSCs in the country because it is comprised of five colleges: the Quillen College of Medicine, College of Clinical and Rehabilitative Health Sciences, College of Nursing, Gatton College of Pharmacy, and College of Public Health. ETSU offers 16 baccalaureate degrees, 12 master's degrees, and 12 doctoral degrees, as well as joint M.D./M.P.H., joint Pharm.D./M.P.H. and joint Pharm.D./M.B.A. degrees. ETSU enrolls around 4,000 students and graduates about 1,000 students each year; has 463 full-time faculty, not including clinical faculty in the community that assist with the teaching of our medical, pharmacy, and other health sciences students; and has 260 medical residents. In sharing a slide showing the breakdown of the AHSC's 4,000 students and the programs they are in, Dr. Bishop noted that the two professional schools, Medicine and Pharmacy, are treated a little differently from the other schools in relation to program development and approval, but go through the same budget development and tenure and promotion processes as the rest of the colleges. She said the College of Clinical and Rehabilitative Health Sciences is comprised primarily of the traditional allied health professional schools – Radiography, Respiratory Therapy, Physical Therapy, Audiology and Speech-Language Pathology, and Clinical Nutrition. Dr. Bishop said the college is so named as the focus on both clinical and rehabilitative programs puts it on a level and status that is extremely important within the health sciences and could help in garnering support for research efforts.

Dr. Bishop said the College of Nursing is approximately 12 students short of being the largest nursing school in Tennessee. The college offers a number of degree and certification programs from baccalaureate to doctoral, and attracts students right out of high school, individuals looking to change careers to nursing, and nurses wishing to become nurse practitioners. The College of Public Health was the first accredited college of public health in Central Appalachia and the first one accredited in Tennessee. She explained that after pursuing the creation of a collaborative public health program with the University of Tennessee, an online joint certificate program was offered, but a Tennessee Higher Education Committee study determined that two public health schools were needed in Tennessee – one in the east focused on rural factors and the other in the west focused on urban factors. ETSU's was accredited in 2007.

Dr. Bishop said the AHSC has been affiliated with four major health systems since its inception. She noted that ETSU has been involved with Mountain States and Wellmont for over 60 years, beginning with the College of Nursing and health education programs. The colleges of Medicine and Pharmacy came later and helped formalize ETSU's relationship with the health systems. Frontier Health, the Quillen Veterans Affairs Healthcare System at Mountain Home, Mountain States and Wellmont are the major health system affiliates for ETSU, which also affiliates with a number of physician practices, dental offices and nursing clinics.

Dr. Bishop pointed to that longstanding partnership with Mountain States in introducing the proposed Memorandum of Understanding (MOU) between ETSU and

the health system, noting that ETSU generates approximately \$15.1 million per year in contracts and agreements with Mountain States, a figure that includes resident salaries. ETSU places many students in rotation experiences each year with Mountain States; the numbers of students completing rotation experiences in Mountain States facilities in 2015-16 included 214 from Clinical and Rehabilitative Health Sciences, 762 from Nursing, 113 from Pharmacy, 32 from Public Health, and all medical students, as well as 103.5 residents. While ETSU does place residents with Wellmont and the VA, the majority are placed with Mountain States.

Dr. Bishop explained that ETSU saw the discussion of the proposed merger between Mountain States and Wellmont last year as an opportunity to talk about how to advance the academic health system model for the region. She said the longstanding working relationships with both systems started out with structured MOUs, and while some things have changed over the years, the entities have stayed largely true to those MOUs. She said the health systems saw the importance of having ETSU as a primary partner in the merger, and the university saw the opportunity to really formalize the relationship. She added that ETSU is able to focus on health education and not on the cost of health care delivery by not running its own university hospital.

Dr. Bishop told the Committee that the five AHSC deans began looking last year at what an academic health center would look like if the university's relationship with Mountain States and Wellmont was "kicked up a notch." A white paper was developed about things the AHSC thought were important to make the learning experiences for students better and improve the health care of the region if the entities in the relationship were thought of as collaborating partners and not as a confederation. This white paper was shared with Mountain States at the time when it was thought the two health systems would merge into Ballard. When the Ballard process slowed down, ETSU decided to move forward with the MOU with Mountain States; if Ballard were to come into being in the interim, the work done on the MOU would be transferred, but if it didn't, a similar MOU would be developed with Wellmont. Dr. Bishop noted that discussions on an MOU with Wellmont are slated to begin next week. Officials are hopeful the merger will go through and the work done would move to a general Ballard MOU.

Dr. Bishop said the MOU with Mountain States affirms ETSU's commitment to health profession education and the concept that their health system is going to have student learners in it. When Mountain States hires people, those hired will know they will be working with students. ETSU must realize that as Mountain States' health system partner, the university must be conscious and aware of Mountain States' needs for patient care and patient safety, and their needs to meet their bottom line. The entities must do strategic planning together that will allow expanded services in both education and health care delivery to serve the region.

The MOU creates a coordinating council at the senior level that will be comprised of the presidents of both Mountain States and ETSU; ETSU's Vice President for Health Affairs; the senior education official from Mountain States; a Board Member from both the Mountain States and the ETSU Boards of Trustees; and ad hoc members representing both entities. Dr. Bishop stated this is going to be really critical, as it will be the nexus for strategic planning opportunities and provide opportunities to identify and meet the health care needs of the region together. Budgets for resulting

plans must be developed jointly. Dr. Bishop said having a member of each Board of Trustees will bring a new level of accountability to the relationship. She said the MOU will formalize the relationship between ETSU and Mountain States that has been dependent largely on the personalities, friendship and goodwill among the top administrators of both the university and the health system. It also calls for joint councils in the areas of education, research and clinical care to make sure that we look at things like continuity of care.

Dr. Bishop noted that the development of this MOU has resulted in significant discussions during the past year at various levels. She recognized that Mountain States has some 5,000 students a year that go through their hospitals and maintains good relationships with all of the educational institutions that send students there, but said this MOU recognizes ETSU's primary relationship and acknowledges that both entities need each other to complete their respective missions.

Chair Latimer expressed hope the merger comes through, and even if it does not, this MOU is important, as it will provide many opportunities for research and increasing the university's bottom line.

Trustee Golden likewise expressed hope for the merger and suggested that as the process moves forward, the word "regional" cannot be used enough. He said that working together as a region is going to do more for the region than any sub-optimized work, and this has the potential to be a catalyst for regional growth and regional assistance.

Trustee Ayers said that one of the strongest things about this collaboration between the educational and health systems is that it fills a need in this region that is felt throughout the country as small, rural hospitals are closing and urban hospitals are growing, leaving rural patients anxious about needing to get their health care in an urban setting. She said rural areas throughout the country will benefit from the work being done for this region. Dr. Bishop added that the College of Public Health, led by Dean Dr. Randy Wykoff and his work at the Valleybrook campus, is developing models that educators across the country can visit to learn from and take ideas back to their own regions.

Trustee Golden added that sophisticated, cutting-edge solutions can be combined with the rural health solutions this will provide to fill a need throughout the country. Dr. Bishop said she believes health care will soon evolve to use patient-centered apps, through which patients can bring information to their health care providers. This, she said, could bring a transition in the doctor-patient relationship in which the doctor will think more about the knowledge patients have.

Chair Latimer said this could also spill over to the rest of the university, with increased interest in biostatistics, laboratory technology, information technology and other areas. She expressed the desire for more editorials and information in the media about the regional change that could occur and the increase in jobs that could come through these partnerships.

Trustee Ayers expressed appreciation for the fact that this collaboration focuses on both education and health care, and mentioned that Vanderbilt and its research hospital recently parted. Chair Latimer noted that Wake Forest and other universities and academic hospitals have done the same. Chair Latimer and Trustee Ayers agreed

that this puts ETSU and Mountain States in a good position, as they will benefit from not starting at a similar point.

Trustee Alsop pointed out the focus of the Quillen College of Medicine has always been rural medicine, and that this region couldn't be a better place for it. He pointed to the success of the Remote Area Medical (RAM) program as evidence of the need for health care in rural areas of the region.

Trustee Golden moved that the Academic and Student Affairs Committee recommend that the Board of Trustees authorize the President of ETSU to execute the Memorandum of Understanding with Mountain States Health Alliance. Trustee Ayers seconded the motion, and it was approved unanimously.

#### VIII. Other Business

Chair Latimer asked members to let her know ideas of topics to cover at the next meeting so presenters can be lined up.

Trustee Alsop brought a concern to the Committee's attention on behalf of an employee in the ETSU Bursar's Office regarding the penalty of 25 percent of the course fee charged to a student who drops a course on the first day of classes; he noted that this 25 percent is charged for dropping a course during the first 14 days of the semester, after which the fee increases to 75 percent. Dr. Joe Sherlin said this procedure has been in place for some time to ensure up-front commitment to courses by students. He said this procedure could be placed under review and compared to policies at other institutions. Trustee Alsop said that as a faculty member, he wants students in class, but also understands that sometimes students must drop; he said perhaps there should be some penalty for dropping, because registering and holding a seat in a class with limited enrollment denies that seat to other students.

The meeting was adjourned at 11:08 a.m.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Approval of the Minutes of June 9, 2017

COMMITTEE: Audit Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: David Linville, Secretary

The minutes of the June 9, 2017 meeting of the Audit Committee are included in the meeting materials

**MOTION: I move that the Board of Trustees adopt the resolution, approving the minutes as outlined in the meeting materials.**

**RESOLVED: The reading of the minutes of the June 9, 2017 meeting of the Audit Committee is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
AUDIT COMMITTEE

MINUTES

June 9, 2017

8:30 a.m.

Johnson City, Tennessee

The East Tennessee State University Board of Trustees Audit Committee held a meeting at 8:30 a.m. on Friday, June 9, 2017, in Meeting Room 3 of the D.P. Culp University Center on ETSU's main campus in Johnson City, Tennessee.

**XVIII. Call to Order**

Trustee David Golden, chair of the Audit Committee, called the meeting to order.

**XIX. Roll Call**

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

David Golden, chair  
Ron Ramsey  
Dorothy Grisham

Secretary Linville told Chair Golden he had a quorum.

Others in attendance included: ETSU President Brian Noland; Board of Trustees Chair Scott Niswonger; Ed Kelly, ETSU attorney; Rebecca Lewis, director of Internal Audit; Martha Stirling, assistant director of Internal Audit; Secretary of the Board David Linville; Amanda Marsh, University Relations; Nathan Baker, Johnson City Press; and Kristen Swing, University Relations (taking minutes).

**XX. Approval of the Minutes of May 8, 2017**

Trustee Ron Ramsey made a motion to approve the minutes of the May 8, 2017, Audit Committee meeting. It was seconded by Trustee Grisham and unanimously approved.

**XXI. Audit Plan for 2017-18**

Ms. Rebecca Lewis presented the proposed Audit Plan for the 2017-2018 fiscal year. Ms. Lewis explained that she and her team determine what to audit each year based on a risk assessment that includes risk factors such as previous audit results, internal control systems, policy or personnel changes, sensitivity, size and external audit coverage. She noted that requests from the Audit Committee and ETSU

administration are also considered when scheduling audits. Page 7 of the meeting materials provided a list of audits planned for next year. Ms. Lewis explained that they will spend the most time on the eight planned risk-based audits, which are the Bursar's Office; Athletic Ticket Office; Title IV/Clery Act; Agency Accounts; NCAA Compliance FY 2017; Additional Earnings; ITS General Controls; and Intercollegiate Athletics Travel and Entertainment.

Chair Golden asked about the risk assessment model used to make the determinations. Ms. Lewis said it is a weighted average based on five things, including when the area was last audited, known internal controls (past weaknesses would weigh heavier), management risk assessments, and whether it is a sensitive area. She pointed out that there are also required audits that have to be done and investigations that come up during the year, which means the plan presented to the Audit Committee will most likely change based on what emerges. Trustee Ramsey asked if this is how it was handled under the Tennessee Board of Regents and Ms. Lewis affirmed that it was the same process. Trustee Ramsey also asked how many people are in Ms. Lewis' department, to which she replied that there are four people in her department.

Trustee Grisham made a motion that the Audit Committee recommend the adoption of the Audit plan for 2017-2018 as presented in the meeting materials. It was seconded by Trustee Ramsey and garnered unanimous approval.

## **XXII. Recommendation Log**

Ms. Lewis explained that, as part of the audit process, her team makes recommendations for measures to implement in relation to the findings. As those recommendations are made, Lewis and her team ask management for an expected date of completion and then do a follow-up audit. Page 11 of the meeting materials provided the current recommendation log, with most recommendations carried forward from audits conducted while the institution was under the TBR. The log is color coded to indicate status of the recommendation, with green representing actions that are progressing, yellow representing items that are slightly overdue and red (of which there were none on the log) representing items that are significantly overdue. Blue, also not on the log, symbolizes those items that have been completed.

Trustee Grisham asked specifically about the second recommendation under the "Behavioral Health and Wellness Clinic" area, which states, "Management should consider hiring a full- or part-time staff member to handle billing and payment collections." Ms. Lewis explained that the audit revealed one person was doing everything and it was suggested as a management consideration. However, she noted that it is a recommendation and she is not able to force them to complete that action. Chair Golden pointed out that the Audit Committee *is* able to force them when and if deemed appropriate. Ms. Lewis said, in this specific case, she had followed up about a month ago and expressed her concerns again. The issue relates to a clinic in Lucille Clement Hall.

Chair Golden said he appreciated and liked the color coding method used on the log. He said since management knows the Audit Committee is getting that type of coding, things will be more likely to get done. He also said he felt it was appropriate that, if the Audit Committee ever received a log with an item in red (meaning significantly overdue), the managerial person responsible for the item be invited to answer for that at the committee meeting. The committee members agreed this was an excellent idea.

### **XXIII. Recently Completed Audits**

Ms. Lewis presented information on three audits completed between March 1, 2017, and May 31, 2017:

1. **Rural Health Leave** – This audit was based on timekeeping issues. Internal Audit received an allegation regarding the possible abuse of leave. Ms. Lewis said the audit did find discrepancies between timesheets and the Time Reporting System in the department. She said management has put controls in place to properly monitor timekeeping.
2. **Office of Intercollegiate Athletics Timekeeping/Pay of Student Workers** – This audit began after an allegation regarding timekeeping and pay of student workers in the equipment room. Ms. Lewis said the audit confirmed that these employees were being paid for the maximum contracted hours rather than the actual hours worked. Beginning in Fall 2107, the issue should be corrected.
3. **Inclement Weather Pay** – This audit was the result of an allegation regarding the possible underpayment of emergency crew personnel. The audit confirmed that emergency crew employees were underpaid for hours worked in excess of 7.5 hours per day during the closure period. Ms. Lewis said it was a systems glitch that resulted in 57 employees who were underpaid a total of \$7,424.75 between January 2012 and December 2016. Management corrected the issue and compensated the individuals affected, including individuals no longer working at ETSU, on the May 31, 2017, payroll.

In sharing the information, Ms. Lewis presented the committee members with a heat map that visually indicates how significant the findings were and the control maturity. Chair Golden said he appreciated the heat map because it provides context and helps the committee understand just how big of a deal each of these audits is in the bigger picture. Chair Golden also commended the university for tracking down affected employees from the inclement weather pay audit who have since left the institution. He noted that a lot of other entities would not have done so and said it speaks well of ETSU.

### **XXIV. Other Business**

There was no other business.

### **XXV. Executive Session to Discuss Active Audits**

Seeing no further business, Chair Golden adjourned the public part of the meeting and the Audit Committee entered into executive session to discuss active audits.

Adjournment



EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Tenure Appointment for Dr. Aloia,  
Dean of the Clemmer College of Education

COMMITTEE: Academic and Student Affairs Committee

RECOMMENDED ACTION: Approve

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

With his appointment as Dean of the Clemmer College of Education, Dr. Gregory Aloia brings a distinguished record of achievement to his role as dean of the Clemmer College of Education. He was president of the College of Coastal Georgia from 2013 until coming to ETSU. His professional career also includes serving as president of Concord University in West Virginia, dean of the college of education at Florida Atlantic University, and professor of special education at Illinois State University. Dr. Aloia has previously held tenured faculty positions at five universities (in Arkansas, Florida, Illinois, New York, and West Virginia).

**MOTION: I move that the Board of Trustees adopt the resolution, approving the Dr. Aloia's appointment with tenure.**

**RESOLVED: Upon recommendation of the president, the Board of Trustees awards Dr. Gregory Aloia tenure upon appointment at the rank of professor in the department of Educational Leadership and Policy Analysis effective July 1, 2017.**



EAST TENNESSEE STATE  
UNIVERSITY

Office of the President

David Linville, MD, EdD, Secretary of the Board  
ETSU Board of Trustees  
Campus Box 70734  
East Tennessee State University

August 16, 2017

Dr. Linville,

I recommend that the ETSU Board of Trustees award tenure upon appointment at the rank of professor in Educational Leadership and Policy Analysis to Dr. Gregory Aloia, Dean of the Clemmer College of Education, effective July 1, 2017.

Dr. Aloia brings a distinguished record of achievement to his role as dean of the Clemmer College of Education. He was president of the College of Coastal Georgia from 2013 until coming to ETSU. His professional career also includes serving as president of Concord University in West Virginia, dean of the college of education at Florida Atlantic University, and professor of special education at Illinois State University. Early in his career Dr. Aloia was a classroom teacher and coach, experiences that serve him, our students and faculty well. I am pleased to have him join our administrative team at ETSU.

Sincerely,

Brian Noland  
President

Attachments

Copies: Dr. Bert C. Bach  
Ms. Diana McClay

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Adoption of Advancement Policies

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approval

PRESENTED BY: Pam Ritter, Vice President for Advancement

The following administrative policies for University Advancement have been revised to reflect current operations of the university and foundation with the establishment of an institutional board of trustees.

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

**RESOLVED: Upon the recommendation of the Finance and Administration Committee, the Board of Trustees adopts the Advancement Policies as outlined in the meeting materials.**

**Policy Title:** Responsibility and Ethics Policy

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** New

**Old Policy #:** N/A

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (8/22/16).

**Attachments:**

1. Donor Bill of Rights
2. eDonor Bill of Rights

**Responsibilities.** Under the direction of the Vice President for Advancement, the University Advancement Office is responsible for:

1. Developing and communicating the fundraising priorities of ETSU.
2. Identifying, cultivating, and soliciting donors and volunteers.
3. Managing the development and alumni information database and related gift processing systems.
4. Establishing quality standards and metrics for measuring performance.
5. Providing donor relations/stewardship services to internal and external constituents.
6. Providing internal and external reporting on funds raised and collected.

**Ethics:**

1. Staff, volunteers, and other individuals engaged in fundraising-related activities for ETSU are expected to maintain the highest standards of personal and professional ethics. Ethical behavior includes engaging in the spirit of teamwork; exhibiting respect for the University, colleagues, students, faculty, staff, and alumni; participating in those activities in the best interest of donors, prospective donors, and the University; avoiding real and perceived conflicts of interest; monitoring and sharing information regarding use of gift funds; and holding confidential all donor personal and financial information in accordance with administrative policy, federal and Tennessee state law, as well as sound practices.
2. The University Advancement Office is responsible for equitably providing employees with opportunities for professional development, offering appropriate direction and guidance, and maintaining a positive work environment.
3. University Advancement adopts the Donor Bill of Rights (attachment 1), which is endorsed by American Association of Fund-Raising Counsel, Association for Healthcare Philanthropy, Council for Advancement and Support of Education, and the Association of Fundraising Professionals (AFP). Advancement also adopts the eDonor Bill of Rights (attachment 2).

**Donor Confidentiality.** Under prevailing Tennessee law (T.C.A section 49-7-140), donor giving histories and records are entitled to a measure of privacy. State law mandates the ETSU Foundation to maintain a list of donors for inspection on request. Any request to inspect or receive such information should be directed to the Vice President for Advancement/ETSU Foundation President.

## **Attachment 1 – Donor Bill of Rights**

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Philanthropy is based on voluntary action for the common good. It is a tradition of giving and sharing that is primary to the quality of life. To assure philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the not-for-profit organizations and causes they are asked to support, we declare all donors have these rights:

1. To be informed of the organization's mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.
2. To be informed of the identity of those serving on the organization's governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.
3. To have access to the organization's most recent financial statements.
4. To be assured their gifts will be used for the purposes for which they were given.
5. To receive appropriate acknowledgment and recognition.
6. To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.
7. To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.
8. To be informed whether those seeking donations are volunteers, employees of the organization, or hired solicitors.
9. To have the opportunity for their names to be deleted from mailing lists, publications, or other forms of media that an organization may intend to share.
10. To feel free to ask questions when making a donation and to receive prompt, truthful, and forthright answers.

## Attachment 2 – eDonor Bill of Rights

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The eDonor Bill of Rights complements the original document (attachment 1) and provides further and more detailed guidance for the new world of online giving. In addition to the rights outlined in the Donor Bill of Rights, online donors can expect the following rights:

1. To be clearly and immediately informed of the organization's name, identity, nonprofit or for-profit status, its mission, and purpose when first accessing the organization's website.
2. To have easy and clear access to alternative contact information other than through the website or email.
3. To be assured all third-party logos, trademarks, trustmarks, and other identifying, sponsoring, and/or endorsing symbols displayed on the website are accurate, justified, up-to-date, and clearly explained.
4. To be informed of whether or not a contribution entitles the donor to a tax deduction and of all limits on such deduction based on applicable laws. (Independent consultation with a financial advisor and/or attorney is always encouraged.)
5. To be assured all online transactions and contributions occur through a safe, private, and secure system that protects the donor's personal information.
6. To be clearly informed if a contribution goes directly to the intended charity, or is held by or transferred through a third party.
7. To have easy and clear access to an organization's privacy policy posted on its website and be clearly and unambiguously informed about what information an organization is gathering about the donor and how that information will be used.
8. To be clearly informed of opportunities to opt out of data lists that are sold, shared, rented, or transferred to other organizations.
9. To not receive unsolicited communications or solicitations, by "opting-out."

**Policy Title:** Confidentiality and Data Control

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** New

**Old Policy #:** N/A

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (7/24/17)

**Attachments:**

- A. Employee Confidentiality Agreement
- B. Work Study/Graduate Assistant Confidentiality Agreement
- C. Volunteer Confidentiality Agreement

**1. Purpose:**

- a. This policy serves to protect the personal and professional information of all Advancement constituents and their families
- b. This policy provides for institutional and individual employee and volunteer agreement documentation

**2. Policy:**

- a. University Advancement recognizes that efficient advancement operations require the maintenance and management of extensive donor and prospect records which must be kept confidential at all times.
- b. Donor & other constituent records are protected confidential records and should not be discussed with or disclosed to anyone except co-workers who are specifically authorized to have access to such information and any person or company with whom the institution contracts for relevant services.

**3. Process/Procedures:**

- a. A confidentiality agreement will be signed by every permanent and temporary employee, including undergraduate students and graduate assistants.
- b. A confidentiality agreement will be signed by any volunteer given access to confidential information. In addition, the memorandum of agreement for volunteers must be completed, in accordance with PPP-50.
- c. Original agreements will be kept on file in Advancement Services with Banner Account Request Forms, for as long as they are employed/actively volunteering.
- d. A copy of the signed form will be given to each employee/volunteer.
- e. Requests for access to the Advancement database, related software and reports require completion of an Advancement Account Request Form found at:  
[http://www.etsu.edu/oit/documents/Banner\\_Advancement\\_Account\\_Request\\_Form1.3.pdf](http://www.etsu.edu/oit/documents/Banner_Advancement_Account_Request_Form1.3.pdf)

- f. East Tennessee State University Foundation will honor the request of any constituent who wishes to keep his/her information completely anonymous (except for tax receipting purposes and other disclosure required by law).
- g. It is the responsibility of every user of Advancement data to send information updates to Advancement Services as incorrect/missing data is obtained.



## **Attachment A – Confidentiality Agreement - Employee**

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### **East Tennessee State University**

I, \_\_\_\_\_, acknowledge the confidential nature of non-public information regarding our donors and other constituents. I will respect and safeguard the privacy of these members of the ETSU community and the confidential nature of their information. I understand that in this context, confidential information is considered to be all non-public information that can be personally associated with an individual or organization.

I will not use another's computer sign-on credentials or provide the use of an individual's credentials to gain access to confidential information without proper authorization. I will not disclose confidential information to those who are not authorized to receive it. I will not copy or preserve by paper or in writing, by electronic or any other means, confidential information without proper authorization.

I understand that passwords are the equivalent of my signature. I understand that I will only access information that is required for me to perform my assigned tasks. I acknowledge that if I disclose passwords to any other person, I will be fully accountable and responsible for any use or misuse by that individual to the same extent as if I had performed that act or omission. If I believe I have been asked to access or release information that lies outside my defined job responsibilities, I will notify my supervisor or the Vice President of Advancement and request guidance.

I agree that if I become either a volunteer or paid consultant for any other organization or institution for which any part of my duties or responsibilities involve identifying, cultivating, and/or soliciting potential donors for the organization or institution, I will immediately inform my supervisor in writing.

Under certain circumstances, disclosure of confidential information may be punishable as a criminal offense. I understand and agree that a violation of any portion of the confidentiality policy renders me subject to disciplinary or corrective actions that may result in sanctions including, but not limited to, expulsion, discharge, and/or revocation of employee privileges.

I have read and understand this policy and have received a copy for future reference. I agree to abide by this policy to the best of my ability.

---

SIGNATURE

---

DATE

---

PRINT FULL NAME

## **Attachment B – Confidentiality Agreement – Students & Graduate Assistants**

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### **East Tennessee State University**

I, \_\_\_\_\_, acknowledge that in the course of my work for the Advancement Office at East Tennessee State University, I may have access to documents, data or other information, some or all of which may be confidential in nature, whether or not it is specifically labeled or identified as confidential.

Except as required by my activities for the University, I agree not to directly or indirectly use, publish, disseminate, or otherwise disclose to any third party, or use for personal gain, any information acquired in the course of my activities either during or after my temporary assignment with the Advancement office.

I understand that passwords are the equivalent of my signature. I understand that I will only access information that is required for me to perform my assigned tasks. I acknowledge that if I disclose passwords to any other person, I will be fully accountable and responsible for any use or misuse by that individual to the same extent as if I had performed that act or omission. If I believe I have been asked to access or release information that lies outside my defined job responsibilities, I will notify my supervisor or the Vice President of Advancement and request guidance.

I have read and understand this policy and have received a copy for future reference. I agree to abide by this policy to the best of my ability.

---

SIGNATURE

---

DATE

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PRINT FULL NAME

## Attachment C – Confidentiality Agreement - Volunteers

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### East Tennessee State University

I, \_\_\_\_\_, acknowledge that in the course of my work or volunteer activities for the Advancement Office at East Tennessee State University, I may have access to documents, data or other information, some or all of which may be confidential in nature, whether or not it is specifically labeled or identified as confidential.

Except as required by my activities for the University, I agree not to directly or indirectly use, publish, disseminate, or otherwise disclose to any third party, or use for personal gain, any information acquired in the course of my activities either during or after my temporary assignment with the Advancement office.

I have read and understand this policy and have received a copy for future reference. I agree to abide by this policy to the best of my ability.

---

SIGNATURE

---

DATE

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PRINT FULL NAME

**Policy Title:** Endowment Amounts Policy

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** New

**Old Policy #:** N/A

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (2/7/17). Reviewed by the ETSU Foundation Board of Directors on 2/3/17.

Attachments. None.

1. Gifts totaling a minimum of \$25,000 will be required to establish an endowment fund in the ETSU Foundation. This amount may be given by a donor or donors over a period of five (5) years. An extension of time beyond this period to reach this minimum level may be granted by the Vice President for University Advancement/ETSU Foundation President for good cause shown.
2. Gifts totaling less than \$25,000 may be classified as a Quasi-Endowment upon approval of the Vice President for University Advancement. Additional contributions and investment earnings will be applied to the corpus until the fund reaches the \$25,000 minimum endowment level, usually within a five-year limit. In order to establish a quasi-endowment, there must be an initial gift in the amount of \$5,000.

**Policy Title:** Gift In Kind Policy

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** Revised

**Old Policy #:** N/A

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (2/7/17).

**Attachments:**

- A. In-Kind Gift Request and Approval
- B. Sample Offer of In-Kind Gift

**1. Purpose and Background.** To provide guidance and information for accepting gifts-in-kind (GIK) and personal property. This applies to all ETSU faculty and staff who work with external parties regarding transfer of these types of gifts. The reasons for documenting in-kind gifts are to:

- a. Account for transfers to the University which may require University resources
- b. Provide information to be used by the donor in income tax records
- c. Document the full relationship between the donor and the University and provide appropriate stewardship

**2. Definitions:**

- a. A gift-in-kind is tangible personal property, such as machinery, books, computers, etc.
- b. Gifts of service, volunteer time, or partial interest gifts do not qualify as gift-in-kind donations in the eyes of the IRS. However, in some cases ETSU will apply “soft” credit to donors of services (see paragraph 3j).
- c. Software. Donations of software are usually partial interest gifts and are therefore not countable/recordable as gifts. Additionally, these opportunities must be reviewed and accepted by the VP for Information Technology Services and the VP for Finance.

**3. Process/Procedures:**

- a. Contact Advancement Services if gifts of this nature are contemplated or if faculty/staff have knowledge of prospective donors who might consider such gifts.
- b. Before accepting, gifts-in-kind must be reviewed by University Advancement in concert with the unit designated to receive the gift. A Gift-in-Kind Form (Attachment A) must be completed before the GIK may be accepted. Any gift recommended for acceptance should enhance the purposes of the University.
- c. If an in-kind gift involves a financial commitment on the part of the University, the Vice President for Advancement must be consulted and the President must approve. Art objects, equipment, books, etc. will be reviewed carefully to ensure that acceptance will not involve financial commitments disproportionate to the usefulness of the gift.

Consideration will be given to the cost of maintenance, cataloging, delivery, insurance, display, and storage requirements.

- d. Involve Foundation Accounting in discussions about accepting/retaining in-kind gifts. Foundation Accounting will make a determination regarding whether the gift needs to be added to equipment records (FP-11, Property Equipment Control)
- e. Questions to ask before accepting a GIK:
  - 1) Is it relevant to the work of the university? As a general rule, accept only gifts that further the work of departments and programs at the university.
  - 2) Will accepting the gift jeopardize the reputation of the donor or the university? Does the donor's intent match the interests of the university?
  - 3) Will the gift cost the university money in the future, such as maintenance, repair, or preservation costs?
  - 4) Are there any risks associated with accepting the gift?
  - 5) Will the gift require a special facility in which to house it?
  - 6) Are there any special conditions the donor may impose?
  - 7) If the property cannot to be used in university programs, will the donor allow it to be sold? If the donor places a condition on the gift that it is not to be sold, additional approvals may be necessary.
- f. For gifts of real estate, refer to the policy regarding Acceptance of Gifts of Real Estate.
- g. If you have questions about gifts that seem to be of lesser value (disposable items or operational supplies like paper products, art supplies, bottled water, etc. (typically valued under \$250) contact Advancement Services before preparing the GIK form.
- h. Gifts of personal property or gifts-in-kind valued at more than \$5,000, for which the donor desires to receive a tax deduction, must be documented by the donor on IRS Form 8283, Noncash Charitable Contributions Form at the time of filing. The costs associated with the supporting independent appraisal for such proposed gifts of property shall be borne by the donor and cannot be borne by ETSU or the ETSU Foundation as such an arrangement could be considered as "imputed" income to the donor and could also question the validity and independence for such an appraisal. Donors for proposed gifts of property should be encouraged to work with an attorney or CPA in a timely manner, so the donor fulfills all IRS/legal requirements for the appraisal, or other technical aspects of the proposed gift to fully preserve the donor's potential availability of federal or other income tax deductions.
- i. Although the provision of services will not receive gift credit or a gift receipt from the ETSU Foundation, the Foundation may extend "soft" credit to the provider of such in-kind services (for example, physical exams for athletes) so donor recognition can be afforded to the provider.

## Attachment A – In-Kind Gift Request and Approval



EAST TENNESSEE STATE  
UNIVERSITY

### Request to Receive an In-Kind Gift

Complete request and obtain approvals before accepting.

Item	Date
Department Receiving the Gift	College
Donor Contact	Company
Address	City, State, and Zip
Phone Number/E-mail	E-number
Estimated Value (amount above and check a block below) <input type="checkbox"/> Written appraisal by qualified evaluators (not University staff/faculty) <input type="checkbox"/> Judgment of department receiving the gift (if less than \$5,000)	Fund Number <input type="checkbox"/> Judgment of donor (if less than \$5,000)

**Description/Purpose of Gift, including how it will benefit ETSU and any costs/obligations incurred by accepting the gift:**

**Notes:**

- In-kind gifts should be offered by the donor in writing. See GIK Policy, Attachment B for a sample. Attach that document to this form.
- DO NOT accept the gift until this form has been approved

**Approval Routing (signatures indicate approval is recommended, unless otherwise noted)**

<b>Requester</b> (Faculty Member/Department Head) Name and Signature	Date
<b>Unit Development Officer</b> (if applicable) Name and Signature	Date
<b>Chair/Director</b> (if applicable) Name and Signature	Date
<b>Dean/Vice President</b> (if applicable) Name and Signature	Date
<b>Chief Financial Officer</b> (review) Name and Signature	Date
<b>Vice President for Advancement</b> Name and Signature	Date

Forward completed/signed form to University Advancement, Burgin Dossett Hall, Room 302, 9-4242  
Revised February 1, 2017

## **Attachment B – Sample Offer of In-Kind Gift**

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DATE: [Date]

FROM: [Donor]

TO: [Department]

SUBJECT: In-Kind Gift to East Tennessee State University

I/we/our company would like to make an in-kind gift to [department] of the following item(s):

[Describe completely, including costs/obligations related to accepting the gift]

I/we estimate the value of this in-kind gift to be \$[estimated value]

If you have questions or need more information, please contact [contact name] at [e-mail, phone, and address]

*Signed*

Donor Name



**Policy Title:** Naming of Facilities, Positions, and Organizations

**Policy Type:** Finance/Administration

**New/revised:** Revised

**Old Policy #:** 4:02:05:01

**Approval level:**  Board of Trustees (9/2/17); reviewed by the ETSU Executive Team 2/7/17  
 President  
 Vice President  
 Other (specify here)

**Attachment:**

Naming Request Form

**Purpose:** This policy is established to provide for an orderly, coordinated, and informed practice of naming East Tennessee State University facilities, positions, and organizations, in honor or recognition of an individual, group or organization, in such a manner as to ensure the appropriate recognition of the traditions of the institution, including the opportunity to honor and recognize its distinguished alums, benefactors, and friends.

**Definitions:**

- Endowed Fund. A permanent fund, the principal of which is invested to grow over time, while the distributions it produces are used to support the endowment’s purpose.
- Facilities. All permanent physical structures, in whole or in part, including interior spaces of structures and exterior spaces.
- Lectureship. A program/gift that provides for guest speakers and/or prominent people to come to campus to lecture, typically on a topic of interest to the donor. Funds are normally used to cover honoraria, event costs, travel, marketing, dinners, etc.
- Organizations. All permanent units of the institution, including schools, colleges, academic and non-academic departments, centers, institutes, offices, academic programs, and administrative and auxiliary units. It does not include student organizations (those recognized by SORC and student-led).
- Total Project Cost. Includes design costs, construction costs, contingency fee, future maintenance and upkeep considerations, and the cost of signage.
- Naming. Using the name of a specific individual, group, or organization in recognition of their support or exceptional service to the University.

**Policy:**

- I. Responsibility/Authority:
  - A. Approval to name. Board of Trustees retains authority to approve all naming, unless the Board chooses to delegate further.

- B. The President shall also have responsibility and authority with respect to and is an essential participant in all naming actions. No facility, position, or activity may be named without early knowledge and prior approval of the President.
  - C. The University Naming Committee (see paragraph V) may take under consideration all naming requests, not just those resulting from a gift.
  - D. University Advancement maintains records on the naming of schools, colleges, hospitals, centers, institutes, buildings, departments, programs, and exterior spaces. Schools and colleges are responsible for maintaining naming records of interior building spaces. The records should be shared with University Archives.
- II. Eligibility and Propriety:
- A. Naming a facility to honor individuals (no gift involved) should be in extraordinary situations and made only if the person/family has had University wide influence, or the individual has made exceptional contributions to the region, nation, or world.
  - B. Naming is ordinarily not considered for individuals currently employed by ETSU or for those currently holding public office.
  - C. Individuals usually shall not be considered for naming recognition within one year after the person's death. This serves as a period of reflection before an honorary naming is finalized.
  - D. Naming is usually not considered for those who have been convicted of a felony or who have publicly engaged in activities or behavior that would generally be seen as being injurious to the reputation of the University.
  - E. A given surname may be assigned to only one building on campus. The Naming Committee has flexibility to consider alternative naming in the case of duplicative (or near-duplicative) names.
  - F. Payment of the gift should be realized in full within five years of the commitment.
  - G. The Committee will consider whether the proposed name would have any associations that would, on its face, be inconsistent with the university's values or mission.
  - H. Advertising is not permitted in naming, although we can and will promote the approved name in materials and communications.
- III. Gifts in Recognition of Donations:
- A. A gift agreement is required for all gifts involving naming.
  - B. General guidelines regarding the amount of donations resulting in naming facilities:
    1. New buildings. An amount no less than 50% of the costs to be sought from private donations (construction costs PLUS contingency fee PLUS future maintenance and upkeep considerations PLUS cost of signage MINUS State funding).
    2. Components of new and existing buildings. Amounts should be determined on a case-by-case basis.

3. Existing un-named buildings. Typically, an amount no less than 25% of replacement cost to be determined by University Administration.
  4. ETSU may require higher levels of gifts for certain purposes and naming opportunities in order to achieve and sustain the donor's intent and/or reflect the University mission.
- C. To the extent possible, the names of areas and interior or exterior spaces outlined in gift agreements should be worded in a manner that will not restrict the future use of the area or space.
  - D. Generally, ETSU will not accept irrevocable deferred gifts for the purpose of naming University buildings or parts of buildings. However, these gifts could be considered when they are made in combination with major gifts, particularly with an eye toward providing for ongoing maintenance of facilities.
  - E. No facilities will be named in recognition of revocable deferred gifts.
  - F. Directors of development should consider including language in gift agreements to provide for continued maintenance and upgrade of named spaces.
  - G. Earnings from named position endowments (chairs, professorships, etc.) are generally used to provide funding for projects like training, travel, graduate assistantships, equipment, etc. at the discretion of the chair-holder.
  - H. No publicity shall be given to the recommendation for naming until the Board approves. Upon approval of the naming, publicity and an appropriate dedication ceremony may be planned and conducted.
  - I. Naming Options and Recommended Starting Amounts:
    1. College - \$10+M
    2. Department/School - \$5-10M
    3. Dean's Position - \$5M
    4. Professorship (named faculty position) – \$1-1.5M
    5. Distinguished Chair (named head's position) – \$1.5-2.5M
    6. Early-Career (Assistant/Associate) Professorship - \$500-750K
    7. Graduate Fellowships
      - a. Full (~\$500K). This fellowship is not to be used as payment for teaching, research, or service. Funds are to be used to cover student stipend, tuition, fees, books, supplies, professional development, travel, and equipment.
      - b. Partial (~\$100K). A graduate fund that provides annual support for graduate students pursuing a course of study or research. Funds are to be used for stipend, tuition, fees, books, supplies, professional development, travel, and equipment.
      - c. Endowments of \$25k more may be made to partially off-set student costs.
    8. Undergraduate Scholarships:

- a. Full (\$240-350K). An endowment of \$240K provides an estimated spin-off of \$9.6K for a Tennessee resident. An endowment of \$350K is needed to spin-off approximately \$14K for an out-of-state student.
- b. Half (\$120-175K). An endowment of \$120K provides an estimated spin-off of \$4.8K for a Tennessee resident. And endowment of \$175K is needed to spin-off approximately \$7K for an out-of-state student.
- c. Endowments of \$25k more may be made to partially off-set student costs.

9. Lectureship - \$100K

10. Other Endowed Fund – \$25K minimum

#### IV. Permanence, Name Changes, and Removals

- A. The naming of buildings, facilities, and grounds (or portions thereof) is intended to be in place for the life of the specific space. If, in determination of the Board of Trustees, circumstances change so that the purpose for which the physical space was established is significantly altered or if the space is no longer needed or habitable, the Board of Trustees, in consultation with appropriate academic and/or administrative leadership and the donor (if possible) will determine an appropriate way to recognize the donor.
- B. ETSU reserves the right to remove any name should the donor not fulfill the related pledge. The President is responsible for making name removal decisions based on individual gift and naming circumstances and involves the Board as necessary.
- C. The name can be removed if an individual/company for whom a facility is named is subsequently convicted of a felony or otherwise engages in conduct that, in the sole discretion of the University, is injurious to the reputation of the University. Any gift made in connection with the naming will be retained by the University.
- D. The name can be changed/removed in the case of a divorce or other family dissolution or at the joint request of the couple or family, at the sole expense of the couple or family, and with the approval of the President. Any gift made in connection with the naming will be retained by the University.
- E. If the name of a corporation/organization changes after a facility is named, the name of the facility remains the same unless a change is requested by the organization and is recommended by the Naming Committee. If such a request is made and approved, the organization will pay the complete expense of making the change.
- F. If a building is to be demolished, replaced, or has a change in function and the former name is no longer warranted, University Advancement will contact a family member and/or the appropriate contact person for the former namesake (if available) to inform them of the situation. It may be appropriate to place a

plaque in, or on, a new building to indicate it occupies the site of a building formerly known by another name.

V. Approval Process:

- A. Upon the identification of an individual for whom a facility is proposed to be named, University Advancement will prepare the Form at Attachment A.
- B. If approved to move forward, the President will call for the activation of the Naming Committee.
- C. Conduct a criminal and records background check to be prepared on the person for whom the space/position/activity is to be named. Request the background check from Human Resources. Advancement will obtain a signed release from the individual being investigated. Only living people can be investigated. Advancement will bear the cost for the background checks (\$45-\$150).
- D. The Committee Chair will be appointed by the President and the committee will consist of students, faculty and staff, and other representatives of the campus community as deemed necessary. One representative must be from University Advancement.
- E. Once approved, the committee forwards the recommendation to the President.
- F. The President makes a recommendation to the Board.
- G. Board approves and publicity may begin.

VI. Recognition:

- A. If a building name is not forthcoming at the time the building is completed, and a name is needed for identification purposes, a generic name should be used to avoid difficulties in naming at a later date. Examples of generic names are Research Building, West Hall, or Music Building.
- B. University Advancement will maintain a list of officially named facilities, positions, and activities.
- C. The University is committed to recognizing every named space, position, and organization. Every effort will be made to refer to the space by the agreed upon name. This includes referencing in external marketing efforts and internal routine business.
- D. ETSU may consider a recognition plaque or comparable marking upon approval. There may be an additional plaque or other recognition provided by Facilities Planning. Creation and display of that plaque will follow the appropriate Facilities policies.

# Attachment A – Naming Request Form



**EAST TENNESSEE STATE  
UNIVERSITY**

## University Advancement Naming Request Form

(Used to name facilities, positions, and organizations)

Name of Project \_\_\_\_\_ Dept/College/Org \_\_\_\_\_

Name, Phone, and E-mail of Requester (point of contact) \_\_\_\_\_ Total Est. Project Cost \_\_\_\_\_

Proposed Name \_\_\_\_\_ Proposed Gift Amount \_\_\_\_\_

**Type of Naming**

- |                                       |   |   |
|---------------------------------------|---|---|
| <input type="checkbox"/> Building     | <input type="checkbox"/> Space (Interior) | <input type="checkbox"/> Space (Exterior) |
| <input type="checkbox"/> Organization | <input type="checkbox"/> Position         | <input type="checkbox"/> Other _____      |

- Attachments.** Include at least the following:
- Proposal and/or draft gift agreement
  - Statement regarding the potential impact on other giving
  - Documentation regarding how the gift amount was derived (formula)
  - Blueprints/designs, as applicable
  - List of other named spaces in the building/area (get from Advancement)
  - Description of how position will be selected, including term limits (as applicable)

**Unit Development Officer** (if applicable) Name and Signature \_\_\_\_\_ Date \_\_\_\_\_

**Dean/Vice President/Provost** (as applicable) Name and Signature \_\_\_\_\_ Date \_\_\_\_\_

**Vice President for Advancement** Name and Signature \_\_\_\_\_ Date \_\_\_\_\_

### Activity Checklist (as assigned by President/VP for Advancement)

**Naming Committee Formed/Approved** \_\_\_\_\_ Date(s) \_\_\_\_\_

Notes: \_\_\_\_\_

**Criminal and Records Background Check** \_\_\_\_\_ Date \_\_\_\_\_

Notes: \_\_\_\_\_

**Gift Agreement Signed** \_\_\_\_\_ Date \_\_\_\_\_

Notes: \_\_\_\_\_

**Dedication/Publicity Planned (only released once Board has approved)** \_\_\_\_\_ Date \_\_\_\_\_

Notes: \_\_\_\_\_

**President Approves/Recommends to Board of Directors** \_\_\_\_\_ Date \_\_\_\_\_

Notes: \_\_\_\_\_

**Board Approves** \_\_\_\_\_ Date \_\_\_\_\_

Notes: \_\_\_\_\_

**Publicity Begins** \_\_\_\_\_ Date \_\_\_\_\_

Notes: \_\_\_\_\_

**Policy Title:** Planned Giving Policy

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** Revised

**Old Policy #:** N/A

**Approval level:**  Board of Trustees

President

Vice President

Other (specify here) ETSU Executive Team (2/7/17)

**Attachments:**

A. Retained Life Estate Agreement

B. ETSU Legacy Circle

**1. Purpose:**

- a. This policy serves as a guideline to assist with information regarding solicitation and acceptance of planned gifts in accordance with the Foundation's mission and, as a subpart thereof, the mission of planned giving, which is to promote and facilitate meaningful philanthropic support of ETSU through planned gifts and provide fiduciary services to encourage maximum impact of said gifts.
- b. Utilization of the planned giving office includes encouragement, solicitation, and recognition of bequests, gifts of life income agreements, gifts of interests in retirement plans, and gifts of life insurance for all purposes consistent with the Foundation's mission statement.

**2. Process/Procedures:**

- a. Memoranda of Understanding. All planned gifts established with prior notice will require a Memorandum of Understanding (MOU). Please refer to the policy on MOUs and proper procedure for drafting to ensure the bequest and intended donor purpose of the bequest can be accommodated. If it becomes known that a donor has established a planned gift to the Foundation, or ETSU, without prior notice, please encourage the donor to allow a Director of Development to draft an MOU to ensure the donor's wishes will be carried out (if possible) at the time their planned gift is fully realized.
- b. Gift Types:
  - 1) **Bequests.** Any amount or percentage is accepted. If requested, the Executive Director of Planned Giving will work with the donor or the donor's attorney to ensure the proper legal language is included in the bequest.
    - a) General bequest. The donor simply leaves a specified dollar amount to the Foundation.
    - b) Specific bequest. The donor designates that the Foundation is to receive a specific piece of property (home or rental property).

- c) Residuary bequest. The donor bequests their estate property after all debts, taxes, expenses, and other bequests have been paid.
  - d) Percentage bequest. Can be expressed as a percentage of the estate or of the residuary estate.
  - e) Contingent bequest. It is important to plan for the situation in which the beneficiary of a bequest dies before the donor or disclaims the property. In anticipation of such an occurrence, the Foundation may be named as the alternate or contingent beneficiary. This will ensure the property will pass to the Foundation rather than to unintended beneficiaries.
  - f) Restricted bequest. Usually made in the broadest terms possible consistent with the donor's interests. This guards against the possibility of the purpose of the donor's gift becoming obsolete (such as the elimination of a specific department or program).
  - g) Sample Bequest Language. "I, (name) of (county, state), give, devise, and bequeath to the East Tennessee State University Foundation, a 501(c)(3) charitable organization, Federal Identification Number 23-7092731, of Johnson City, TN (bequest description of gift) for the (name) [Scholarship Endowment] in the East Tennessee State University Foundation."
- 2) **Charitable Gift Annuity.** Minimum gift amount is \$25,000. The charitable gift annuity is a contract between the Foundation and the donor, whereby the Foundation agrees to pay the donor a lifetime annuity in exchange for an irrevocable gift to the Foundation. The transfer can be cash or securities. When the annuity ends, the remaining principal passes to the Foundation for the purpose set forth in the MOU. Planned Giving can only provide single life annuities at this time. Annuities are only offered to individuals age 65 and older, as such, there is not an option for annuities for deferred payouts. Charitable gift annuities are only available for residents of Tennessee, as the Foundation is only licensed in Tennessee. This policy will be updated accordingly if licenses are obtained in any contiguous states. The rate of return payable to annuitants shall not exceed those recommended by the American Council on Gift Annuities as of the date of contribution. The rates below were current as of May 2016. Check with the Planned Giving Office for current rates.

Age	Rate
65	4.7%
70	5.1%
75	5.8%
80	6.8%
85	7.8%
90+	9.0%

- 3) **Charitable Remainder Trusts.** Minimum gift amount is \$25,000. These are established by an irrevocable gift to a trustee made during the donor's lifetime or following his/her death. In general, the trustee is required to pay a fixed percentage



of the value of the trust assets to at least one non-charitable beneficiary for the life or lives of the named beneficiary(ies), a term not to exceed 20 years, or a combination of the two. At the end of the trust term, the remaining assets pass to one or more charitable beneficiaries, such as the Foundation. The most common forms of charitable remainder trusts are Charitable Remainder Annuity Trusts (CRAT) and Charitable Remainder Unitrusts (CRUT). These are both managed out of house, meaning the Foundation will not serve as Trustee or co-Trustee of a charitable remainder trust. Administration fees can be incurred.

- a) Unitrusts – ideally funded with appreciated capital-gain securities or cash. Variable income stream. Generally, the fixed percentage payout is no less than 5% of the trust assets, valued annually. Unlike an annuity trust, the donor can add assets to a CRUT at any time during the donor’s lifetime or following his/her death.
  - b) Annuity trusts – ideally funded with appreciated property or cash. Fixed income stream. Generally, the fixed payment will be no less than 5% and no more than 50% of the initial fair market value of the trust’s assets, payable annually. No additional contributions can be made to a CRAT after the initial contribution.
- 4) **Life Estate.** Also see the Acceptance of Gifts of Real Estate Policy. The Board of Directors of the Foundation must approve gifts of real estate, whether the disposition intention will be to liquidate or to utilize for a distinguished and designated benefit of ETSU. If the real estate will not be disposed of then a written agreement (attachment A) must be entered into. Real Estate gifts will be accomplished by the execution of a Deed to the Foundation, in which the retained life interest in the real estate is expressly reserved for the donor. In addition, the donor must enter into a Retained Life Estate Agreement (RLEA) which provides that the donor and/or the life tenant shall remain responsible for maintenance, taxes, utilities, insurance, and other costs associated with the property, unless other arrangements, approved by the President/CEO of the Foundation, are made for the payment of these expenses. The value of the gift is the fair market value of the Foundation’s remainder interest in the property at the time of the contribution, determined actuarially, after making any appropriate adjustment for depreciation or depletion. Gifts of real estate encumbered by mortgages, deeds of trust, liens, etc. may only be accepted after review and approval by the President/CEO of the Foundation. Generally, a marketable title will be needed along with an appraisal and a market feasibility study. Appraisal value will need to be at least \$50,000. Note the distinction between a planned gift of real estate and an outright gift of real estate.
- 5) **Retirement Accounts.** Any amount is accepted as designation on an existing account. An immediate rollover is not a planned gift and will not qualify a donor for recognition in the Legacy Circle.
  - 6) **Life Insurance.** Any amount is accepted for listing the Foundation as a beneficiary on an account the donor retains ownership of, whether whole or term. Any amount is accepted for a paid up policy that is gifted to the Foundation; meaning the Foundation becomes owner/beneficiary. For this type of life insurance policy gift, the donor must provide the complete life insurance contract and a current in-force

illustration. If an existing policy is to be gifted to the Foundation, then the policy must be paid up within five years of the gift and must have a death benefit of at least \$25,000.00. The Foundation will not accept a policy with an outstanding policy loan unless the Foundation will be immediately surrendering the policy. For a new policy, the minimum death benefit must be \$25,000.00 and it must either be paid up in five years or an annuity is funded/purchased through the providing company for a value sufficient to cover the premiums.

- 7) **Appreciated Stock.** The Foundation will accept direct transfer of any amount to the ETSU Foundation. Get account information at [www.etsu.edu/waystogive](http://www.etsu.edu/waystogive) or by calling Planned Giving at 423-439-4641. This gift alone does not qualify a donor for recognition in the Legacy Circle. Please reference above as to how appreciated stock can be used to utilize a planned gift.
  - c. **Acceptable Gifts.** No gift will be accepted or disposed of that could lead to self-dealing, such as donated property which is sold to employees, to other contributors, or to other related entities and/or interested parties. All gifts will only be accepted in accordance with federal and IRS guidelines.
2. **Legal Disclaimer.** Planned Giving does not provide independent legal or tax advice. Due to the complex tax and legal issues related to the creation and implementation of a planned or deferred gift, the donor should always be encouraged to obtain independent professional advice prior to execution of the appropriate gift instrument.
  3. **Recognition Levels:**
    - a. All planned gifts will be recognized in the Legacy Circle (see Attachment B).
    - b. Dual recognition to the ETSU Foundation Wall of Honor will be made accordingly for irrevocable planned gifts and paid-up life insurance policies based upon the actuarial life table value.

## Attachment A – Retained Life Estate Agreement

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This Life Estate Agreement (hereafter referred to as “**Agreement**”) is effective this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, by and between \_\_\_\_\_ (whether one or more, the “**Donor**”) and the East Tennessee State University Foundation (the “**Foundation**”).

Concurrently with this Agreement, the Donor has executed a deed conveying to the Foundation a remainder interest in the real property, including all improvements thereon, legally described as \_\_\_\_\_ (the “**Property**”), and reserving a life estate in the Property for the Donor. The life estate terminates on the death of the Donor, or, if there is more than one Donor, on the death of the last surviving Donor. ***(Note: This Agreement, as drafted, contemplates that the Donor is the one retaining a life estate, but the life estate may be held by someone other than the Donor, in which case modifications to this Agreement will be necessary. This Agreement should define the measuring term of the life estate. If the term is measured by the lives of one or more individuals, the Agreement must identify those individuals and the order in which they will receive their interests. If the term is a set number of years, the Agreement should so state and should also identify the primary occupant of the Property and provide direction regarding successor occupants if the primary occupant dies prior to the expiration of the stated number of years.)***

The Donor and the Foundation desire to enter into this Agreement to establish the rights and responsibilities of each with respect to the Property.

1. During the term of the life estate, the Donor, at its sole expense, shall:
  - a. Maintain the Property in good condition, including (1) the upkeep and repair of improvements to protect the Property from loss of value and damage, (2) routine maintenance such as mowing and landscaping maintenance, snow removal where applicable, painting, termite and other pest prevention, and all other types of routine maintenance, (3) all minor and major repairs and capital improvements, such as roof replacement and mechanical systems repairs and replacements, and (4) all other actions in order to maintain the Property in compliance with all applicable codes, laws, regulations, and ordinances. If the Property is damaged from any cause, the Donor, at its sole expense, shall repair the damage unless the Donor and the Foundation agree that it is impractical to do so, in which case any insurance proceeds from insurance carried by the Donor or the Donor’s tenant shall be divided between the Donor and the Foundation in accordance with the percentages corresponding to each parties’ interest in the Property as of the date of the damage. For purposes of determining the interest of each party, the methodology used to value a remainder interest in U. S. Treasury Regulations § 1.170A-7, or the successor regulation, shall be used;

- b. Pay before delinquency all real estate taxes, owners or condominium association assessment, and any and all other assessments or impositions against the Property. The Donor shall deliver to the Foundation at the address stated below copies of paid tax and assessments receipts within 45 days after the due date. Without the prior written consent of the Foundation, which may be given or withheld in its sole discretion, the Donor shall not voluntarily or involuntarily defer the payment of taxes or assessments, notwithstanding any statutory or contractual right of the Donor to do so. If the expiration of the Donor's life estate is on a date other than the last day of any tax fiscal year, the taxes for such year shall be apportioned between the Donor and the Foundation;
- c. Pay water and sewer charges, utilities, and all other charges assessed against the Property;
- d. Insure the Property against fire, vandalism, flood, windstorm, and other hazards and risks through all risk property insurance in accordance with terms to be determined and agreed upon from time to time by the Donor and the Foundation, but no less than 80% of the actual replacement cost of the Property, unless the parties otherwise agree in writing. The Donor shall provide the Foundation with an annual certification that the insurance described above is in effect and that the premiums have been paid. All insurance shall be secured and maintained in a company or companies reasonably satisfactory to the Foundation and shall be primary and not contributory to that carried by the Foundation. The 'all risk' property insurance policy shall name the Foundation as "an insured as its interest may appear." The Donor shall secure an appropriate clause in, or an endorsement upon, each policy of insurance, pursuant to which the insurance company waives subrogation and rights of recovery or permits the insured to agree to waive any claim it might have against the Foundation.

2. The Donor shall not, without the prior written consent of the Foundation, permit any lien, encumbrance, or mortgage to be placed on the Property and shall not, without the prior written consent of the Foundation, permit the amount of any mortgage, encumbrance, or lien now existing to increase. The Donor shall, on or before each due date, make all payments on any existing mortgage, lien, or encumbrance. By February 15 of each year, the Donor shall deliver to the Foundation a copy of the status of the mortgage, lien, or encumbrance, if any, through December 31 of the prior year.

3. The Donor has the sole right, during his/her/their lifetime(s), to occupy the Property and to lease the Property. The Donor shall consult with the Foundation before leasing the Property, and, unless the Foundation also signs the lease, the lease term shall automatically end, notwithstanding anything to the contrary in the lease, no later than the end of the month in which the date of the termination of the life estate occurs. The Donor shall receive all rent from the Property during the Donor's lifetime(s); the Foundation shall receive all rent from the Property from and after the date of death of the Donor.

4. The Donor shall consult with the Foundation before making material changes to the use of the Property. If the Property is currently occupied by the Donor, the rental of the Property constitutes a material change in the use of the Property.

5. If the Donor is no longer able to maintain the Property as required by this Agreement, whether due to age, health issues, financial ability, or other reason, or if the Donor wishes to end its occupancy of the Property and does not wish lease out the Property in accordance with the preceding section, then the Donor and the Foundation will jointly market the Property for sale and the parties will divide the net sale proceeds, after all expenses of the sale have been deducted, in accordance with their respective interests in the Property. In the alternative, the Donor may elect to contribute to the Foundation the balance of the Donor's life estate as an additional charitable gift to the Foundation. For purposes of determining the interest of each party, the methodology used to value a remainder interest in U. S. Treasury Regulations § 1.170A-7, or the successor regulation, shall be used

6. The Donor, jointly and severally, agrees to indemnify and hold the Foundation harmless from all loss, costs, damages, claims, and liabilities that are caused by any act or omission of the Donor. The Donor's tenants, agents, representatives, or contractors (including, without limitation, any such loss, costs, damages, claims or liabilities that arise out of the presence or release on the Property of hazardous or toxic materials in violation of applicable local, state or federal law) to the extent that such claims arise during the term of the life estate, except to the extent caused by any act or omission of the Foundation or any of its agents, employees or contractors.

7. The Foundation, its authorized employees, representatives, and contractors have the right to:

- a. Enter the Property from time to time with at least ten days prior written notice to the Donor to inspect the Property; provided, however, that in the case of an emergency, no notice or only such notice as is appropriate under the circumstances shall be required; and
- b. Make any reasonable repairs that are reasonably necessary to protect its interest in the Property in the event that the Donor has not made such repairs within a reasonable time after written notice from the Foundation to the Donor of the need for same. In such case, and if the repairs are the responsibility of the Donor under this Agreement, the Donor shall reimburse the Foundation for the full cost of such repairs within 30 days after the Foundation delivers to the Donor copies of invoices for the repairs.

8. The Donor shall consult with the Foundation before making major structural changes or improvements to the Property. The Donor has the right, after such consultation and at the Donor's sole cost and expense, to make improvements and alterations to the Property, provided that such improvements do not reduce the value of the Property.

9. The Donor shall not permit to be foreclosed any mechanic's or materialman's lien or other statutory lien against the Property by reason of work, labor, services, or materials supplied to or at the request of the Donor. The Donor shall pay and discharge any such mechanic's or materialman's lien filed against the Property within twenty (20) days after the filing thereof. In no event shall the Donor have the right, authority, or power to bind the Foundation or any interest of the Foundation in the Property for any claim for labor or material or for any other

charge or expense incurred in the repair, maintenance, construction, or alteration of the Property or the improvements thereon.

10. Whenever any notice is required or permitted hereunder, such notice shall be in writing and shall be deemed to be delivered when actually received or three days after deposit in the United States mail, postage prepaid, certified mail, return receipt requested, addressed to the persons shown below, or at such other addresses as the parties have hereafter specified by written notice.

**If to the Donor:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**If to the Foundation:**

University Advancement  
East Tennessee State University  
P.O. Box 70721  
Johnson City, TN 37614  
Attention: Executive Director of Planned Giving

11. This Agreement may be amended only by an instrument in writing executed by both parties, and it shall be binding upon and inure to the benefit of the parties hereto and their respective successors, distributees, heirs, legal representatives, and assigns.

In witness whereof, the parties have duly executed this Agreement to be effective for all purposes as of the date stated in the introductory paragraph.

**DONOR:**

\_\_\_\_\_  
Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

**DONEE:**

East Tennessee State University Foundation

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
President/CEO

Date: \_\_\_\_\_

## Attachment B – ETSU Legacy Circle

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The Legacy Circle is comprised of alumni and friends who have shown their support for the university and its students by making a planned or deferred gift to the ETSU Foundation. If you have included the ETSU Foundation in your estate plans through a planned gift, then you qualify for Legacy Circle membership. Legacy Circle membership at ETSU does not require any continued obligations or dues, but simply allows ETSU to thank you and recognize you, if desired, for the plans you have made. Supporting ETSU in this manner may be an excellent way of benefiting your personal financial, estate, and tax planning while simultaneously advancing the vision of ETSU.

***Benefits of Membership.*** Membership provides assurance that that ETSU understands your goals set forth in your estate plans in an effort to ensure your intentions are fulfilled, along with the following benefits:

- All members receive a Legacy Circle lapel pin, certificate of membership, and vinyl decal
- All members receive invitation to the annual ETSU Legacy Circle luncheon
- All members will receive invitation to special events and seminars

***Joining the Legacy Circle.*** Any of the following planned or deferred gifts will confer Legacy Circle membership:

- Bequest in a last will and testament or trust
- Charitable gift annuity
- Charitable remainder trust (unitrust or annuity trust)
- Naming ETSU Foundation as a beneficiary of a life insurance policy or retirement account
- Deeding real estate while retaining a life estate

**Policy Title:** Pledges Policy

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** Revised

**Old Policy #:** N/A

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (7/24/2017)

**Attachments:**

A. Sample Pledge Form/Memo

**1. Purpose.** ETSU University Advancement recognizes the value and the necessity of accepting pledges of future support for raising private funds in the ETSU Foundation. Pledges allow donors and prospective donors to make a commitment of future support. These pledges may also enable donors to give more generously than a one-time gift would allow if they give over a period of time. Given the critical importance of pledges in the overall fundraising efforts of the university and the ETSU Foundation, these policies shall provide guidance and procedures for the management of pledges.

**2. Process/Procedures:**

- a. Pledges should be in writing and should, at a minimum, contain the following information:
  - 1) The name of the donor(s)
  - 2) The mailing address of the donor(s)
  - 3) The telephone contact information for the donor(s)
  - 4) The e-mail address for the donor(s), if available and shared by the donor(s)
  - 5) The total amount of the pledge
  - 6) The term of the pledge, and the amounts to be paid quarterly, annually, or with some other frequency of payment
  - 7) The designated fund or funds in the ETSU Foundation for which the donor desires to provide support
  - 8) Preference for receiving periodic payment reminders.
  - 9) The signature of the donor(s), except as otherwise provided in this policy
- b. Documentation for pledges may be:
  - 1) A general pledge form produced by ETSU University Advancement
  - 2) A pledge form for a capital campaign pledge
  - 3) A pledge form in connection with fundraising appeals including, but not limited to, the Annual Fund, Phonathon, annual calendar mailing, Faculty/Staff campaign, WETS-FM, or academic departmental/program appeals, etc.
  - 4) Written memoranda of record, which document a conversation and are signed by the donor, are acceptable for planned pledges and other pledges under \$1,000.



NOTE: Sample documentation is in Attachment 1. Additional pledge templates must contain all of the criteria above.

- c. Term or Duration of the Pledge. Pledge payments may be extended for a maximum of five years from the date of the pledge (excluding bequest and other planned giving instruments). Longer payment schedules will be reviewed on a case-by-case basis, but will not exceed ten years.
- d. Writing Off Pledges:
  - 1) If a donor does not tender payments for a pledge according to his/her previously indicated installment schedule, then the development officer for the academic program or other area for which the pledge of support was made should talk with the donor to determine:
    - a) If the donor wishes to modify the current pledge regarding the amount, timing of installments, or in some other manner
    - b) If the donor desires to terminate the pledge
  - 2) If the donor desires to terminate the pledge, then the development officer will provide a written memorandum of record (e-mail is acceptable) to Advancement Services indicating the pledge should be written off, as no further payments will be made.
  - 3) If a pledge is not paid and the donor is unavailable to determine their intent, then the development officer will consult with the Vice President for University Advancement, or designee, and Foundation Accounting, as necessary, to determine whether a sufficient amount of time has elapsed. If the pledge should be written off, comply with paragraph 2d(2) above.
- e. Writing Off Pledges for Phonathon and other Annual Pledge Solicitations.
  - 1) The Phonathon and other similar annual appeals may generate hundreds of pledges in a typical fiscal year, and many of these pledges are under \$100. Annual Giving will oversee a process of reminders for each Phonathon session (see the Annual Fund Plan for specifics). At the conclusion of that process, Annual Giving will request Advancement Services write off all outstanding pledges and provide documentation to that effect.
  - 2) WETS. Write off after 18 months and a series of reminders.
- f. Planned Giving Pledges. Planned pledges shall remain open until fulfilled or until distribution from the donor's estate is complete at which time any unpaid balance will be written off.
- g. Reporting. All restricted and unrestricted pledges, excluding Phonathon and WETS pledges are reported to Foundation Accounting on a yearly basis for booking as receivables.
- h. Conditional Pledges, other than for planned gift pledges as indicated herein, shall not be accepted.
- i. Exceptions. The University President, in consultation with the Vice President for University Advancement/President-CEO of the ETSU Foundation, may make documented exceptions to any of these policies and procedures regarding, but not limited to, the booking and receiving of pledges, the term and duration of pledges, reporting, and writing-off of pledges.

# Attachment A – Sample Pledge Form/Memo

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## East Tennessee State University

### Pledge Intent

In consideration of my/our interest to support the mission of East Tennessee State University, I/we wish to make a pledge to the ETSU Foundation as outlined below:

\$ \_\_\_\_\_ total pledge to be designated as follows:

\_\_\_\_\_ My/our pledge may be used for any University priorities.

\_\_\_\_\_ I/we would like to designate this pledge to be used as follows:

\_\_\_\_\_  
I/we would like to designate this pledge \_\_\_ in memory of, \_\_\_ in honor of:  
\_\_\_\_\_

**My/our gift commitment will be fulfilled in the following manner:**

Total pledge of \$ \_\_\_\_\_ to be paid over \_\_\_\_\_ years (not to exceed five) as follows:

First pledge payment of \$ \_\_\_\_\_ to be made on or about \_\_\_\_\_ (date).

Remaining pledge payments to be made on the following schedule:

\_\_\_\_\_ quarterly, beginning on \_\_\_\_\_ (date).

\_\_\_\_\_ semi-annually, beginning on \_\_\_\_\_ (date).

\_\_\_\_\_ annually, beginning on \_\_\_\_\_ (date).

\_\_\_\_\_ other \_\_\_\_\_

Would you like to receive pledge reminders? \_\_\_ Yes \_\_\_ No

\_\_\_ My company/spouse's company will match my personal gift.

Company Name: \_\_\_\_\_

\_\_\_ For gift recognition and publication purposes, please indicate below who should receive credit for the pledge and payments made:

\_\_\_ I/we wish to remain anonymous.

Print Name \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Home Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: Home \_\_\_ - \_\_\_ - \_\_\_ Business \_\_\_ - \_\_\_ - \_\_\_ Cell \_\_\_ - \_\_\_ - \_\_\_

Email Address: \_\_\_\_\_

\*\*\*\*\* For Office Use Only\*\*\*\*\*

Date Received: \_\_\_\_\_ Date Pledge Entered: \_\_\_\_\_ E Number: \_\_\_\_\_ Designation: \_\_\_\_\_

Print Name: \_\_\_\_\_ Signature: \_\_\_\_\_

For more information please contact the ETSU Office of University Advancement, PO Box 70721, Johnson City, TN 37614, (423) 439-4242, or at [give@etsu.edu](mailto:give@etsu.edu)

Revised 2/6/2014

**Policy Title:** Acceptance of Gifts of Real Estate

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** New

**Old Policy #:** N/A

**Approval level:**  Board of Trustees

President

Vice President

Other (specify here) ETSU Executive Team (2/7/17)

**1. Purpose.** This policy provides guidance to Advancement officers regarding how/if East Tennessee State University can accept gifts in the form of real estate.

**2. Process/Procedures:**

- a. Gifts of real estate, both improved and unimproved, may be accepted only after review and approval by the Board of Directors of the Foundation. Due to the expenses associated with gifts of real property, only gifts valued by appraisal in excess of \$50,000 will generally be considered.
- b. Prior to accepting a gift of real estate, the President/CEO of the Foundation and someone on behalf of either the Foundation or ETSU shall physically inspect the parcel of real estate to be given to the Foundation before the Foundation accepts the proposed gift.
- c. Prior to accepting a gift of real estate, the Chief Financial Officer for the Foundation shall conduct an analysis of the anticipated cash flow from the proposed transaction. This analysis shall determine the maximum exposure the Foundation may incur and the level or risk that is associated with the receipt, ownership, and eventual sale of the property.
- d. It is the Foundation's general policy to dispose of all gifts of real estate as expeditiously as possible. This policy will be communicated to the donor when the Foundation receives notification of the donor's intent to make a gift of real estate. If the donor does not want the Foundation to immediately dispose of the real estate, the parties must execute a written agreement regarding the disposition of the property before its acceptance by the Foundation.
- e. The Foundation shall require the donor, at the donor's expense, to secure an independent appraisal of the subject gift parcel by a Member Appraisal Institute (MAI) appraiser who has regularly engaged in the business of real estate appraisals within the jurisdiction where the property is located. Under Treasury regulations, the donor must pay for the initial appraisal of the property. The Foundation, in its sole discretion, may elect to accept the valuation resulting from the donor's appraisal or may secure its own appraisal.
- f. The Foundation, as it deems necessary and in its sole discretion, may require the donor to submit reports on the gift parcel, including but not limited to, hazardous waste audits, surveys, a title search, zoning restrictions, dominant and servient tenements, access to public utilities, and engineering inspections.

- g. A gift of real estate encumbered by a mortgage raises significant tax issues for the donor and the Foundation. Gifts of real estate encumbered by mortgages, deeds of trust, liens, etc. may only be accepted after review and approval by the Board of Directors of the Foundation.
- h. A gift of mortgaged property to a charitable remainder trust shall not be accepted under any circumstances.
- i. The execution and delivery of a deed of gift (preferably in the form of a warranty deed or trustees' deed) shall complete the gift. The donor shall pay the costs associated with the conveyance and delivery of the gift.
- j. Gifts of real property shall be valued at their fair market value on the date of transfer as set forth in a "qualified appraisal" prepared in accordance with IRS Regulations. Such appraisal shall be obtained and paid for by the donor.

**3. Documents/Review Steps Required to Accept:**

- a. Title insurance commitment showing marketable title in the donor, free and clear of unacceptable encumbrances, issued by a reputable title insurance company
- b. Appraisal by a qualified appraiser (not older than 60 days)
- c. Phase I environmental audit by a qualified engineer, indicating that ownership will not expose the Foundation to environmental liability
- d. Market feasibility study for purposes of liquidation
- e. On-site evaluation by the President/CEO of the Foundation and someone on behalf of either the Foundation or ETSU (or if the property is located in a geographically isolated area, a local real estate broker)
- f. Structural engineering report (where appropriate)
- g. Review of leases (for commercial property)
- h. Evidence of compliance with the Americans with Disabilities Act (where applicable)
- i. Disclosure statement reflecting any and all carrying costs, including but not limited to taxes, insurance, association dues, membership fees, and transfer charges
- j. If the donor claims a tax deduction for property requiring IRS Form 8283, ETSU Foundation Accounting must review and sign.

**Policy Title:** Gift Receipts & Acknowledgements Policy

**Policy Type:** Finance/Administration (Advancement) **New/revised:** Revised

**Old Policy #:** Gift Receipts & Acknowledgements Policy, 8/22/16

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (7/24/17)

**Definitions:**

- A. **Receipt** – document for tax deduction purposes which includes all government required information
- B. **Acknowledgement** – document for stewardship purposes. A thank you to the donor which usually does not include the dollar amount given

**1. Purpose.** To document the process and timeline for official tax receipting and additional gift acknowledgements from ETSU personnel.

**2. Process/Procedures:**

- a. All tax deductible gifts will receive a tax receipt from the office of University Advancement to the extent the institution is able to identify a legal donor. Receipts are generally prepared by Advancement Services within 24 hours of posting with the following exceptions:
  - 1) Payroll deduction gifts, recurring credit card gifts, and electronic fund transfer gifts are receipted yearly in January for the prior year. A letter is sent to the donor following his/her first gift via one of these methods thanking him/her for initiating recurring gifts and notifying the donor to expect a yearly cumulative receipt.
  - 2) Gifts to unknown designations and/or with other questions regarding use, potential benefits, etc. These funds will be receipted as soon as the necessary information is obtained.
- b. In-kind gifts and gifts of stock are receipted by Advancement Services with a descriptive receipt according to IRS specifications. Any values recorded in the Advancement database are for internal purposes only.
- c. No official tax receipt is to be issued by any area other than University Advancement.
- d. Non-gift (payment) receipts will be sent from Advancement only in cases where there is a gift portion included in the transaction.
- e. Gift receipts of \$250 and above are personalized by the VP of Advancement via personal signature and special notes as appropriate.
- f. For gifts of \$1500 and above, a separate acknowledgement letter is prepared by Advancement Services for the President’s signature.

- g. Donors who successfully obtain a match from their corporate matching gift company receive an individual acknowledgement from the Director of Annual Giving, prepared by Advancement Services.
- h. Annual gifts may also be thanked with postcards signed by students, thank-a-thon phone calls, emailed video messages, and/or de minimis promo items.
- i. Additional acknowledgements are expected to be prepared by college deans, development officers, and departments according to their own guidelines.

**Policy Title:** Soft Credit Policy

**Policy Type:** Finance/Administration (Advancement)      **New/revised:** New

**Old Policy #:** N/A

**Approval level:**  Board of Trustees  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (8/22/16)

1. **Purpose.** To provide guidelines for how soft/recognition credit is to be assigned.
2. **Applicability.** Gifts accepted by ETSU.
3. **Responsibilities.** Advancement Services is responsible to develop and maintain policies and procedures related to the assignment of credit.
4. **Definitions:**

**Legal Credit** – commonly known as “hard credit.” This credit is assigned to the legal entity making the gift in accordance with IRS regulations, regardless of whether or not that entity may claim a tax deduction. Legal/hard credit is the gift amount that is received and recorded in ETSU financial records (as well as the ETSU donor database.)

**Soft Credit** – credit given to parties other than the entity who legally tendered the gift. Soft credit/memo credit is reported only in the ETSU donor database.

5. **Procedures:**
  - a. In order to recognize that gifts may have been received due to the efforts of another external party, or occasionally to recognize a gift for more than the IRS tax-deductible amount (or even recognize a gift the IRS would not consider deductible at all), Advancement Services records what is known as “soft credit.” Soft credit is granted exclusively for recognition purposes. At no time should soft credit dollar amounts be aggregated in order to establish fundraising totals for a particular campaign or group of individuals. These credits can, however, be aggregated for a specific individual in order to determine his/her appropriate recognition level in giving societies.
  - b. The objective of this procedure is to provide guidance on the awarding of soft credit. Exceptions should be rare and must be approved by the Vice President for University Advancement or designee.
  - c. Soft credit shall be issued in the following circumstances:
    - 1) An individual gives through his/her company – credit the individual
    - 2) An individual gives through his/her foundation or donor advised fund – credit the individual
    - 3) A matching gift is received – credit the individual who made the qualifying gift
    - 4) A matching gift is received from a third party – credit the matching gift company for the company’s portion and the individual who made the qualifying gift for both portions
    - 5) Donor gives through fundraising consortia such as United Way – credit the entity who designated ETSU to receive the gift

- 6) Value of gifts of services or partial interest which represent a savings to the institution
- d. The ETSU standard is to award soft credit to only one individual or household for the amount of the legal credit. Soft credit will not be duplicated to additional individuals without the express approval of the Vice President for University Advancement.
- e. Situations not covered by the provisions above may be accepted for soft credit. Applications must be submitted in writing to the Vice President for University Advancement, who shall have sole authority for approval.



**Policy Title:** Distinguished President's Trust - Cumulative Giving Recognition Societies

**Policy Type:** Finance/Administration (Advancement)

**New/revised:** New

**Old Policy #:** N/A

**Approval level:**  Board of Trustees [Select box for appropriate level of anticipated final approval]  
 President  
 Vice President  
 Other (specify here) ETSU Executive Team (7/24/2017)

**Attachment:**

Listing of Cumulative Giving Recognition Societies w/Dollar Amounts

**1. Purpose:**

- a. This policy serves to define the structure, dollar amounts and lists samples of perquisites for the Distinguished President's Trust (DPT) cumulative giving recognition levels.
- b. It also provides information to other ETSU stakeholders regarding ETSU's cumulative giving societies.

**2. Background.** The Distinguished President's Trust began as a way to generate ongoing support for ETSU. An annual DPT awards banquet was established to recognize lifetime cumulative support to the university through the ETSU Foundation. In the early 1990's the DPT was restructured to encompass increased levels of cumulative giving with a series of plaques and wall recognitions. Significant cumulative giving with a \$10,000 minimum is recognized at an annual award banquet – the Distinguished President's Trust Banquet. The DPT Banquet generally features the awarding of plaques and other commemorative items, coupled with entertainment featuring ETSU's premier programs and students along with the serving of a high-end meal.

**3. Eligibility:** Both individuals and corporate entities are eligible for inclusion in these lifetime recognition levels. Eligible gifts include cash received, gifts-in-kind received, soft credit awarded, and (in some cases) services received. Underwriting through WETS is included. Pledges are typically ineligible for DPT recognition.

**4. Tracking Eligible Candidates:** Through Advancement Services, University Advancement takes the initiative in tracking the levels of cumulative giving throughout the entire university. Advancement Services prepares and delivers reports approximately in November of each year, detailing donors who have either achieved or who are within a specific dollar amount of achieving a new DPT giving society level. These reports will be delivered to the VP for Advancement and will include all pertinent information necessary to contact donors regarding their having attained, or their close proximity to, reaching new cumulative giving society levels.

- a. Development Officers will make every attempt to contact donors eligible to move up in society levels
  - b. Development Officers will use these cumulative giving levels as cultivation tools whenever possible
- 5. Stewarding and Benefits of Giving Society Levels:** Advancement staff ensure that cumulative giving levels are tracked, marketed and consistently stewarded. Upon achieving each new level of DPT status – the donor and their guest(s) are invited to be the ETSU Foundation’s guest with complimentary tickets to the annual Distinguished President’s Trust Recognition Banquet. Although invitations will be sent to all donors who have reached recognition levels in previous years, only those who have attained new cumulative giving recognition society levels are offered complimentary attendance for the DPT event.
- 6. Dates of Receipt/Recognition.** To be awarded at the next DPT event, gifts should be received by December 31 of the previous year. Exceptions will be considered.
- 7. Hall of Honor.** Plaques recognizing DPT levels Bronze and above will be managed according to the attachment and based on assigned credit in Banner. Donor wishes will be accommodated as much as possible.

## Attachment – Cumulative Giving Recognition Societies

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### Distinguished President’s Trust Cumulative Giving Recognition Societies

These giving levels recognize the cumulative giving of individuals, businesses, and corporations to the ETSU Foundation. They represent significant contributions to the advancement of the university and are thus accorded the following recognitions.

#### Primary Distinguished President’s Trust

Distinguished President’s Trust #	\$10,000
Bronze Society *	\$50,000
Silver Society *	\$100,000
Gold Society *	\$500,000

#### Platinum Societies

Platinum Society *	\$1million
Platinum Society – II *	\$2million
Platinum Society – III *	\$3million
Platinum Society – IV *	\$4million

#### Diamond Societies

President’s Diamond Society *	\$5million
President’s Diamond Society VI *	\$6million
President’s Diamond Society VII *	\$7million
President’s Diamond Society VIII *	\$8million
President’s Diamond Society IX *	\$9million

#### Pinnacle Societies

Pinnacle Society *	\$10million +
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# = Honorees receive plaque recognition

\* = Honorees receive a personal “book” recognition and are added to our “Hall of Honor”

All honorees are invited to be guests at the DPT Awards Banquet

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Capital Project Approval

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: Jeremy Ross, Acting Chief Operating Officer

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

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

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

This year, a new annual scoring process has been instituted by THEC which will be used to prioritize projects submitted by the TBR, UT System, and the boards of trustees from the six regional universities. Below is the list of ETSU's capital projects and priorities for fiscal year 2018-19. A full description of the capital outlay project proposal for a humanities building is included in the meeting materials.

**Capital Outlay**

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

**Capital Maintenance**

\$2,740,000 Campus HVAC Upgrades  
\$1,800,000 Clinical Education Building HVAC Repairs  
\$1,500,000 Campus Water Line Repairs and Replacement  
\$1,000,000 Roof Replacements (Valleybrook and Family Medicine)  
\$2,500,000 Memorial Center Code Deficiencies  
**\$9,540,000 Total**

**Disclosed Projects** (funded by the university without capital request to the State)

\$7,500,000 Outdoor Track & Field Facility  
\$ 225,000 Warf-Pickel Renovations to Meet Program Requirements  
\$ 300,000 Niswonger Village at the ETSU Valleybrook Campus  
**\$8,025,000 Total**

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

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

## **Capital Outlay Project Proposal**

**Name:**

East Tennessee State University Humanities Building

**Size:**

100,000 Gross Square Feet and Repurposing of Backfill Space

**Cost:**

\$76,000,000

**Project Summary and Goals:**

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

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

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Gatton College of Pharmacy Overview and Scholarship Proposal

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Debbie Byrd  
Dean of the Gatton College of Pharmacy

**Background**

The East Tennessee State University Gatton College of Pharmacy was founded in 2005 as a result of the community uniting in a common purpose to establish a college of pharmacy to serve the education and healthcare needs of this rural region. Then Governor Phil Bredesen challenged the citizens of northeast Tennessee and the southern Appalachian region to raise \$5 million in ninety days to demonstrate support for this endeavor. The community raised \$5 million in 58 days. That show of financial support and grassroots initiative resulted in the approval of the ETSU College of Pharmacy by the Tennessee Board of Regents and the Tennessee Higher Education Commission.

Today, the college is part of the ETSU Academic Health Sciences Center – including the colleges of Pharmacy, Medicine, Nursing, Public Health, and Clinical and Rehabilitative Health Sciences. ETSU Serves as the anchor and health sciences nexus for east Tennessee. The richness and diversity of the academic offerings in the health science gives ETSU the advantage of being a leader in interprofessional education, which has become the standard in healthcare education and practice.

The ETSU Gatton College of Pharmacy is a strong contributor to both the state and regional economies. A recent preliminary economic impact analysis conservatively estimates that the current stateside and regional annual economic impact of the ETSU Gatton College of Pharmacy exceeds \$34 million and \$29 million respectively.

Over the last decade, as a self-supporting academic entity receiving no state funding, the ETSU Gatton College of Pharmacy has grown and matured from a regional to a national presence. Its licensure pass rates, postgraduate residency match rates, and employment rates consistently are above the national average. Students and faculty are proud recipients of numerous national awards for service, scholastic achievement and clinical training, including reigning national

champions for two of the past four years at the American College of Clinical Pharmacy Clinical Pharmacy Challenge.

It is important to note these achievements rise from a student body at the ETSU Gatton College of Pharmacy made up of 49% first generation college students with 31% hailing from rural zip codes. The average annual tuition growth of 3.6% over the past 5 years has remained below that of Tennessee colleges and universities. The university is fully dedicated to Tennessee’s focus on education to create true generational change regardless of income level or zip code.

**Challenge**

Despite unprecedented success, the college’s status as a self-supporting academic entity receiving no state funding creates financial and geographic disparity for Tennessee residents, particularly those in the eastern part of the state. While tuition growth has remained low and the tuition is average when compared to privately funded institutions, it is significantly higher than that of the state-funded college of pharmacy. In addition to take advantage of the state-funded tuition rate, all Tennessee students must relocate to Memphis for at least one year before having the opportunity to relocate a second time to Nashville or Knoxville to return closer to home. For an adult student with family in northeast Tennessee, this distant option is not accessible at over 500 miles away.

In addition to these challenges of accessibility and affordability, this year the state-funded college of pharmacy began offering a 75% tuition discount to all out of state students residing within a 200-mile radius of their main campus in Memphis or its satellite campuses in Nashville or Knoxville.

	In-state	Out-of-state	<b>Special 200-mile radius</b>
<b>ETSU GCOP Tuition</b>	\$36,090	\$36,090	<b>\$36,090</b>
<b>UT COP Tuition</b>	\$21,520	\$41,100	<b>\$26,415</b>
<b>Difference</b>	\$14,570	(\$5,010)	<b>\$9,675</b>

Therefore, non-Tennesseans can now take advantage of the state-funded resources while paying less tuition than Tennesseans enrolled at the ETSU Gatton College of Pharmacy. This inequity unfairly increases the student loan burden of tax-paying Tennesseans.



## **Proposal**

The Gatton College of Pharmacy proposes a solution to level the playing field for Tennessee taxpayers and close the tuition gap between the two state colleges of pharmacy. The State of Tennessee should establish a scholarship fund to address the tuition disparity for Tennesseans who choose to attend the ETSU Gatton College of Pharmacy.

This solution will ensure disproportionate cost and distance are not obstacles to students in any part of the state as they pursue pharmacy education in Tennessee. This investment in Tennessee students will require less than \$2.5 million annually from the state. It is important to note this proposal will not increase the class size or revenue of the ETSU Gatton College of Pharmacy. Much of the college's success lies in its small class size and ability to place students and student success at the heart of its mission. The sole purpose of this proposal is to ensure accessibility and affordability of pharmacy education of all Tennesseans, no matter their zip code.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 8, 2017

ITEM: Overview of Health Science Center Clinical Operations

PRESENTED BY: Dr. Wilsie S. Bishop  
Vice President for Health Affairs

ETSU is fairly unique among health science centers because of the size and complexity of its academic offerings. The university boasts a college of medicine plus four additional colleges, offering a total of 40 degree programs including 12 doctoral degrees. These colleges are the James H. Quillen College of Medicine, the Bill Gatton College of Pharmacy, the College of Clinical and Rehabilitative Health Sciences, the College of Nursing, and the College of Public Health (the first accredited college of public health in Tennessee and central Appalachia).

ETSU enrolls over 4,000 students in these health programs, and therefore, is a significant provider of health care professionals for our region. These educational programs affiliate with Mountain States Health Alliance, Wellmont Health System, the Veterans Administration Medical Center, Frontier Health, and numerous clinics and care delivery sites throughout the region. In addition, our medical, nursing, dental hygiene, speech and hearing clinics provide greater than 300,000 patient visits per year and greater than \$5 million per year in uncompensated care to people of our region.

Dr. Bishop will provide a brief overview of the clinical enterprise activities for the university's Academic Health Science Center.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017

ITEM: Naming of the Arts Center

COMMITTEE: Finance and Administration Committee

RECOMMENDED ACTION: Approve

PRESENTED BY: Joe Smith  
Executive Assistant to the President for University  
Relations

Construction of the ETSU arts center has been approved by the Tennessee State Building Commission and will provide instructional and office space the arts. The suggested name, if approved by the Board, will be the:

James C. and Mary B. Martin Center for the Arts

In 2009, East Tennessee State University announced the creation of the Mary B. Martin School of the Arts, established through a \$1 million gift from Jim Martin in memory of his wife, the late Mary Beard Martin. The Martin School of the Arts hosts numerous visual and performing arts events and lectures throughout the year and also partners with other arts organizations in the community. Mr. Martin made additional gifts to the Martin School endowment and, in 2013, provided the lead gift of \$3 million for the Center for the Arts. Mr. Martin's total giving to ETSU is \$7 million. An additional \$1.2 million was directed by Mr. Martin's daughter, Sonia King, to support the Center for the Arts.

**MOTION: I move that the Finance and Administration Committee recommend adoption of the following Resolution by the Board of Trustees:**

**RESOLVED: The name of the East Tennessee State University arts center shall be the James C. and Mary B. Martin Center for the Arts in recognition of the significant contributions of Jim and Mary Martin to the arts at the university.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 8, 2017

ITEM: Footprints Marketing Campaign - University marketing efforts for 2017-18

PRESENTED BY: Jennifer Clements  
Director of Marketing and Special Events

Jennifer Clements, Director of Marketing and Special Events at East Tennessee State University, will present an overview of the university's marketing plan for the 2017-18 year.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 8, 2017

ITEM: Student Affairs Overview: Promoting Student Success

PRESENTED BY: Dr. Joe Sherlin  
Vice President for Student Affairs

Student engagement in campus life is a critical factor in student persistence to graduation, and the first year of the undergraduate experience is the most critical year on the path to graduation. The staff, faculty and student leaders who deliver ETSU student support programs and activities strive to ensure that ETSU students engage in a full university experience. ETSU offers a range of involvement opportunities and experiences to connect students to their peers and the institution and create a sense of belonging. From new student orientation, to college transition programs like Preview ETSU and QUEST, to first year experience (FYE) courses, to residential programs and communities, to campus recreation and athletic opportunities, ETSU students take part in diverse campus experiences that contribute to their engagement and success.

ETSU is committed to supporting the academic success of our students through comprehensive academic advising, robust tutoring and academic support services and focused mentoring programs. The Advisement Resources and Career Center (ARC), the Center for Academic Achievement (CFAA), and the ETSU Multicultural Center bring student support units, programs, and services together in central locations in order to enhance visibility and access and promote holistic support for ETSU students. ETSU is committed to serving a diverse student population and has received designations as a Veteran-Friendly and an Adult-Friendly institution.

Promoting citizenship, leadership and engagement in service to the region aligns with our institutional mission and is a major focus of ETSU co-curricular programs and activities. Simply put: ETSU students serve. They contribute thousands of hours of service to their communities and philanthropic organizations each year. Experiences like Alternative Spring Break allow students to participate in service experiences in under-served areas around the country. The Roan Scholars Leadership program serves as an example of a premier student leadership experience that develops and supports outstanding student leaders in a comprehensive four-year program focused on Leadership Excellence and Lifelong Impact. The Student Government Association has a strong history of leadership at ETSU and supports campus traditions like Homecoming, major concerts, Civility Event Series; and the SGA has provided leadership for major initiatives that include the expansion and renovation of the D. P. Culp University Center and the return of football to the ETSU campus. In 2017, ETSU received designation as a Voter Friendly Campus for its efforts to support student engagement in the political process and voter registration.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017  
ITEM: Resolution of Appreciation for Ms. Mary Jordan  
RECOMMENDED ACTION: Approve  
PRESENTED BY: Brian Noland, President

**MOTION: I move that the Board of Trustees adopt the resolution extending heartfelt appreciation to Ms. Mary Jordan.**

**RESOLVED**

**WHEREAS Mary V. Jordan has loyally served as a member of the administration of East Tennessee State University since October of 1988; and**

**WHEREAS Ms. Jordan has occupied positions of increasing responsibility at ETSU, among them Coordinator of Minority Student Affairs, Affirmative Action Officer, Director of Affirmative Action/Equal Employment Opportunity, and Senior Special Assistant to the President for Cultural Diversity and Director of Equal Opportunity/Affirmative Action; and**

**WHEREAS Ms. Jordan has worked diligently to help create an environment at ETSU in which people honor one another as individuals, value differences and the special gifts each of us brings to the community, and respect the rights of others as human beings; and**

**WHEREAS Ms. Jordan has devoted her energy to the betterment of ETSU through her role as Staff Senate President, through her membership on the ETSU Commission for Women, and through her role as a member of the Disability Issues Standing Committee; and**

**WHEREAS Ms. Jordan has played major roles in the creation of the ETSU Multicultural Center, Civility Week, and the fountain on Borchuck Plaza that pays tribute to ETSU's first African American students; and**

**WHEREAS Ms. Jordan has been recognized with the 2004 Patricia E. Robertson Diversity Leadership Award and the 2017 Outstanding Greek Advisor Award through her work with Alpha Kappa Alpha; and**

**WHEREAS Ms. Jordan has advocated strongly on the national level for people with intellectual and developmental disabilities through her position as President of The Arc of the United States; and**

**WHEREAS The Arc recognized her with its 2007 President's Award;**

**THEREFORE BE IT RESOLVED, that the East Tennessee State University Board of Trustees extends its congratulations and commendation to Mary V. Jordan upon her successful career at ETSU and wishes her much joy in retirement.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 8, 2017  
ITEM: Resolution of Appreciation for Dr. Richard Sander  
RECOMMENDED ACTION: Approve  
PRESENTED BY: Brian Noland, President

**MOTION: I move that the Board of Trustees adopt the resolution extending heartfelt appreciation to Dr. Richard Sander.**

**RESOLVED**

**WHEREAS Dr. Richard Sander is completing a highly successful four-and-a-half-year tenure as Director of Intercollegiate Athletics at East Tennessee State University; and**

**WHEREAS Dr. Sander has been the leading force in creating a culture of Excellence Every Day within the department; and**

**WHEREAS under Dr. Sander's leadership, graduation rates for ETSU student-athletes are at an all-time high; and**

**WHEREAS ETSU student-athletes have achieved a 100 percent participation rate in community service and outreach efforts; and**

**WHEREAS Dr. Sander has brought to Johnson City a cadre of highly motivated and successful coaches; and**

**WHEREAS Dr. Sander has built strong relationships with the region, including a partnership with the City of Johnson City that has transformed Freedom Hall into the home of Buccaneer men's basketball; and**

**WHEREAS winning has now become the norm at ETSU, with multiple team championships and trips to NCAA competition and the 2016 and 2017 men's program being named best in the Southern Conference; and**



**WHEREAS Dr. Sander and his staff have achieved record levels in private fund-raising and ticket sales for athletic events; and**

**WHEREAS Dr. Sander and his staff have raised the visibility of Buccaneer athletics through the creation of a new brand, new images, and new logos; and**

**WHEREAS Dr. Sander has guided the resurgence of Buccaneer football with great wisdom, vision, and creativity;**

**THEREFORE BE IT RESOLVED, that the East Tennessee State University Board of Trustees extends its highest commendation and deepest appreciation to Dr. Richard Sander, along with well wishes as he begins his new assignment as Executive Director of the Global Sport Leadership doctoral program through the ETSU School of Graduate Studies. Great job, Dr. Sander, and GO BUCS!**