Board of Trustees Meeting
June 15, 2017
Bell Hall, Room 260

MINUTES

AGENDA ITEM I—CALL TO ORDER

The Tennessee Tech Board of Trustees met in regular session on June 15, 2017, in Bell Hall, Room 260. Chair Tom Jones called the meeting to order at 1:00 p.m.

Before the meeting began, Chair Jones stated at the end of the Board meeting the Board would have a thirty-minute reception where anyone could talk with Trustees and the Board looked forward to any input or comments the audience may have about their operation.

Chair Jones stated that this was the group's first year as a Board. Chair Jones described the process of working through the agenda. He asked the chair of each committee to make all the necessary motions. Chair Jones asked Ms. Trudy Harper to make the motions for the Executive Committee.

Chair Jones asked Kae Carpenter, Secretary, to call the roll. The following members were present:

- Dr. Barbara Fleming
- Dr. Melissa Geist
- Ms. Trudy Harper
- Mr. Tom Jones
- Mr. Millard Oakley
- Mr. Purna Saggurti
- Mr. Johnny Stites
- Ms. Teresa Vanhooser
- Capt. Barry Wilmore

Tennessee Tech staff and members of the public were also in attendance.

AGENDA ITEM II– APPROVAL OF MINUTES

Ms. Harper moved to recommend approval of the minutes. Mr. Saggurti seconded the motion.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM III.A–EXECUTIVE COMMITTEE REPORT AND RECOMMENDATIONS–CONSENT AGENDA

Ms. Harper moved to approve all items on the Executive Committee's consent agenda as recommended by the Executive Committee. Mr. Stites seconded the motion.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM III.B.1–EXECUTIVE COMMITTEE REPORT AND RECOMMENDATIONS–REGULAR AGENDA–ADOPTION OF POLICY 007 (FREE SPEECH ON CAMPUS)

Chair Jones stated all items on the regular agenda were discussed in the Executive Committee, and recommended for full Board approval, while all Board members were in attendance.

Ms. Harper moved to adopt policy 007 as presented and recommended by the Executive Committee. Dr. Fleming seconded the motion.

After an opportunity for discussion and there being none, the motion carried unanimously.

AGENDA ITEM III.B.2–EXECUTIVE COMMITTEE REPORT AND RECOMMENDATIONS–REGULAR AGENDA–REVISION OF BYLAW 1.3

Ms. Harper moved the approval of revised Bylaw 1.3 as presented and recommended by the Executive Committee. Ms. Vanhooser seconded the motion.

After an opportunity for further discussion and there being none, Ms. Carpenter took a roll call vote and the motion carried unanimously.

AGENDA ITEM III.B.3–EXECUTIVE COMMITTEE REPORT AND RECOMMENDATIONS–REGULAR AGENDA–REVIEW AND AFFIRMATION

OF CURRENT MISSION STATEMENT, VISION STATEMENT, AND STRATEGIC PLAN.

Chair Jones provided an overview and stated that this agenda item was needed to support Tennessee Tech's submission to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).

Ms. Harper moved that the Board affirm the current mission statement, vision statement, and strategic plan as recommended by the Executive Committee. Mr. Saggurti seconded the motion.

Chair Jones stated that it is envisioned that when the Board goes through the strategic planning process again next year, these items will be reviewed and revised.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM IV.A—AUDIT & BUSINESS COMMITTEE REPORT AND RECOMMENDATIONS—ITEMS REVIEWED

Chair Jones stated that the Audit and Business Committee Agenda Item 4.A (Committee Report and Recommendations) was reviewed that morning with all Board members in attendance.

AGENDA ITEM IV.B.1—AUDIT & BUSINESS COMMITTEE REPORT AND RECOMMENDATIONS—CONSENT AGENDA

Ms. Vanhooser moved to approve all items on the Audit and Business Committee's consent agenda as recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

Chair Jones asked the Board if there was any item on the consent agenda that a member wished to consider separately.

There being no such request, after an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM IV.C.1—AUDIT & BUSINESS COMMITTEE REPORT AND RECOMMENDATIONS—REGULAR AGENDA—TUITION AND MANDATORY FEES

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Ms. Vanhooser moved to approve the tuition and mandatory fees as presented and recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

Capt. Wilmore stated the average student tuition and fees increase would be about seven and a half percent, which he believed to be excessive. He stated he needed help understanding that this would be a reasonable increase.

Chair Jones answered that the cost of higher education goes up much more than the consumer pricing index does each year. He stated that over time these cost increases would not be sustainable, which raised the question of how Tennessee Tech would manage the issue.

Chair Jones stated that as a university, the Board was doing all the right things such as increase enrollment, build buildings, and make Tennessee Tech more attractive to quality students; that without these investments, Tennessee Tech would not improve. Chair Jones stated he supported this agenda item but believed increases could not continue at this rate. Chair Jones stated that at some point the Board would have to create some form of a cost-effective educational model. Chair Jones noted that this issue was a problem throughout all higher education.

Mr. Stites stated he supported the increase this year because it is the Board's first year but hoped by this time next year, the Board would see some cost-saving measures and ways to return a portion of the operating costs back to the students.

Dr. Fleming stated that she wanted to see the Board work hard on creating new programs that are different, programs that can't be found anywhere else in the state. She stated that Tennessee Tech should focus on on-line learning, because that would populate Tennessee Tech's colleges. Dr. Fleming stated that she was not so much focused on cost savings, but on revenue generation by being innovative, distinct, and creative.

Chair Jones stated that Tennessee Tech needs to be run like a business, which would create the need to work harder than any other university. He again stated he was concerned about rising costs in the future.

President Oldham commented that none of Tennessee Tech's administration took increasing costs as a given. He stated he looked forward to working with the Board to identify a long-term financial plan that would make sense and hold costs in control. He also offered to share with the Board the measures that have already been taken in previous years to hold costs down.

After Mr. Stites indicated he hoped to see cost reductions in the coming year, Chair Jones stated that one cannot simply state that next year there must be a cut because there had to be a reasonable strategic plan to implement a cut. He stated that for this reason, it might not be possible to implement cost-savings measures in the next year.

Mr. Stites stated the Board, administration, faculty and staff must make certain that everyone is doing the right things to make Tennessee Tech the institution that turns out great students and does so at an effective cost rate. Mr. Stites stated that just because

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costs at universities around the state are increasing, that did not mean that Tennessee Tech needed to follow suit.

Chair Jones stated that the previous discussion doesn't just apply to tuition and mandatory fees but also applied to the next agenda item, estimated and proposed budgets.

After an opportunity for further discussion and there being none, Ms. Carpenter took a roll call vote and the motion carried unanimously.

AGENDA ITEM IV.C.2−AUDIT & BUSINESS COMMITTEE REPORT AND RECOMMENDATIONS−REGULAR AGENDA−2016-2017 ESTIMATED AND 2017-2018 PROPOSED BUDGETS

Ms. Vanhooser moved to approve the 2016-2017 estimated and 2017-2018 proposed budgets as presented and recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

Chair Jones asked the Board if there was any further discussion on Agenda Item 4.C.2 other than what was discussed that morning.

There being no further discussion, Ms. Carpenter took a roll call vote and the motion carried unanimously.

AGENDA ITEM IV.C.3−AUDIT & BUSINESS COMMITTEE REPORT AND RECOMMENDATIONS−REGULAR AGENDA−COMPENSATION PLANS

Ms. Vanhooser provided an overview of the compensation plans. She stated the plans are intended to attract, motivate, and retain a well-qualified work force, offer competitive compensation within relevant labor markets, recognize and reward individual initiative and achievements, and ensure compliance with implacable laws and regulations.

Ms. Vanhooser moved to approve the compensation plans as presented and recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

After some discussion based on confusion related to this agenda item and the next, Dr. Geist clarified that this item related to the compensation plan, while the next agenda item related to the proposed plan for the President's 2017-18 compensation and for employees' compensation.

Ms. Carpenter clarified that the compensation plan is the larger document that sets pay scales and job titles and included the incentive plan for iCube.

Ms. Vanhooser restated the compensation plans are intended to attract, motivate, and retain a well-qualified work force, offer competitive compensation within relevant labor

markets, recognize and reward individual initiative and achievements, and ensure compliance with implacable laws and regulations.

Ms. Vanhooser moved to approve the compensation plans as presented and recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM IV.C.4−AUDIT & BUSINESS COMMITTEE REPORT AND RECOMMENDATION−REGULAR AGENDA−INSTITUTIONAL COMPENSATION−3% POOL

Ms. Vanhooser moved to approve the 2016-2017 institutional compensation proposal presented and recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

Dr. Fleming asked whether businesses based compensation on the previous year's standards. Dr. Fleming stated that the Board needed to know what the compensation would look like.

Mr. Saggurti answered that there was a three-percent pool the state required Tennessee Tech to set aside for the employees; of that, one percent of the funds would be a salary increase for everyone and the two percent remaining would be based on a meritorious allocation to those employees that have done extremely well and deserving of the merit pay. Mr. Saggurti stated that the question was how does the Board define "merit" and what were the items needed for employees to receive the merit increase. Mr. Saggurti stated the Board needed to debate that question and fine tune its requirements.

Chair Jones stated he supported the compensation plan because he believed a one-percent-across-the-board raise was reasonable, with the remaining two-percent raises being merit-based. He stated he did not think the Board had the ability or should try to dictate in each college or department how to make those decisions. Chair Jones stated that the Board should direct and demand the department heads or deans allocate raises based on merit.

Mr. Saggurti stated that two percent of the funds were a pool that would be allocated to individuals that have done extremely well. Mr. Saggurti stated that was what Tennessee Tech was about, elevating Tennessee Tech's profile over and over again.

Dr. Fleming commented the two-percent pool was a "black box" and the Board has no idea how it would be allocated.

Chair Jones asked if it is the Board's place to determine how it would be allocated and stated the Board had to trust Tennessee Tech to come up with the ways to measure merit, demand the best, and reward the best.

Mr. Saggurti stated the President should have the flexibility to come up with the allocation plan and the Board needed to provide the guidelines.

Mr. Stites stated that he did not agree with what he saw in the institutional compensation proposal. Mr. Stites stated that he was supportive of letting the institution and various department heads or deans make the decision regarding compensation, because the Board did not know the individuals. Mr. Stites stated that the Board's job was to set the boundaries so all would understand what the Board thinks is important: innovation, extra effort, improving one's self. Mr. Stites stated President Oldham could help the Board figure that out and to whom the raises should go. Mr. Stites stated that the Board should ask what values would be applied before the Board approved the agenda item.

Chair Jones asked Mr. Stites if he would propose that a half percent should go across the board and two and half percent to fluctuate based on merit.

Mr. Stites stated he would feel much better about that because the Board would not be descriptive regarding to whom the money goes. Mr. Stites reiterated that the Board should set some standards for the merit raise.

Ms. Vanhooser stated she agreed the Board needed to have input into those guidelines but believed that should occur for the 2017-2018 employees. Ms. Vanhooser stated the Board had not developed any criteria for the current employees. Ms. Vanhooser stated that when the Board developed expectations for 2017-2018, then the Board could change how the funds were distributed at the end of that compensation year.

Capt. Wilmore questioned if the Board was implementing the salary funds in the manner mandated by the state. He asked if the state required the three-percent raise to be applied across the board or in a flexible manner.

President Oldham stated that Tennessee Tech is required to use the state funds for a three-percent salary increase pool but how it was distributed was not being dictated by the state. President Oldham clarified the one-percent increase would be only for the employees that received at least a satisfactory performance evaluation.

Dr. Geist explained there is a compensation committee on campus that includes faculty and the stakeholders but it was not involved in the decisions related to raises.

Mr. Stites stated this is a one-time amount that Tennessee Tech is going to receive from the government and if the Board gave these increases, then the Board must pay for the increases going forward.

Dr. Fleming asked if the funds pertained to just one year. Chair Jones stated the funds for this year's raises were recurring.

President Oldham stated that while there is no guarantee what the state will do in the subsequent years, there is an expectation that these funds will be recurring.

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Dr. Stinson stated that the three-percent pool is derived from state appropriations that cover sixty percent of the costs with the expectation that Tennessee Tech will cover forty percent. She stated the appropriation did not have to be used for an across-the-board increase but Tennessee Tech had to use the dollars for salary increases.

Dr. Stinson stated that the use of this particular pool is mandated by the state but the Board would have the responsibility to approve any increases going forward. Dr. Stinson stated that if the state mandated a salary pool, Tennessee Tech must use the money in that manner; but from year to year the Board could direct the administration to institute alternative approaches as long as those approaches did not involve a state-mandated pool of money for raises.

Mr. Oakley stated that the Board is not in the position to micromanage Tennessee Tech and that management employees should be the ones to do that.

Dr. Fleming stated the Board's purpose was to set guidelines.

Dr. Geist stated in the proposed salary distribution, faculty made up 46.51 percent and administration (EEO1 employees) made up around eight percent. Dr. Stinson stated the administration included all of the President's cabinet, all of the President's direct reports, and all those persons who report to those people. Dr. Stinson stated from the academic standpoint, administration includes the Provost, his staff, and the Deans; it does not include clerical and support staff. Dr. Stinson states there are approximately 40 employees that fall into the administrative category. Dr. Geist stated that based on those numbers, it would mean a $5,000 increase for administration, a $2,000 increase for faculty, and even less of an increase for clerical and support staff.

Chair Jones asked if the percentages for employees that were presented reflected the salary total dollars that were in the budget.

Dr. Stinson explained that the total salary pool for employees eligible for salary increases was calculated as three percent of the total salaries of eligible employees.

Mr. Stites commented he was not asking to change the numbers because the President had the authority to set the numbers since he managed all those people. However, he wanted the Board to clarify what is important to Tennessee Tech. Mr. Stites stated the Board should give guidance as to how much of the money available for flex spending should be assigned to the Board stated guidelines. Mr. Stites asked the Board not to approve an across-the-board cost of living increase.

Mr. Saggurti stated he agreed with giving a small across-the-board increase to the employees that received a satisfactory rating and to use the remainder for merit pay to encourage Tennessee Tech employees to do better.

At the request of the Chair, Ms. Carpenter took a roll call vote. The motion carried 6-3, with Dr. Fleming, Dr. Geist, and Mr. Stites casting the "nay" votes.

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President Oldham stated the Audit & Business Committee would have the results of the distribution by the August board meeting and he would report to the Board how the funds were distributed.

AGENDA ITEM IV.C.4–PRESIDENT'S COMPENSATION

Ms. Vanhooser wanted to clarify that part of the Audit & Business Committee's recommendation included a three-percent increase for the President.

Ms. Vanhooser moved to approve the proposed three-percent salary increase for the President's salary as recommended by the Audit and Business Committee. Mr. Saggurti seconded the motion.

Chair Jones stated the Board could propose a different increase and that any funds below the three-percent raise would return to the salary increase pool.

Capt. Wilmore stated this increase was merit-based and from his perspective, the President deserved the raise. Capt. Wilmore stated he did not, however, have any tangible, merit-based information on which to base his vote. Capt. Wilmore stated he would defer his vote to the Chair.

Mr. Oakley stated he was under the impression the Board was going to employ a professional to discuss and evaluate the President.

Chair Jones stated the Board has not had a presidential evaluation; the Board would need to do that by the end of the year. The reason the President's compensation came up is the Board was rolling the annual $5000 expense fund and $8500 car expenses into the President's salary. Chair Jones also clarified that the proposed three-percent raise was not mandatory. Chair Jones stated that the Board would not do a performance-based evaluation or bonus; that would occur after the Association for Governing Boards provided information on how best to measure a president's performance.

Dr. Geist questioned the timing of the raise in light of Tennessee Tech's $3,000,000 deficit, the 19 employees who had lost their jobs in the recent reduction in force, decreased enrollment, and the new increase in tuition and fees.

Dr. Stinson stated the Governor's budget reduced state appropriations for operations and set aside dollars for salary increases. Dr. Stinson said she and Dr. Oldham worked with the governor's office and with THEC to gain the flexibility to not use the money for salary increases, but were not granted that option. Dr. Stinson stated that as a result, Tennessee Tech did not have the flexibility to use the money for anything other than salary increases.

Dr. Stinson reiterated that If the Board voted not to give the President the three-percent raise, the money would go back into the pool for distribution elsewhere.

Chair Jones asked the Board members if they would say the president has a satisfactory rating. Several Board members stated "yes." Chair Jones stated that the Board members' answers indicated the President should at least receive a one-percent raise.

Mr. Stites stated he would be opposed to giving the leader of Tennessee Tech anything less than what the Board is willing to give any other employee at Tennessee Tech.

Chair Jones stated he would be voting to approve the three-percent raise for the President because he believed in rewarding effort, innovation, and success, which is what he saw in President Oldham.

Chair Jones stated he was not supportive of the types of metrics where an evaluation is based on a score an employee receives on a list of characteristics, and then based on that score the employer puts a dollar amount to that. He stated those types of metrics do not evaluate how effective or how important that person is to Tennessee Tech.

Chair Jones stated one of the Board's responsibilities was to be able to subjectively say if someone deserves a raise. Chair Jones agreed that the Board should establish goals for the president, but at the end of the day the Board needed to evaluate how good the leader is for Tennessee Tech.

At the request of the Chair, Ms. Carpenter took a roll call vote. The motion carried 7-1 with Capt. Wilmore deferring his vote to Chair Jones, and Dr. Geist casting the "nay" vote.

AGENDA ITEM V.A—ACADEMIC & STUDENT AFFAIRS COMMITTEE REPORT AND RECOMMENDATIONS—CONSENT AGENDA

Chair Jones stated TTU Policy 217 (Student Academic Misconduct) was removed from the Academic & Student Affairs Committee recommendations and was not on the Board's consent agenda.

Dr. Fleming moved to approve all consent agenda items, with the exception of Policy 217, as recommended by the Academic & Student Affairs Committee.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM V.B—ACADEMIC & STUDENT AFFAIRS COMMITTEE REPORT AND RECOMMENDATIONS—REGULAR AGENDA (ACADEMIC AFFAIRS) FORMATION OF NEW ACADEMIC UNIT (COLLEGE OF FINE ARTS)

Dr. Fleming stated Agenda Item 5.B was reviewed in the Academic & Student Affairs Committee meeting with full Board in attendance.

Dr. Fleming moved to establish a new academic unit called the College of Fine Arts as presented and recommended by the Academic & Student Affairs Committee. Mr. Stites seconded the motion.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM V.C−ACADEMIC & STUDENT AFFAIRS COMMITTEE REPORT AND RECOMMENDATIONS−REGULAR AGENDA−APPROVAL OF PROPOSED STUDENT AFFAIRS POLICIES AND RULES

Dr. Fleming moved to consider proposed TTU Policy 302 (Student Conduct), TTU Policy 305 (Student Housing), and TTU Policy 415 (Parking, Traffic, and Safety Enforcement and Rules) and the accompanying rules as a group. Mr. Stites seconded the motion.

After an opportunity for further discussion and there being none, the motion carried unanimously.

Ms. Harper moved to adopt the policies and rules as presented and recommended by Academic & Student Affairs Committee. Mr. Stites seconded the motion.

After an opportunity for further discussion and there being none, Ms. Carpenter took a roll call vote. The motion carried unanimously.

AGENDA ITEM VI−PRESIDENT'S REPORT AND PRESENTATION ON DEVELOPMENT OF A REVISED STRATEGIC PLAN

President Oldham explained that his report would provide the Board with information on where Tennessee Tech has been as an institution, Tennessee Tech's current vision going forward, and working with the Board and leaders on campus to develop the next round of strategic planning for Tennessee Tech. Dr. Oldham stated he hopes to develop a data-driven process using Huron, Tennessee Tech's external partners, in the next round of strategic planning. He presented several slides to share the following information:

- Vision Statement−Tennessee Tech's vision statement was a result of the last round of strategic planning four years ago.
- A Snap Shot of Two Decades−the changes that occurred in higher education. The external environment and market continues to change and Tennessee Tech has to be able to adapt.
- Tech #1 Value Among Tennessee Public Universities−Tennessee Tech continues to be rated one of the top value propositions in the state. Tennessee Tech consistently ranks highly on return on investment of educational dollars.

- Tech Best Salary Potential for Public Universities in Tennessee— one of the reasons why Tennessee Tech is ranked so highly. The salary potential for in-state peers is consistently at the top of the list for starting salaries and mid-career salaries.
- Time to Adjust our Course: Framing the Path—the external environment continues to shift; it is time to come up with a new strategic plan.
- Competitive Market Reality for Higher Education—the goal is to separate Tennessee Tech out of the pack of sister institutions in order to grow, build brand identity, and provide value.
- 2017: Time to Accelerate—the flight plan and the next round of strategic initiatives.
- Tech Flight Plan Background—developed during academic 2012-2013. Tennessee Tech has seen a lot of progress, student success, increased private resources, focus on innovation and entrepreneurship, and iCube collaboration.
- Tech Must Close the Gap with other Technological Universities—metrics to be considered: quality, financial, and size. Against in-state peers, Tennessee Tech does well in terms of quality, but financially (operating Expenditures per Student FTE, Endowment per Student FTE) there is a gap, and regarding size (FTE enrollment, Bachelor's Degrees Conferred, Doctoral Degrees Conferred) there is an even bigger gap compared to in-state peers. Tennessee Tech should inherently be more adaptable and more agile at moving with new initiatives.
- Flight Plan Metric Benchmarks of In-State Peers—looks at undergraduate education, graduate education, research, and financial resources compared to in-state universities. Incoming student profiles rank well. Tennessee Tech is low on FTE enrollment. The negatives are relatively small compared to in-state enrollment.
- Flight Plan Metric Benchmarks of Leading Technological Universities-shows how Tennessee Tech compares financially. Resource issues explain the negative gaps when comparing to leading universities.
- Flight Plan Benchmarks-ACT 75th Percentile (2015)—graphically emphasizes some of the previous two slides. The goal is to move Tennessee Tech from the group on the left (the universities below the average) to the group on the right (the universities that are above the average).
- Flight Plan Benchmarks-Doctoral Degrees Conferred (2015)—Tennessee Tech is still growing as a doctoral-granting institution.
- Operating Expenditures/Student FTE (2015) - Tennessee is below the average In-State Peer average. Tennessee Tech's limited resources available to educate students are part of the reason why Tennessee Tech is on the low end. That is the dilemma the Board has been debating, such as tuition and fees.
- What's Next?—the Board should spend some time at each meeting receiving an update on progress on the next round of strategic planning, having a thorough discussion about the Board's role in the planning process, and determining what level of involvement the Board wants to have.
- Journey Timeline (2017-2022)—proposes a timeline with an idea that the final strategic plan should be ready for the full Board the second quarter of 2018.

Ms. Harper asked Dr. Oldham if he had a team and process for developing a strategic plan. Dr. Oldham stated that if the Board agreed, a steering committee of about a dozen people would be assembled following the meeting. Dr. Oldham stated he would utilize a lot of talent on campus for the strategic planning process and will keep the Board informed on what is going on and what is being discussed.

Dr. Oldham stated Tennessee Tech would rely on Huron Consulting Group to obtain data such as mining national data and also assisting Tennessee Tech with synthesizing internal data. Dr. Oldham stated that having data helps keep the decision-making constructive.

Mr. Russell asked Dr. Oldham how he is choosing the avenue to follow to chase distinctiveness from other undergraduate-focused Universities.

President Oldham replied that regional aspects, public universities, and having a technological focus all played into creating distinctiveness.

Dr. Fleming stated there is need of other assessments performed regarding the region Tennessee Tech serves, assessing its population and the needs of the population, and identifying the top ten best and worst careers.

Mr. Saggurti stated he does not like that Tennessee Tech's vision statement is confined to the south because the region should be larger. He stated that there need to be discussion within the Board about being better and whether Tennessee Tech can reach outside of the" boutique" feel and reach further than the Upper Cumberland.

Chair Jones stated the Board needed to rely on President Oldham to say where Tennessee Tech is going and the Board could give recommendations.

Mr. Stites stated the rising millennial group was much more entrepreneurial slanted. He noticed that Tennessee Tech was focused on getting more doctoral programs approved and stated that, as a general rule, they are not going to fund a university. Mr. Stites stated that entrepreneurs were going to fund the next generation at Tennessee Tech.

President Oldham stated the real innovation came from doctoral programs. He stated Tennessee Tech needed to have a reputational value in the technological areas that demanded core strength at the doctoral level. He stated Tennessee Tech was upgraded two years ago by the Carnegie classification system to a doctoral university status, which is a national ranking status for universities. Tennessee Tech was one of two public universities in Tennessee that was ranked as a national doctoral university.

Dr. Oldham stated Tennessee Tech is required to produce a minimum number of PhD graduates annually to remain at a national ranking. He stated Tennessee Tech's efforts have been focused on staying above the minimum level needed to maintain the classification. He stated in this budgeting cycle the state has provided $500,000 for the Carnegie reclassification, which Tennessee Tech would reinvest into the existing PhD programs. Dr. Oldham stated that Tennessee Tech currently had three PhD programs and intended to increase that number.

Ms. Harper stated she wanted to see focus on career services and recruiting to increase the minority presence. She stated the recruiters that were with Tennessee Tech now should be involved in the new strategic plan.

President Oldham stated Tennessee Tech's ultimate niche would be found with the next generation becoming entrepreneurs.

AGENDA ITEM VII—PRESENTATION ON SACSCOC SUBSTANTIVE CHANGE REVIEW

President Oldham began by publically thanking Dr. Ghorashi for his service as provost for the last four years.

Dr. Ghorashi gave an overview of the general accreditation process. He stated Tennessee Tech was accredited by the Southern Association of Colleges and Schools Commission of Colleges (SACSCOC). Dr. Ghorashi stated SACSCOC's Board of Trustees was the representative body of the college delegate assembly and was charged with carrying out the accreditation process.

Dr. Ghorashi stated the mission of SACSCOC is to assure the educational quality and improve the effectiveness of its member institutions. He stated that to gain or maintain accreditation with SACSCOC, an institution must comply with the standards and policies of the commission.

Dr. Ghorashi stated Tennessee Tech was first accredited in 1939 and its accreditation was reaffirmed in 2016. He stated SACSCOC defined substantive change as a significant modification or expansion in the nature and scope of an accredited institution, such as the change of governance. He stated that when there is a change of governance, SACSCOC must receive prior notification and grant approval, which includes an on-site visit by a substantive change committee.

Dr. Ghorashi stated Tennessee Tech's on-site visit with the SACSCOC Substantive Change Committee is scheduled for September 26-28, 2017. He stated the SACSCOC committee will be conducting interviews with Tennessee Tech's trustees, administrators, faculty, staff, and students to examine if Tennessee Tech continues to be in compliance with its principles of accreditation.

AGENDA ITEM VIII—OTHER BUSINESS

At the request of Chair Jones, Mr. Saggurti moved the Board to support President Oldham and the direction of the strategic plan starting next year. Mr. Stites seconded the motion.

After an opportunity for further discussion and there being none, the motion carried unanimously.

AGENDA ITEM IX—ANNOUNCEMENT OF REGULALR MEETING DATES

Chair Jones stated those dates were provided in the Board's information.

Dr. Fleming asked if the whole Board would be going to be involved in the SACSCOC interview process in September. Dr. Oldham stated SACSCOC will need access to several of the Board members, but the members would not have to be present; they could be available by phone.

AGENDA ITEM X—ADJOURNMENT

There being no further business, the meeting adjourned at 3:01 p.m.

Respectfully Submitted,

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Kae Carpenter, Secretary

Agenda Item Summary

Date: August 17, 2017

Division: Office of the President

Agenda Item: Performance Evaluations and Salary Increases

☐ Review	☐ Action	☒ No action required

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PRESENTERS: Dr. Leslie Crickenberger, Associate Vice President for Human Resources

PURPOSE & KEY POINTS:

Presentation on the Tennessee Tech non-faculty and faculty performance evaluation and salary pool distribution.
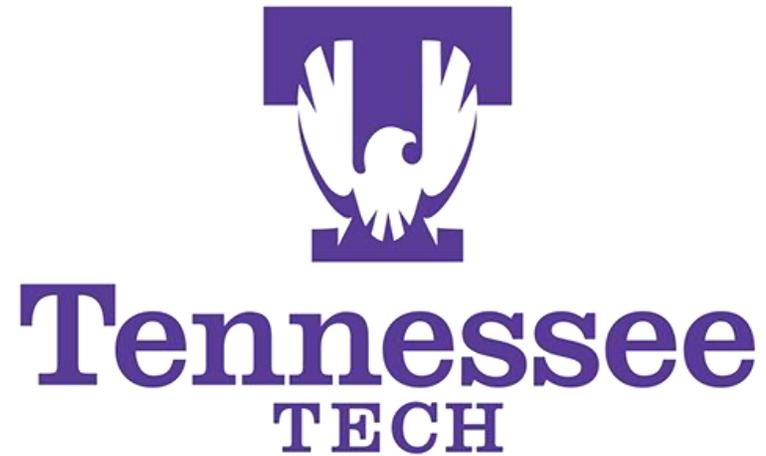
Performance Evaluations and Salary Increases

Presentation to Board of Trustees

August 17, 2017

History of TTU Non-Faculty Performance Evaluation Process

- Staff evaluations prior to 2016
  - Exempt employees had seven core competencies; non-exempt had twelve
  - Not tied to job duties or performance
  - Supervisors did not see the value; rated employees high
  - No merit component

2

Rating Guide

A+	11
A	10
A-	9
B+	8
B	7
B-	6
C+	5
C	4
C-	3
D+	2
D	1
D-	0
F	0

NON-FACULTY 2013 PERFORMANCE EVALUATIONS

44% Score A+
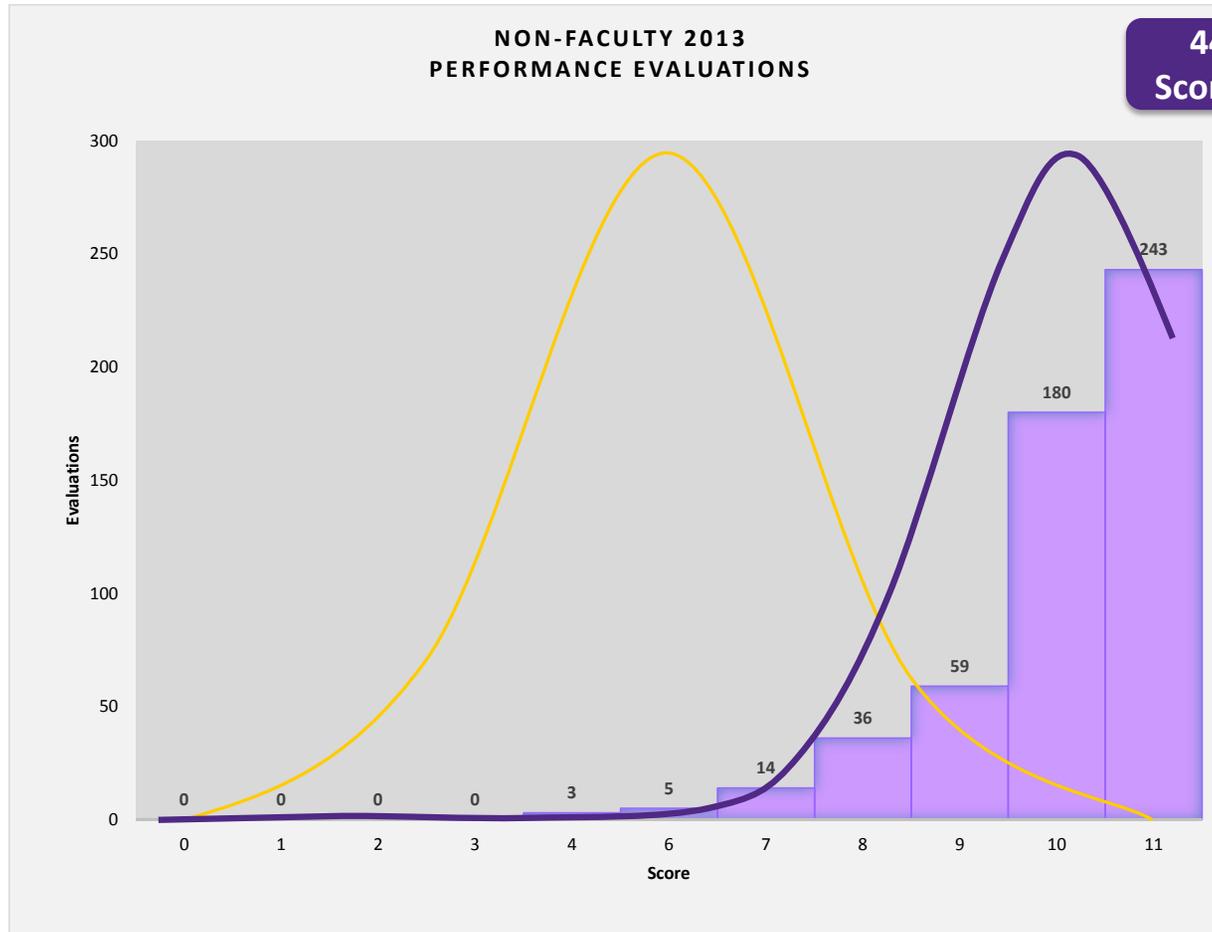
88% of scores A- or better

Current TTU Non-Faculty
Performance Evaluation Process

- Staff evaluations after 2016
  - Focuses on performance
  - Ensures employees have a voice in their evaluation
  - Allows for specific goals and achievements to be recognized
  - Stress honest evaluation rather than highest rating
  - Includes self-evaluation component

4

Change of Non-Faculty Performance Evaluation Culture

- **Goal 1: Establish a set of core competencies relevant to ALL positions at TTU**
  - Reliability/Accountability
  - Communication Skills
  - Collaboration
  - Quality/Productivity
  - **Innovation**
  - Diversity

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Change of Non-Faculty Performance Evaluation Culture

- **Goal 2: Ensure evaluation scores tie directly back to actual job responsibilities**
  - Annually employees and supervisors review job duties prior to evaluation to ensure accurate reflection of duties
  - Employee is rated on those job duties

6

Change of Non-Faculty Performance Evaluation Culture

- **Goal 3: Establish a consistent/reliable rating scale across ALL positions at TTU**
  - **Exceeds Expectations (4):** consistently exceed
  - **Meets Expectations (3):** typically meet
  - **Needs Improvement (2):** sometimes fail to meet
  - **Unsatisfactory (1):** seldom meet

7

Change of Non-Faculty Performance Evaluation Culture

- **Goal 4: Ensure flexibility for future merit increases tied to performance and innovation**
  - Evaluation allows supervisor and employee to set goals for the next year and recognize innovative and successful goals achieved during the prior year

NON-FACULTY 2016 PERFORMANCE EVALUATIONS
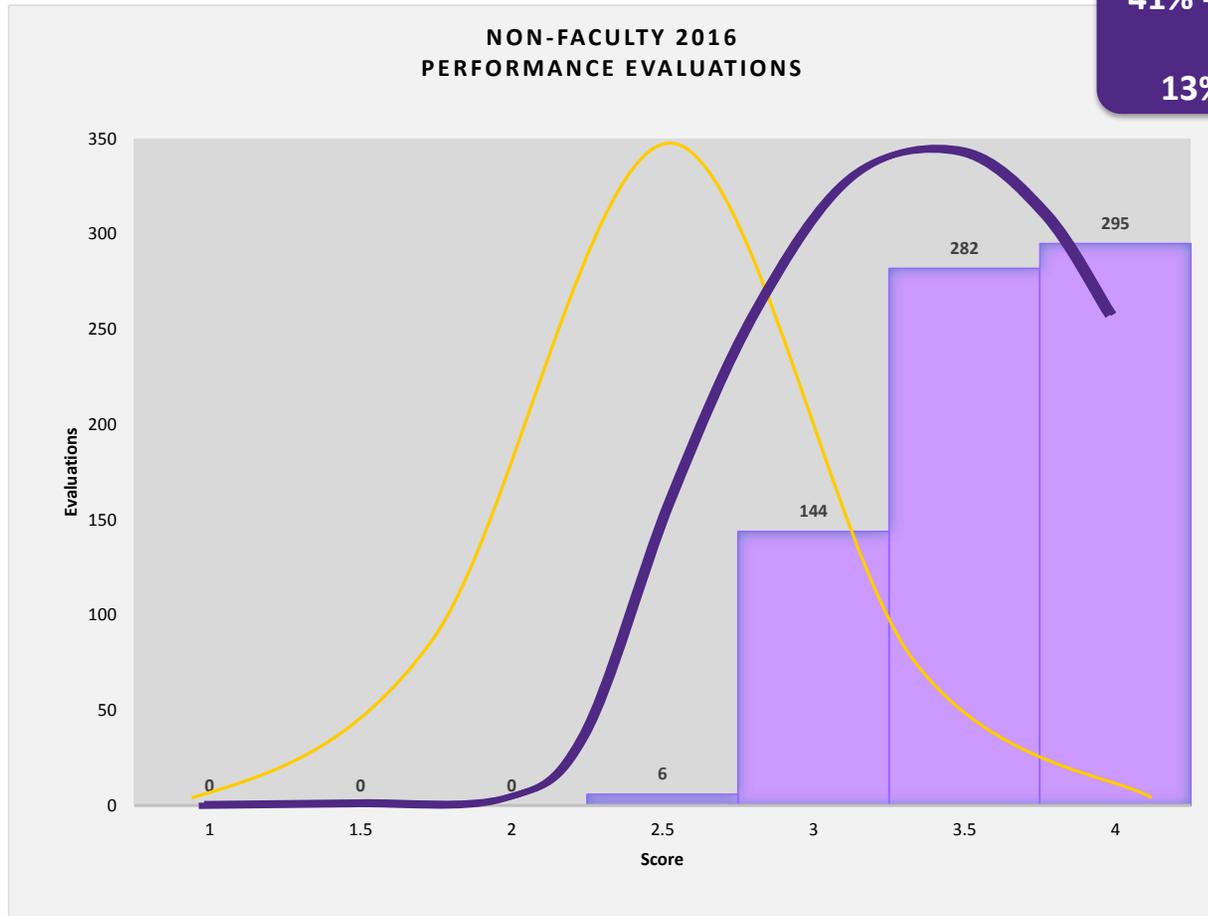
41% - Score greater than 3.5
13% - Score 4.0

Rating Guide

Exceeds Expectations	3.5 – 4.0
Meets Expectations	2.5 – 3.49
Needs Improvement	1.5 – 2.49
Unsatisfactory	0 – 1.49

Evaluations

Score	Evaluations
1	0
1.5	0
2	0
2.5	6
3	144
3.5	282
4	295

79% of scores Meet or Exceeds Expectations
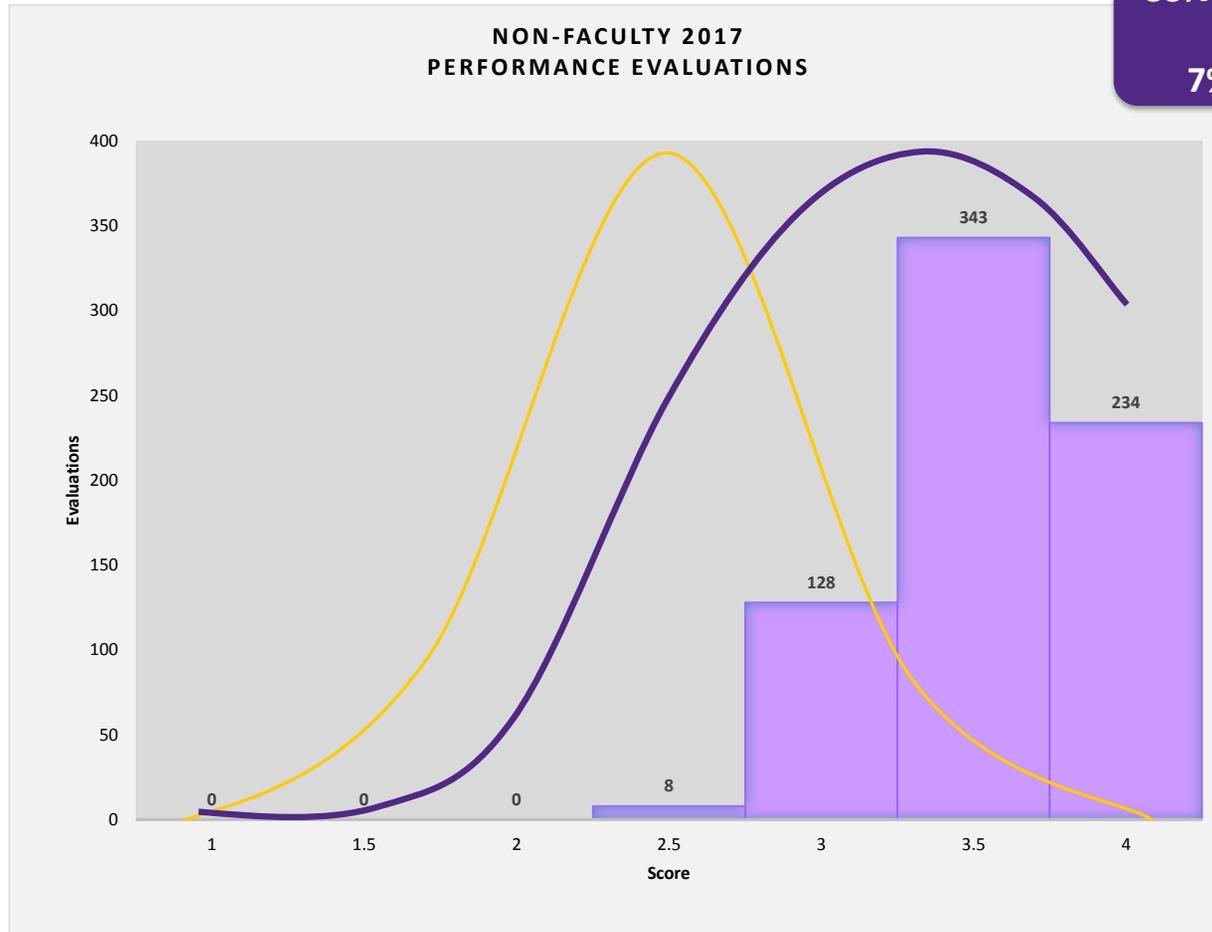
33% - Score greater than 3.5
7% - Score 4.0

**NON-FACULTY 2017
PERFORMANCE EVALUATIONS**

Rating Guide	
Exceeds Expectations	3.5 – 4.0
Meets Expectations	2.5 – 3.49
Needs Improvement	1.5 – 2.49
Unsatisfactory	0 – 1.49

Evaluations

400

350

343

300

250

234

200

150

128

100

50

8

0   0   0

1   1.5   2   2.5   3   3.5   4

Score

81% of scores Meet or Exceeds Expectations

NON-FACULTY PERFORMANCE EVALUATIONS OVERVIEW

2013

2016
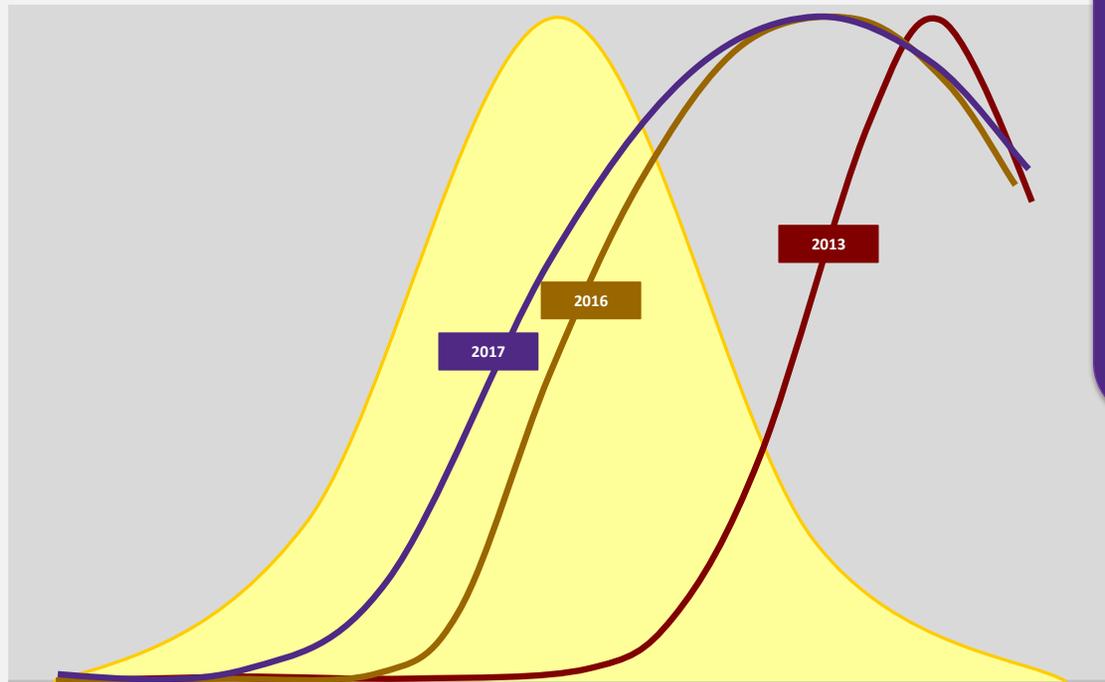
2017

Between 2013 and 2017, there has been a shift towards a normal bell curve indicating more accurate ratings

11

How Evaluations Tie to Merit (Non-Faculty)

- Authority to assign merit increases goes to the supervisor
- Human Resources reviews and ensures merit awards are appropriate based on evaluation scores and comments

12

FY17-18 Raise Components (Non-Faculty)

- 1 percent COLA for all budgeted employees hired prior to January 1, 2017

- 2 percent merit pool for all budgeted employees hired prior to January 1, 2017, that were not on a Performance Improvement Plan within the fiscal year

- Equity study across non-exempt and exempt staff positions

13

How Evaluations Tie to Merit (Non-Faculty)

Merit Pay Worksheet

Department: Human Resources

Clerical & Support

| T#	Pos #	Eclass	First	Middle	Last	Department	Title	Hire Date	Grade	Salary	1% COLA Inc	Prior Yr Score	Score	Overall Score	Increase Percentage	Amount of Increase	NEW Salary	Comments
T95123575	100000	CL	Mary	M	Max	Human Resources	Administrative Associate 2	9/5/1993	4	$ 26,597	$ 266	3.51	3.26	Meets Expectations	1.50%	$ 402	$ 27,265	
T74125896	200000	CL	Dorris	D	Day	Human Resources	Administrative Associate 3	9/8/2015	5	$ 25,156	$ 252	3.00	3.38	Meets Expectations	1.77%	$ 450	$ 25,858	
T96325874	300000	CL	Nancy	N	North	Human Resources	Administrative Associate 4	5/5/2014	6	$ 26,992	$ 270	3.10	3.09	Meets Expectations	1.25%	$ 340	$ 27,602	
T98745632	400000	CL	Sam	L	South	Human Resources	Administrative Associate 4	6/4/2013	6	$ 27,852	$ 279	3.87	3.75	Exceeds Expectations	2.49%	$ 700	$ 28,831	Strong employee - excellent customer service skills
T12345678	500000	CL	Walter	W	West	Human Resources	Administrative Associate 5	9/8/2001	7	$ 31,052	$ 311	3.18	3.80	Exceeds Expectations	2.75%	$ 861	$ 32,224	Significate improvement - goes above and beyond
C&S Totals										$ 137,649	$ 1,376				2.00%	$ 2,753	$ 141,778	
Merit Pay Budget										$ 2,753					2.00%	$ 2,753	$ 141,778	

Professional (Administrative)

T#	Pos #	Eclass	First	Middle	Last	Department	Title	Hire Date	Grade	Salary	1% COLA Inc	Prior Yr Score	Score	Overall Score	Increase Percentage	Amount of Increase	NEW Salary	Comments
T85265497	120000	AD	Jake	J	Jones	Human Resources	Manager	1/5/2002	44	$ 51,024	$ 510	2.85	3.10	Meets Expectations	1.75%	$ 891	$ 52,425	
T36521478	130000	AD	Fred	F	First	Human Resources	Specialist	2/14/2008	43	$ 45,893	$ 459	3.00	3.42	Meets Expectations	2.18%	$ 1,000	$ 47,352	
T85697412	110000	AD	Liz	L	Last	Human Resources	Coordinator	3/5/2006	42	$ 42,652	$ 427	3.00	3.65	Exceeds Expectations	3.00%	$ 1,278	$ 44,357	Innovated thinker - Process improvement within area
T65982314	140000	AD	Rosie	R	Flower	Human Resources	Manager	4/15/2015	44	$ 45,268	$ 453	2.65	2.40	Needs Improvement	0.00%	$ -	$ 45,721	
T78452598	150000	AD	Betty	B	Blossom	Human Resources	Manager	5/9/2012	44	$ 49,580	$ 496	3.25	3.53	Exceeds Expectations	3.00%	$ 1,485	$ 51,561	Managed several projects outside of scope
T15359575	160000	AD	Tess	T	Trust	Human Resources	Assistant Director	6/25/2011	47	$ 63,258	$ 633	3.16	3.44	Meets Expectations	2.06%	$ 1,300	$ 65,191	
Admin Totals										$ 297,675	$ 2,977				1.980%	$ 5,954	$ 306,606	
Merit Pay Budget										$ 5,954					2.00%	$ 5,954	$ 306,606	
Department Totals										$ 435,324	$ 4,353				1.980%	$ 8,707	$ 448,384	
Merit Pay Budget										$ 8,707					2.00%	$ 8,707	$ 448,384	
																	$ 448,384	
															Under (Over) Budget		$0	

14

30

Raise Distributions (Non-Faculty)

Scores	Average % Raise Increase
Unsatisfactory 0.00 – 1.49	1.00%
Needs Improvement 1.50 – 2.49	1.15%
Meets Expectations 2.50 – 3.49	2.78%
Exceeds Expectations 3.50 – 4.00	3.45%
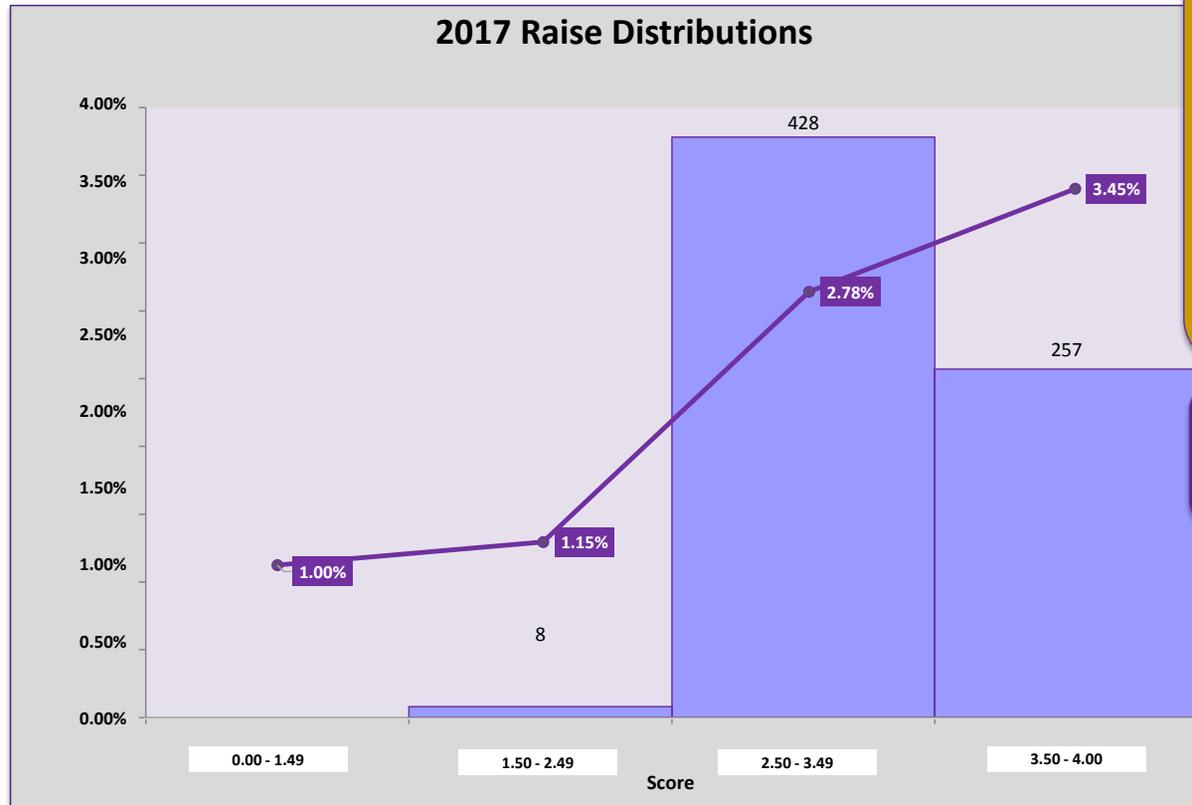
Spread for non-faculty salary increases

1% - 8.53%

3.01% Overall Average for Non-Faculty

2017 Raise Distributions

* Includes 1% COLA

15

31

Faculty Compensation Plan

- Separate from Staff Compensation Plan

- Faculty Compensation Committee

- Handled through Academic Affairs – Not Human Resources

- Faculty Plan includes equity and merit component based on the previous five annual evaluations

16

Faculty Evaluation Process

- All faculty, both tenured and non-tenured, are evaluated annually by the department chairperson and the college dean

- Prior to completion of the evaluation form, each faculty member is required to prepare and file a *Faculty Annual Report* documenting his/her activities and effort

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Annual Faculty Evaluation

CONTRIBUTION TO UNIVERSITY MISSION

Degree of Emphasis:		Chairperson's Ratings [1]				
		Outstanding[2]	High[3]	Good[3]	Acceptable[3]	Unacceptable[2]
Teaching	( )					
Advisement	( )					
Research/Scholarship/Creative Activity	( )					
Service/Outreach	( )					
Administration	( )					
Other (detailed in comments)	( )					
OVERALL						

DEAN'S OVERALL RATINGS[4]				

18

34

86% of scores High or Outstanding

FACULTY 2013 PERFORMANCE EVALUATIONS

Rating Guide

5 Outstanding

4 High

3 Good

2 Acceptable

1 Unacceptable

19

35
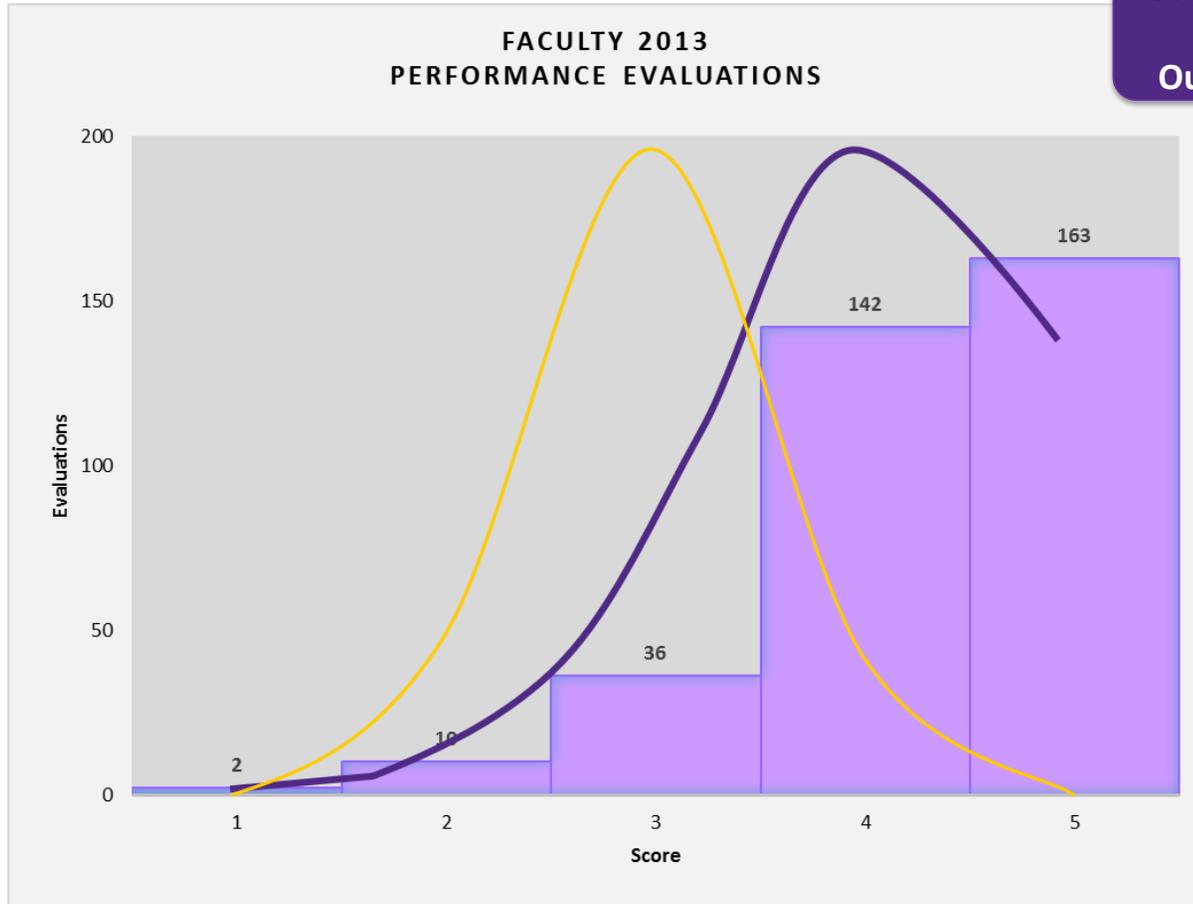
77% of scores High or Outstanding

Rating Guide

5	Outstanding
4	High
3	Good
2	Acceptable
1	Unacceptable

FACULTY 2017 PERFORMANCE EVALUATIONS

Chart: Evaluations (y-axis, 0–200) vs Score (x-axis, 1–5)

- Score 1: 0
- Score 2: 21
- Score 3: 78
- Score 4: 159
- Score 5: 173

20
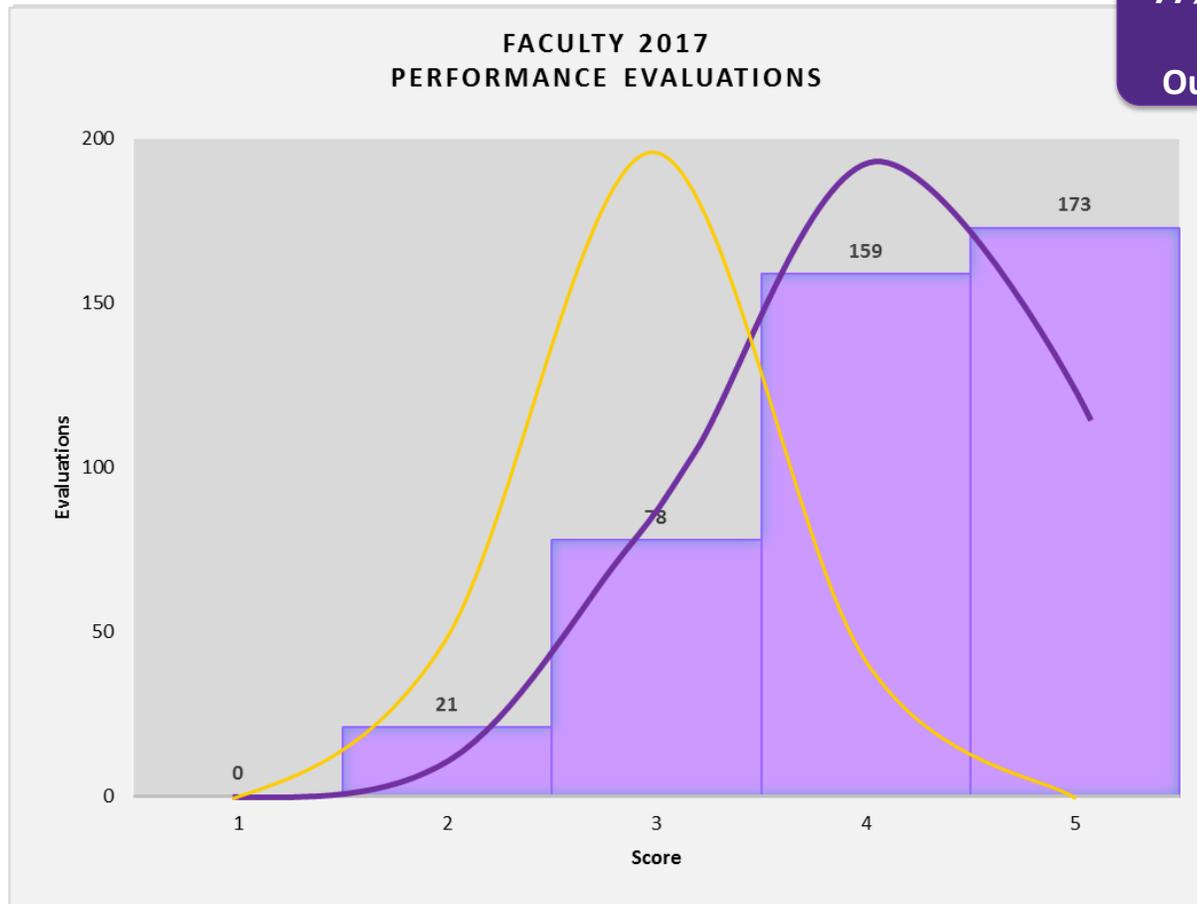
FY17-18 Faculty Raise Components

- 1 percent COLA for all budgeted faculty
- 2 percent market equity component
  - Market equity to ensure all faculty are at 80 percent of target salary based on CUPA-HR salary data for their discipline and rank
  - Additional equity applied based on formula to move faculty towards target salary; merit component included based on previous five annual evaluations

21

FY17-18 Faculty Raises

Rating Guide

5	Outstanding
4	High
3	Good
2	Acceptable
1	Unacceptable

AVERAGE RAISE PERCENTAGE BASED ON EVALUATION SCORE

Raise Percentage

- 0 (Score 1)
- 20 — 1 Faculty Promotion — 3.09% (Score 2)
- 62 — 2 Faculty Promotions — 2.81% (Score 3)
- 140 — 6 Faculty Promotions — 3.14% (Score 4)
- 164 — 14 Faculty Promotions — 3.49% (Score 5)

Score
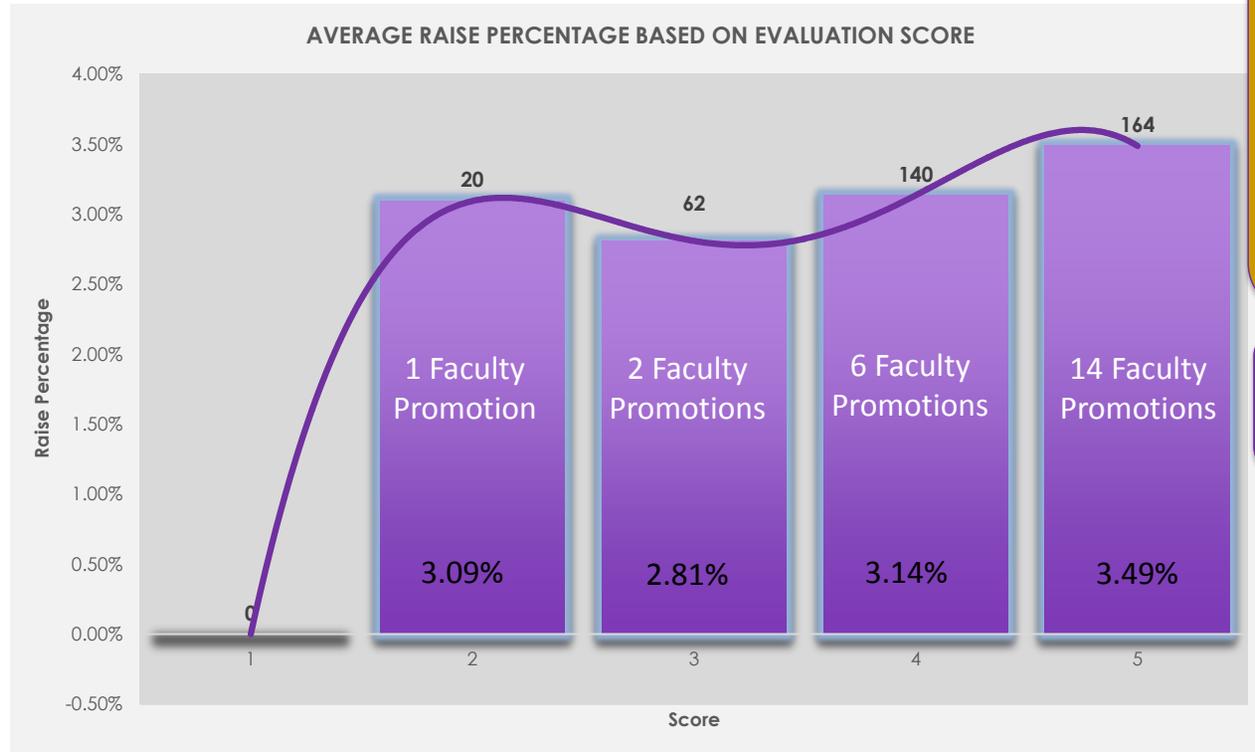
Spread for faculty salary increases (excluding merit bonus)

1% - 15.2%

3.2% Overall Average for Faculty

* Includes 1% COLA, 2% equity and faculty promotions; does not include merit bonus

FY17-18 Merit Bonus

- Additional permanent funding pool of $150,000
- One-time merit bonus based on current year evaluation
  - 47 percent (182) of faculty received merit bonus for FY17-18

Merit bonus ranged from **$526 - $2,402**

Merit Bonus

23
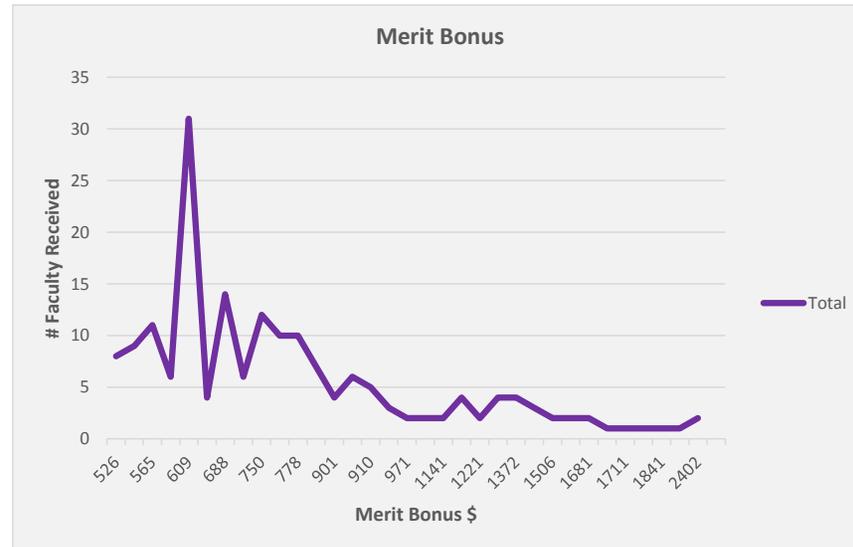
DISCUSSION

Agenda Item Summary

Date: August 17, 2017

Agenda Item: Revision to Bylaw 1.5

☐ **Review**   ☒ **Action**   ☒ **No action required**

_____

PRESENTER: Tom

PURPOSE & KEY POINTS:

While Bylaw 1.5 describes how to remove the chair of the Board, it does not require the chair to relinquish control of the meeting if a motion to remove is made and seconded. This revision corrects that oversight by requiring the chair to immediately hand control of the meeting to the vice chair or another member if such a motion is properly before the board for consideration.

ARTICLE 1: THE BOARD OF TRUSTEES

1.1   AUTHORITY OF THE BOARD

The management and governance of Tennessee Technological University is vested in the Board of Trustees, subject only to statutory limitations.

1.2   MEMBERSHIP

A.   The composition of the membership of the Board of Trustees ("Board"), the terms of office, and the conditions of membership are as provided in Tennessee Code Title 49, Chapter 8 and are incorporated by reference into these bylaws as if fully set forth herein, including all future amendments.

B.   Members shall receive no compensation for their services, but shall be entitled to reimbursement for travel expenses incurred in the performance of their official duties in conformity with the comprehensive travel regulations as promulgated by the State of Tennessee Department of Finance and Administration and approved by the Attorney General and Reporter.

1.3   POWERS OF THE BOARD

The Board has the power to:

A.   Select and employ the chief executive officer ("President") of Tennessee Technological University ("Tennessee Tech") and to confirm the appointment of administrative personnel, faculty, and other employees and their salaries and terms of office,

B.   Review and approve the mission of Tennessee Tech,

C.   Approve curricula and requirements for diplomas and degrees,

D.   Approve the operating budgets and set the fiscal policies, including tuition rates, for Tennessee Tech, subject to any statutory limitation on that power,

E.   Establish policies and regulations regarding the campus life at Tennessee Tech, including, but not limited to, the conduct of students, student housing, parking, and safety,

F.   Establish policies defining residency of students, subject to any statutory limitation,

G.   Establish policies and regulations related to employees,

H.   Grant tenure to eligible members of the faculty upon the positive recommendation of the President,

I.   Assume general responsibility for the operation of Tennessee Tech, delegating to the President such powers and duties as are necessary and appropriate for the efficient administration of Tennessee Tech,

J.   Receive donations of money, securities, and property from any source on behalf of Tennessee Tech and use such donations in accordance with the conditions set by the donor,

K.   Purchase land subject to the terms and conditions of state regulations, to condemn land, and to erect buildings and equip them for Tennessee Tech subject to the requirements of the state building commission, the master plan approved by the Tennessee Higher Education Commission, and to the terms and conditions of legislative appropriations,

L.   Delegate and provide for the further delegation of any and all its powers subject to limitations expressly set forth in law,

M.   Exercise any power granted by statute, and

N.   Exercise any other powers not otherwise prohibited by law that are necessary to govern Tennessee Tech.

1.4   RESPONSIBILITIES OF THE BOARD

Board members are required to

A.   Be free of any contractual, employment, or personal or familial financial interest in Tennessee Tech, to the extent required by statute, rule, or accrediting standards,

B.   Be free from undue influence from political, religious, or other external bodies and protect Tennessee Tech from such influence,

C.   Be transparent in all Board actions to the extent required by the law,

2

D.   Not direct matters of administration or of executive action except through the President,

E.   Represent the interest of the entire university rather than any single constituent part,

F.   Not speak on behalf of Tennessee Tech unless authorized to do so by the Board or chair of the Board,

G.   Participate in all Board meetings and events, absent good cause,

H.   Stay informed, to the extent practical, about the educational and business affairs of Tennessee Tech.

1.5   OFFICERS OF THE BOARD

A.   The Board shall elect from its members a chair, vice chair, and other officers the Board deems appropriate. The officers shall serve a term of two (2) years.

B.   The chair and vice chair may be elected to consecutive terms without limitation.

C.   The chair shall preside when present at meetings of the Board and shall be the spokesperson for the Board unless otherwise directed by the Board. The chair shall perform such other duties as prescribed by the Board and by the bylaws.

    1.   In the absence of the chair, the vice chair shall preside at meetings of the Board and otherwise perform the duties of the chair.

    2.   In the absence of the chair and vice chair, the Board may temporarily appoint a member to preside.

    3.   A Board officer may voluntarily relinquish his/her officer position by submitting a letter of resignation to the Board's secretary with an effective date.

D.   A Board officer serves at the pleasure of the Board. A Board officer may be removed from office by a two-thirds (2/3) vote of the Board members eligible to vote.

 E.   In cases where a Board member makes a motion to remove the chair and the motion is seconded, the chair shall immediately hand over the control of the meeting to the vice-chair. In the absence of the vice-chair, the Board may temporarily appoint a member to preside over the discussion and vote on the motion. If the motion is not successful, the chair will resume control of the meeting.

F~~E~~.   In the case of a vacancy or expired term, the Board shall elect a new officer at the

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next meeting of the Board.

G~~F~~. The Board shall ratify or reject the President's appointment of a Board secretary.

ARTICLE 2: MEETINGS OF THE BOARD

2.1   MEETINGS SUBJECT TO THE TENNESSEE OPEN MEETINGS ACT

All Board meetings for which a quorum is required to make a decision or to deliberate toward a decision are open to the public, except as authorized by a statutory or judicially recognized exception to the Tennessee Open Meetings Act.

2.2.   REGULAR MEETINGS

A. The Board shall meet at least four (4) times each fiscal year.

B. The Board's secretary shall provide at least five (5) days' written notice of the regular meetings to all Board members. Notice may be provided by any reasonable means.

2.3   SPECIAL MEETINGS

A. The chair, vice chair, President, or the Board's secretary, the latter upon the written request of three (3) or more of Board members eligible to vote, may call a special meeting, provided the call states the business to be considered.

B. If the business to be considered requires immediate action, a special meeting may be called with less than five (5) days' notice. Notice may be provided by any reasonable means in the circumstances.

2.4   AGENDAS

A. The Board's secretary, upon advice from the President and the Board chair, shall prepare an agenda for every meeting.

B. If feasible, an agenda will accompany each notice of a regular or special meeting of the Board.

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2.5   QUORUM

Five voting members shall constitute a quorum for taking Board action.

2.6   MANNER OF TAKING ACTION

A.   All votes of the Board shall be by public vote as defined by Tennessee Code Annotated Section 8-44-104(b), public ballot, or public roll call. No secret votes, secret ballots, or secret roll calls are allowed.

B.   The action of a majority of the quorum of Board members eligible to vote and present at any meeting shall be the action of the Board, except as otherwise prescribed by the bylaws, Board policy, or statute.

C.   The Board may permit any or all members to participate in a meeting by, or conduct the meeting through, use of any means of telephonic or electronic communication.

    1.   The meeting must be audible to the public at the location specified in the notice of the meeting as the location of the meeting.

    2.   All participating members must be able to both hear all members and speak to all members during the meeting.

    3.   Any member participating by telephone or electronically shall identify the persons present in the location from which the member is participating.

    4.   Any member who participates in a meeting covered by this provision shall be deemed "present" at the meeting.

    5.   A public roll call vote is required on all matters.

D.   A public roll call vote of the Board is required on all motions regarding budget approval, fees or tuition increases, capital expenditures, bylaw(s) or rule(s) revision, adoption, or repeal, or in any case required by law or deemed desirable in the judgment of the chair. Upon request of any member present, a public roll call vote may be called for on any matter, provided the member requests a public roll call vote before announcement of the public vote previously taken.

E.   Any item selected by the chair or referred to the Board with unanimous support from a Board committee may be presented to the Board on a consent calendar at the recommendation of the committee chair.

    1. The consent calendar shall be considered at the next regularly scheduled meeting of the Board and all items on the consent calendar shall be considered en bloc.

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2. If two or more members so request, an item shall be removed from the consent calendar, provided the request is made in writing to the chair and secretary, not later than two hours prior to convening of the Board meeting at which the consent calendar will be considered. The secretary will notify the Board of the request as soon as practicable.

3. An item may be removed from the consent calendar at the discretion of the chair at any time.

F. The Board may adjourn any regular or special meeting to any future date. If a quorum is not present, the members in attendance may adjourn any regular or special meeting until a quorum is present.

2.7   MINUTES

The Board's secretary shall take minutes at each meeting of the Board and maintain approved minutes as the official record of such meeting.

ARTICLE 3: BOARD COMMITTEES

Subject to statutory requirements, the Board may establish such committees as it deems appropriate or necessary and shall define by policy their duties, reporting requirements, and appointments of members.

ARTICLE 4: OFFICERS OF TENNESSEE TECH

4.1   OFFICERS

A. The officers of Tennessee Tech shall be its President, a Board's secretary appointed by the President, and such other officers as deemed necessary by the President to conduct Tennessee Tech and Board business and provide support to the Board. The officers shall have such authority and perform such duties as set forth in the law, in these bylaws, and as the Board or the President prescribes.

B. In the event of a vacancy or notice of an impending vacancy in the office of President, the Board shall appoint an interim President as provided by Board policy. In the event of a vacancy or notice of an impending vacancy in any office other than President, the President may appoint an individual to serve in an interim or permanent capacity, subject to the annual confirmation of the Board of the President's employment actions.

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4.2   APPOINTMENT AND DUTIES OF THE PRESIDENT

A.   The Board shall appoint a President who shall be the executive and governing officer of Tennessee Tech.

B.   The President shall have full authority over the administration of all affairs and operations of Tennessee Tech, subject to any statutory powers retained by the Board or specifically delegated by the Board to other Tennessee Tech officers.

C.   The President is authorized, consistent with the law and Board policies, to appoint, determine compensation and duties of, promote, demote, suspend, or terminate other officers and employees of Tennessee Tech and shall report such actions to the Board annually for confirmation.

D.   The President shall at least annually report to the Board all significant matters within the President's knowledge related to Tennessee Tech.

E.   The President shall perform such other duties as assigned by the Board.

ARTICLE 5: MISCELLANEOUS PROVISIONS

5.1   Any determination that any provision of these bylaws is for any reason inapplicable, invalid, illegal, or otherwise ineffective shall not affect or invalidate any other provision of these bylaws.

5.2   The Board may temporarily suspend any bylaw by a two-thirds (2/3) vote of the voting members present at the regular or special meeting in which the bylaw is to be suspended.

5.3   Any Board member may propose to alter, amend, restate, or repeal a bylaw by submitting a written request to the Secretary at any regular or special meeting. The Board will vote on any such request at the next regular or special meeting.

5.4   Anyone who wishes to address the Board must submit a written request to the Board's secretary to be received at least fifteen days prior to the scheduled meeting of the Board, absent good cause. The request must include the requestor's contact information and the subject matter to be addressed.

A.   The Board's secretary, in consultation with the chair, may either place the requested item on the agenda or notify the requestor in writing of the reason for rejecting the request. The secretary will, as soon as practicable, notify the other Board members of the request and the disposition of the matter.

B.   The Board may limit a speaker's time for any such address.

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Adopted: March 23, 2017

Revised: June 15, 2017

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Agenda Item Summary

Date: August 17, 2017

Division: Secretary

Agenda Item: Revision to Policy 002 (Selection, Evaluation, and Retention of the President)

| ☐ | **Review** | ☒ | **Action** | ☐ | **No action required** |

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PRESENTER: Kae

PURPOSE & KEY POINTS:

Policy 002 currently states that the Board will evaluate the President on a form developed by the Office for Human Resources. Policy 002 needs to be revised to reflect the evaluation will be conducted following procedures approved by the Board.

Tennessee Technological University
Policy No. 002

Selection,

Evaluation, and

Retention of the
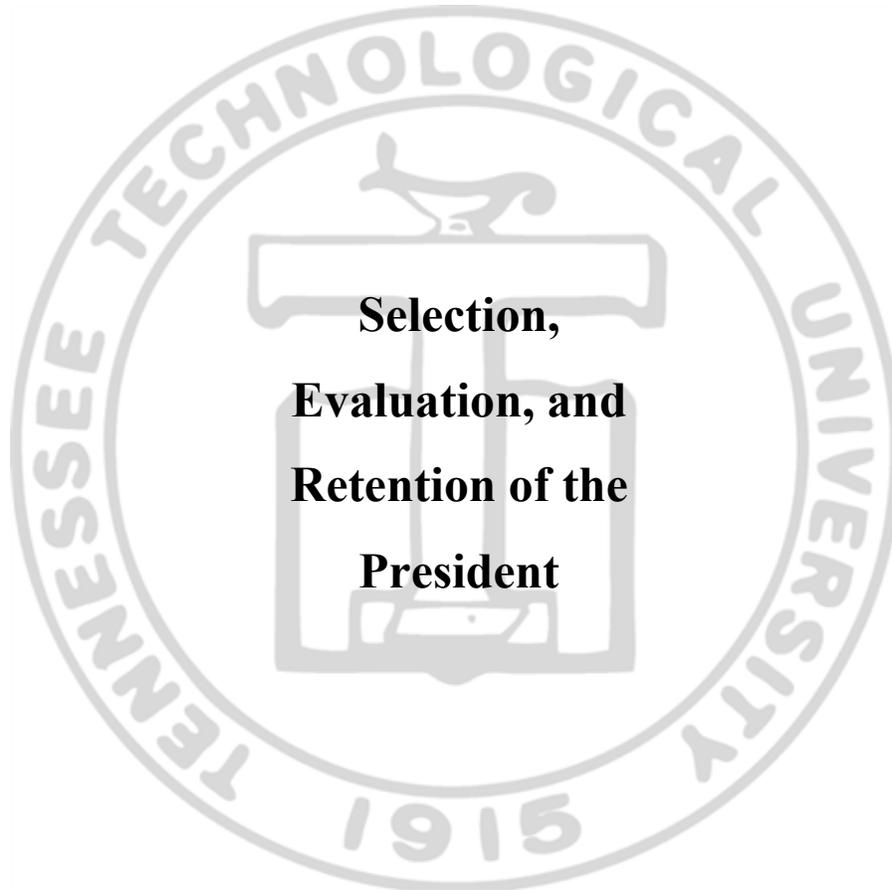
President

Effective Date: March 23,2017

Policy No.: 002
Policy Name: Selection, Evaluation, and Retention of the President
Policy Subject: Selection, evaluation, and retention of the President, including interim
                          appointments

Effective Date:

I.   Purpose

The purpose of this policy is to set the general parameters for the Board's selection, evaluation, and retention of the President, including interim appointments.

II.   Review

The Board will review this policy every four years or whenever circumstances require review, whichever is earlier.

III.   Policy

A. Method of Selecting a President

1. The Board shall choose a selection process it deems appropriate in the circumstances. Any such selection process should reflect the Board's commitment to consultation with the campus and community and to the principles of diversity.

2. Prior to beginning a search for candidates for the office, the Board shall establish the qualification criteria for the position and announce the process it will follow for selecting a president.

B. The Board may, to the extent allowed by law, set the terms and conditions of the president's appointment in any manner it deems appropriate, including but not limited to compensation and conditions related to retention and removal from office.

C. The Board shall evaluate the president's job performance on an annual basis on a form developed by Tennessee Tech's Office for Human Resources. following procedures approved by the Board.

D. In the case of a vacancy in the office of the president, the Board delegates to the chair the authority to appoint an interim president. The chair shall consult with the vice chair and executive director of the Tennessee Higher Education Commission prior to making an interim appointment.

1

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IV.   Interpretation

The Board chair or his/her designee has the final authority to interpret the terms of this policy.

V.   Citation of Authority for Policy

T.C.A. § 49-8-203(a)(1)(A)

Approved by Board of Trustees: March 23, 2017

2

Agenda Item Summary

Date: August 17, 2017

Division: Secretary

Agenda Item: Revision to Policy 005 related to Audit Committee, evaluation of president, matters that   come before the Executive Committee and its reporting requirement

☐ **Review**   ☒ **Action**   ☐ **No action required**

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PRESENTER: Kae

PURPOSE & KEY POINTS:

Policy 005 is revised in the following areas:

1. State Audit has informed Tennessee Tech that it requires the Board to nominate members for the Audit Committee and chair. Policy 005 is revised in two sections (III.B.3 and V.B.1) to reflect this requirement.
2. Section V.C.1 (Executive Committee) is revised to allow delegation of authority to the Executive Committee to evaluate the President in accordance with Board-approved procedures
3. A provision is added to delegate authority to the Executive Committee to approve matters brought to it by the president, provided those matters are not reserved to the full Board (e.g., tenure, budget, conferral of degree, etc.).
4. A provision is added to require the Executive Committee to report its actions to the Board at the next regular meeting.

Tennessee Technological University
Policy No. 005

Board Committees

Effective Date: March 23, 2017

Policy No: 005
Policy Name: Board Committees
Policy Subject: Establishes committees and describes their structure and responsibilities

I. **Purpose**

This policy establishes the committees of the Tennessee Tech Board and describes their structure and responsibilities.

II. **Review**

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Board or a committee designated by the Chair. In the case of the latter, recommendations for revision will be presented to the Board at a regular or special meeting.

III. **Committees**

A. **Standing committees**

1. The standing committees of the Board shall be

   a. Academic/Student Affairs/Research/Advancement/Athletics

   b. Audit/Compliance/Finance/Compensation/Facilities

   c. Executive

2. The authority of the standing committees shall be subject to action by the entire Board, except as otherwise provided by law. The committees' actions must be authorized and approved by the Board before becoming effective unless the Board delegates to the committee the authority to act on its own behalf.

B. **Structure of the committees**

1. Each standing committee shall have at least three voting members who shall each serve a two-year term and may be reappointed to consecutive terms.

2. Each standing committee shall have a chair who shall serve a two-year term and may be reappointed to consecutive terms.

1

3. The Board Chair shall appoint members and chairs of the standing committees, ~~with the exception of the Executive Committee.~~ unless otherwise excepted by this policy.

4. The Board Chair shall serve as an ex officio member of all standing committees, entitled to vote.

5. Each committee shall have a Tennessee Tech administrator to assist with its work.

C. Special committees

The Board Chair or Vice Chair may appoint special committees for specific assignments. Membership may be as determined appropriate. The chair of a special committee shall be designated by the Board Chair at the time the special committee is appointed. Matters assigned to a special committee shall be subject to action and approval by a designated standing committee or the Board before becoming effective.

IV. Matters Related to Committee Meetings

A. The Executive Committee shall meet as often as necessary to carry out its responsibilities. All other standing committees shall meet at the call of the Board Chair or committee chair.

B. Meetings may be called by the Board Chair, the President, or the committee chair.

C. Notice of meeting and agenda

1. When feasible, committee members shall receive at least five days' notice of meetings to include the purpose of the meeting. The notice may be delivered by any reasonable means.

2. When feasible, a copy of the agenda and related materials shall accompany notice of the meeting.

3. Matters not appearing on the agenda of a standing or special committee meeting may be considered only upon an affirmative vote of the entire committee.

4. Standing committee chairs may designate items to be included on a consent agenda for the committee; provided that the following items may not be placed on a committee consent agenda:

a. Amendment of the bylaws;

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    b. The annual operating budget, including student tuition and fee proposals for which Board approval is required;

    c. Funding requests for capital outlay and capital maintenance projects;

    d. Revenue or institutionally funded capital projects; and

    e. Any other item on which a roll call vote will be required in the full Board meeting.

D. A majority of the voting members of each standing or special committee shall constitute a quorum for the transaction of business. In the absence of a quorum, those attending may adjourn the meeting until a quorum is present.

E. Minutes shall be made of all standing and special committee meetings and provided to the Board Chair, the President, and the Secretary to the Board. The minutes shall be maintained as the official record of such meetings.

F. All meetings of standing and special committees shall be open to the public except as authorized by a statutorily or judicially recognized exception to the Tennessee Open Meetings Act, T.C.A. § 8-44-101 et seq.

V. **Committee Duties**

A. **Academic/Student Affairs/Research/Advancement/Athletics Committee ("Academic & Student Affairs Committee")**

The committee shall oversee the quality of academic programs and services and student life consistent with Tennessee Tech's mission. The committee shall make recommendations to the Board relating to:

1. Approval of proposals for new academic programs and the significant revision of existing programs;

2. Ensuring and protecting, within the context of faculty-shared governance, Tennessee Tech's educational quality and its academic programs;

3. Approval of admission, progression, retention, and graduation standards;

4. Institutional accreditations, program accreditations, and program reviews;

5. Promoting the welfare of students attending Tennessee Tech;

6. Review and approve policies related to academic and student affairs consistent with TTU Board Policy 003 (Board Delegation of Authority);

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7. Oversight of programs seeking to extend Tennessee Tech's scientific, technological, commercialization, and educational expertise to communities, counties, agencies, and organizations in the state, nationally, and globally;

8. Review the operation of the Tennessee Tech's intercollegiate athletics programs and assist the Board in carrying out its responsibility of those programs;

9. Exercise oversight of Tennessee Tech programs related to private gifts, alumni support, public relations, and communications and marketing;

10. Review and approval of policies related to research, advancement, and athletics matters consistent with TTU Board Policy 003 (Board Delegation of Authority); and

11. Other areas as directed by the Board.

B. **Audit/Compliance/Finance/Compensation/Facilities Committee ("Audit & Business Committee")**

1. The Committee and its chair shall be nominated and approved by the Board.

~~1.~~2. The committee shall have the authority to direct Tennessee Tech's management to initiate and address specific audit and compliance issues within the mandate of the committee. It may conduct, authorize, or facilitate any audit or investigation appropriate to fulfill its oversight responsibilities.

~~2.~~3. The committee shall adopt and maintain a charter consistent with state law and any Tennessee Comptroller of the Treasury's requirements. The committee shall submit the charter and any subsequent revisions to the Board for approval.

~~3.~~4. The committee is responsible for and shall make recommendations to the Board related to:

   a. Audit engagements with the Tennessee Comptroller's Office including the integrity of financial statements and compliance with legal and regulatory requirements;

   b. Audit engagements with external auditors;

   c. Internal audit activities;

   d. Internal audit administration;

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e. Internal controls and compliance with laws, regulations, and other requirements;

f. Risk and control assessments;

g. Fraud, waste, and abuse prevention, detection, and reporting;

h. Review and approval of policies related to audit and compliance matters, consistent with TTU Board Policy 003 (Board Delegation of Authority);

i. Monitoring Tennessee Tech's financial performance and reporting to the Board;

j. Reviewing and recommending annual and long-range operating, capital, and maintenance budgets;

k. Reviewing and recommending rates for student tuition and fees;

l. Overseeing financial reporting and related disclosures;

m. Recommending adoption or modification of capital improvement plans and the facilities master plan, advocating for new structures, and rehabilitating or removing older structures;

n. Recommending appropriate action with regard to the acquisition and disposition of real property;

o. Acting on matters related to personnel, including faculty and staff compensation and tenure;

p. Reviewing or acting on matters related to information technology planning and strategy, including significant technology investments;

q. Reviewing and approving policies related to finance, compensation and facilities, consistent with TTU Board Policy 003 (Board Delegation of Authority);

r. Reviewing and approving policies related to audit and compliance matters, consistent with TTU Board Policy 003 (Board Delegation of Authority); and

s. Other areas as directed by the Board.

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C. **Executive Committee**

1. The Executive Committee shall be composed of the Chair and Vice Chair of the Board, and one at-large voting member elected by the Board. The Chair of the Board shall be the chair of this committee.

2. The Executive Committee may act for the Board between regular Board meetings on urgent matters except the following, which shall be reserved to the Board:

   a. Presidential selection, evaluation, and termination;

   b. Amendments to the Board bylaws;

   c. Sale or disposition of real estate;

   d. Tenure decisions;

   e. Maintenance fees, tuition, and other student fees;

   f. Capital budget request prepared for submission to the Tennessee Higher Education Commission for consideration for inclusion in the Governor's budget proposal;

   g. Adoption of the annual budget; and

   a. Conferral of degrees.

3. The Executive Committee shall ensure the integrity of the Board and is responsible for:

   a. Establishing and maintaining standards of Board conduct by monitoring compliance with TTU Policy 001 (Board Code of Ethics and Conduct and Conflict of Interest);

   b. Approval of the creation and removal of executive positions reporting directly to Tennessee Tech's president and appointments to all positions reporting directly to the president;

   a.c. Approval of matters presented to the Executive Committee by Tennessee Tech's president, consistent with the limitations on the powers of the Executive Committee described in Section V.C.2 of this policy;

   b.d. Making recommendations or taking action, as allowed, relating to the selection, retention, evaluation, termination, compensation, benefits, and performance management of Tennessee Tech's president.

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c.c. Assessing the performance and effectiveness of the Board and Board members;

d.f. Ensuring an effective orientation and ongoing professional development for Board members;

e.g. Periodically reviewing and ensuring compliance with the Board bylaws and other Board policies, recommending amendments when appropriate;

f.h. Reviewing the committee structure of the Board for continued effectiveness;

g.i. Overseeing the work of the other standing committees; and

h.j. Other areas as directed by the Board.

4. **The Executive Committee shall report all of its actions to the full Board at the next regular meeting.**

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VI.   Interpretation

The Board Chair or his/her designee has the final authority to interpret the terms of this policy.

VII.   Citation of Authority for Policy

T.C.A. § 49-8-201(f)(8)(B)

Approved by Board of Trustees: March 23, 2017
Revised by Board of Trustees: June 15, 2017

7

Agenda Item Summary

Date: August 17, 2017

Agenda Item: Revision to Policy 005 related to approval of positions and appointments reporting directly   to the president

	Review	☒	Action		No action required

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PRESENTER: Tom

PURPOSE & KEY POINTS:

Policy 005, Section V.C, is revised to include a provision to delegate authority to the Executive Committee to approve the creation and removal of executive positions that the report to the president and appointment to all positions reporting directly to the president.

**Tennessee Technological University
Policy No. 005**

**Board
Committees**

Effective Date: March 23, 2017

Policy No: 005
Policy Name: Board Committees
Policy Subject: Establishes committees and describes their structure and responsibilities

I. **Purpose**

   This policy establishes the committees of the Tennessee Tech Board and describes their structure and responsibilities.

II. **Review**

   This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Board or a committee designated by the Chair. In the case of the latter, recommendations for revision will be presented to the Board at a regular or special meeting.

III. **Committees**

   A. **Standing committees**

      1. The standing committees of the Board shall be

         a. Academic/Student Affairs/Research/Advancement/Athletics

         b. Audit/Compliance/Finance/Compensation/Facilities

         c. Executive

      2. The authority of the standing committees shall be subject to action by the entire Board, except as otherwise provided by law. The committees' actions must be authorized and approved by the Board before becoming effective unless the Board delegates to the committee the authority to act on its own behalf.

   B. **Structure of the committees**

      1. Each standing committee shall have at least three voting members who shall each serve a two-year term and may be reappointed to consecutive terms.

      2. Each standing committee shall have a chair who shall serve a two-year term and may be reappointed to consecutive terms.

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3. The Board Chair shall appoint members and chairs of the standing committees, ~~with the exception of the Executive Committee.~~ unless otherwise excepted by this policy.

4. The Board Chair shall serve as an ex officio member of all standing committees, entitled to vote.

5. Each committee shall have a Tennessee Tech administrator to assist with its work.

C. Special committees

The Board Chair or Vice Chair may appoint special committees for specific assignments. Membership may be as determined appropriate. The chair of a special committee shall be designated by the Board Chair at the time the special committee is appointed. Matters assigned to a special committee shall be subject to action and approval by a designated standing committee or the Board before becoming effective.

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a. Amendment of the bylaws;

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   b. The annual operating budget, including student tuition and fee proposals for which Board approval is required;

   c. Funding requests for capital outlay and capital maintenance projects;

   d. Revenue or institutionally funded capital projects; and

   e. Any other item on which a roll call vote will be required in the full Board meeting.

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5. Promoting the welfare of students attending Tennessee Tech;

6. Review and approve policies related to academic and student affairs consistent with TTU Board Policy 003 (Board Delegation of Authority);

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7. Oversight of programs seeking to extend Tennessee Tech's scientific, technological, commercialization, and educational expertise to communities, counties, agencies, and organizations in the state, nationally, and globally;

8. Review the operation of the Tennessee Tech's intercollegiate athletics programs and assist the Board in carrying out its responsibility of those programs;

9. Exercise oversight of Tennessee Tech programs related to private gifts, alumni support, public relations, and communications and marketing;

10. Review and approval of policies related to research, advancement, and athletics matters consistent with TTU Board Policy 003 (Board Delegation of Authority); and

11. Other areas as directed by the Board.

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3.4. The committee is responsible for and shall make recommendations to the Board related to:

a. Audit engagements with the Tennessee Comptroller's Office including the integrity of financial statements and compliance with legal and regulatory requirements;

b. Audit engagements with external auditors;

c. Internal audit activities;

d. Internal audit administration;

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e. Internal controls and compliance with laws, regulations, and other requirements;

f. Risk and control assessments;

g. Fraud, waste, and abuse prevention, detection, and reporting;

h. Review and approval of policies related to audit and compliance matters, consistent with TTU Board Policy 003 (Board Delegation of Authority);

i. Monitoring Tennessee Tech's financial performance and reporting to the Board;

j. Reviewing and recommending annual and long-range operating, capital, and maintenance budgets;

k. Reviewing and recommending rates for student tuition and fees;

l. Overseeing financial reporting and related disclosures;

m. Recommending adoption or modification of capital improvement plans and the facilities master plan, advocating for new structures, and rehabilitating or removing older structures;

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   a. Presidential selection, evaluation, and termination;

   b. Amendments to the Board bylaws;

   c. Sale or disposition of real estate;

   d. Tenure decisions;

   e. Maintenance fees, tuition, and other student fees;

   f. Capital budget request prepared for submission to the Tennessee Higher Education Commission for consideration for inclusion in the Governor's budget proposal;

   g. Adoption of the annual budget; and

   a. Conferral of degrees.

3. The Executive Committee shall ensure the integrity of the Board and is responsible for:

   a. Establishing and maintaining standards of Board conduct by monitoring compliance with TTU Policy 001 (Board Code of Ethics and Conduct and Conflict of Interest);

   b. Approval of the creation and removal of executive positions reporting directly to Tennessee Tech's president and appointments to all positions reporting directly to the president;

   a.c. Approval of matters presented to the Executive Committee by Tennessee Tech's president, consistent with the limitations on the powers of the Executive Committee described in Section V.C.2 of this policy;

   b.d.   Making recommendations or taking action, as allowed, relating to the selection, retention, evaluation, termination, compensation, benefits, and performance management of Tennessee Tech's president.

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c.~~e.~~ Assessing the performance and effectiveness of the Board and Board members;

f.~~d.~~ Ensuring an effective orientation and ongoing professional development for Board members;

g.~~e.~~ Periodically reviewing and ensuring compliance with the Board bylaws and other Board policies, recommending amendments when appropriate;

h.~~f.~~ Reviewing the committee structure of the Board for continued effectiveness;

i.~~g.~~ Overseeing the work of the other standing committees; and

j.~~h.~~ Other areas as directed by the Board.

4. The Executive Committee shall report all of its actions to the full Board at the next regular meeting.

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VII.   Citation of Authority for Policy

T.C.A. § 49-8-201(f)(8)(B)

Approved by Board of Trustees: March 23, 2017
Revised by Board of Trustees: June 15, 2017

7

Agenda Item Summary

Date: **August 17, 2017**

Division: **Executive Committee**

Agenda Item: Board Procedures for President's Performance Review and Comprehensive Reviews

| ☐ | Review | ☒ | Action | ☐ | No action required |

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PRESENTERS: Tom

PURPOSE & KEY POINTS:

The Board needs to adopt a process for reviewing the President. The proposed process is as follows:

1. Board and President agree on goals. *
2. President submits a self-assessment to the Executive Committee
3. Executive Committee sends assessment to Board members and solicits comments from Board.
4. Executive Committee reviews confidential faculty evaluations of President and other comments, if applicable.
5. Executive Committee Representative summarizes comments from faculty evaluations, the board, and others received and shares the summary with Executive Committee.
6. Executive Committee Representative meets with President to review the material.
7. Executive Committee Representative provides written summary of meeting to President and Board.
8. President or Board can append comments to the written summary.
9. Final copy of assessment with comments will be provided to President and Board

The procedures also include a provision requiring the Board to consider every two years whether a comprehensive review is needed.

   *This requirement is not applicable to the President's evaluation in fiscal year 2018 or in the first year of any subsequent President's tenure. In those cases, the President will identify reasonable goals in writing and submit them to the Executive Committee and Board for approval.

Procedures for President's Performance
Reviews and Comprehensive Reviews

I. **Purposes**

   A. The purposes of the annual performance review are:
   1. To assist the Board in determining whether the President's performance is effective;
   2. To enable the President to enhance his or her performance and leadership;
   3. To promote good communications and strong working relationships between the President, the Board, and Tennessee Tech constituencies;
   4. To enable the President and the Tennessee Tech Board of Trustees ("Board") to set mutually agreeable goals; and
   5. To inform Board decisions on compensation and other terms of employment for the President.
   B. The purpose of the process is to provide the Board with a full opportunity to provide input to the President's evaluation while according the President the same level of confidentiality enjoyed by all other Tennessee Tech employees.

II. **Responsibility**

   A. Pursuant to TTU Policy 002 (Selection, Evaluation, and Retention of the President), the Board is responsible for assessing the President's performance.
   B. Pursuant to TTU Policy 005 (Board Committees), the Board has delegated to the Executive Committee the responsibility for organizing and conducting an annual performance review of the President.

III. **Process for the President's Annual Performance Review**

   A. The President shall prepare a written self-assessment statement in a format and according to a timetable mutually agreed upon by the President and the Executive Committee. The statement shall include the following:
   1. Progress toward meeting goals and expectations previously agreed upon[1] by the President and the Board,
   2. Assessment of Tennessee Tech's strategic directions pertaining to its mission and vision statements,

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[1] This requirement is not applicable to the President's evaluation in fiscal year 2018 or in the first year of any subsequent President's tenure. In those cases, the President shall identify reasonable goals in writing and submit them to the Executive Committee and Board for approval.

1

3. Assessment of the overall academic quality of Tennessee Tech, including its achievements and accomplishments,

4. Assessment of Tennessee Tech's financial status,

5. Identification of significant institutional challenges faced over the prior year, and a prospective statement of challenges and opportunities facing Tennessee Tech in the upcoming year, and

6. Goals proposed by the President for the coming year.

B. After receipt of the President's confidential self-assessment statement, the Executive Committee will confidentially share the President's self-assessment with the Board and solicit confidential written feedback from the Board members on the President's statement.

C. The Executive Committee will also review the confidential faculty evaluations of the President submitted pursuant to TTU Policy 209 (Faculty Evaluation of University Administrators) and may, in its sole discretion or at the request of the Board, solicit additional confidential feedback from faculty, administrators, or staff as needed.

D. The Chair of the Board or a member of the Executive Committee designated by the Chair (either of whom hereinafter referred to as "the Executive Committee Representative") will summarize the written comments from faculty evaluations, the board, and others received and share the summary with the Executive Committee for its review.

E. Based on the summary of the materials received, the Executive Committee Representative will meet with the President concerning the President's self-assessment statement, feedback received, and the President's goals and expectations for the coming year.

F. Based on the President's self-assessment statement, feedback received, and the meeting with the President, the Executive Committee Representative will prepare a confidential draft written assessment of the President's performance, and share this assessment with the President and the Board, who may offer confidential written comments concerning this assessment. The Executive Committee Representative will incorporate these comments as appropriate.

G. The Executive Committee Representative will provide a copy of the final confidential written assessment to the Board and the President.

H. The Executive Committee may, in its sole discretion, vary the requirements of the annual performance review process.

IV. **Periodic Comprehensive Review**

A. Two years after the first annual assessment of the President is conducted, the Executive Committee should consider whether or not to perform a comprehensive review of the President's performance in a subsequent year.

B. If such a comprehensive review is to be performed, the Executive Committee may choose to engage the assistance of one or more external advisors.

Approved by the Board on

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Agenda Item Summary

Date: August 17, 2017

Division: Executive Committee

Agenda Item: Development of a Contract for the President

	Review	☒	Action		No action required

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PRESENTER: Tom

PURPOSE & KEY POINTS:

The Executive Committee supports the proposition that the Board should offer presidents contracts; the Committee requests the Board approve the development a contract for the current president and present it to the Board for approval at the December meeting.

Agenda Item Summary

Date: **August 17, 2017**

Division: **President**

Agenda Item: President's Proposed Goals and Expectations

Review	⊠ Action	No action required

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PRESENTER: Tom and Phil

PURPOSE & KEY POINTS:

The President is proposing goals and expectations for the 2017-2018 year as presented in the board book. The Executive Committee discussed a draft of these goals and expectations at its August 1, 2017, meeting. The Committee did not vote to recommend the draft because the President indicated he wished to revise the document substantially before presenting it to the Board.

President Philip B. Oldham
GOALS FOR FY 2018

Strategic Goals
1. Complete a new strategic plan to guide TTU for the next 5 years including:
    a. An overarching framework to define TTU and guide University priorities
    b. A strategy for continuing education, online/distance education and adult education
    c. A strategic framework for integration of student success and career development
    d. Identification of innovative programs to differentiate TTU and meet underserved current or future educational needs
    e. Identify specific near term FY18 and FY19 priorities and tactics
2. Complete an enrollment management plan for Fall 2018 and beyond that emphasizes TTU's value proposition and diversity
3. Work closely with faculty leadership to prioritize and support faculty interests in alignment with the University's new strategic plan

Administrative Goals
4. Recruit a new Vice President for Enrollment Management
5. Enhance organizational communication and awareness of TTU's status and priorities
6. Complete an administrative reorganization to improve efficiency and effectiveness
7. Implement procedures, reports, and meeting structures for Board to enhance effectiveness and impact of Board

University and Economic Development
8. Develop and implement an enhanced branding and marketing campaign
9. Raise substantial resources towards fulfillment of Tennessee Tech Tomorrow campaign goals
10. Work closely with regional, state, national and industry leaders to leverage TTU capabilities for economic development

Agenda Item Summary

Date: August 17, 2017

Division: Board

Agenda Item: Board Appointment of Audit Committee and Its Chair

	Review	☒	Action	☐	No action required

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PRESENTER: Tom

PURPOSE & KEY POINTS:

State Audit has informed Tennessee Tech that it requires the Board to nominate members for the Audit Committee and its chair. This action will bring the Board into compliance with that requirement.

Agenda Item Summary

Date: August 17, 2017

Division: Internal Audit

Agenda Item: Review of 2016-17 Internal Audit Annual Report of Activity

⊠ **Review**   ☐ **Action**   ☐ **No action required**

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PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

As required in Tennessee Code Annotated § 49-14-103, a report of Internal Audit's activities for 2016-17 is being provided to the Audit Committee members for review. It is broken down into six categories: audits, follow-ups to audits, reviews, investigations, risk assessment activities, and other projects.

Internal Audit
Annual Report of Activity for 2016-17
As of June 30, 2017

Audits

Student Assistance Fund 2015-16	Report issued 08/19/2016
Inventory Observations 6-30-16	Report issued 07/13/2016
Clery Act Compliance	Report issued 03/14/2017
APSU President's Audit	Report Issued 10/13/2016
Title IX Compliance	Report Issued 06/21/2017

Follow-Ups

Five follow-ups completed: Off-Campus International Education Programs Audit, Laboratory Safety Audit, and (3) Clery Act Audit.

Reviews

Procard Reviews – 283 cardholders reviewed

Sponsored Program Reviews

- THEC ITQ Talking Sense K2
- NSF Expanding Use of the CAT

Campus-wide Membership Review

Unauthorized Bank Account Review

Monthly Review of Amazon Business Purchases (Feb to June)

Investigations

Fraud, Waste, or Abuse (FWA) Investigations – 12 logged	10 Completed / 2 In Progress
Non-FWA Matters – 9 logged and forwarded as necessary	

Risk Assessment

Reviews of Risk Assessments prepared by Athletics and Financial Management	In Progress

Other Projects

Developed two policies – 130 Internal Audit and 131 Preventing Fraud, Waste, or Abuse

Developed TTU Audit Committee Charter

Developed Post-FOCUS TTU Internal Audit Charter

Verified all petty cash

Agenda Item Summary

Date: August 17, 2017

Division: Internal Audit

Agenda Item: Approval of 2017-18 Audit Plan

☐ **Review**   ☒ **Action**   ☐ **No action required**

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PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

An audit plan for July 2017 through December 2018 is being provided to the Audit Committee for review and approval.

The plan reflects Internal Audit's change from a fiscal-year plan to a calendar-year plan. It lists each significant activity to be carried out in the Internal Audit department and tells the type of activity and functional area involved.

Each departmentally chosen audit on the schedule was selected using a model that considered six points:

1. Prior audit results
2. Internal controls in the area
3. Changes in the unit
4. Size of the unit with regard to revenue collected, expenses, or number of transactions processed
5. Sensitivity of the unit
6. Management's assessment of the unit

Type	Area	Audit	Estimated Audit Start Date	Estimated Completion Date
		Tennessee Tech University **Internal Audit Plan** **Calendar Year 2018 and Remainder of 2017** **August 2017**		
T/A	FM	Maintenace, Tuition, Related Fees	In Progress	November 2018
R/A	FM	Inventory Observations 6-30-18	April 2018	July 2018
R/I	IS	Unscheduled Investigations	Sept 2017	December 2018
R/I	IA	INV 17-07	Sept 2017	October 2017
R/I	IA	INV 17-11	July 2017	July 2017
R/I	IA	INV 17-12	July 2017	July 2017
R/A	FM	Audit of TTU President's Expenses 2016-17	In Progress	December 2017
R/A	FM	Audit of TTU President's Expenses 2017-18	Sept 2018	December 2018
R/A	AT	Student Assistance Funds 2016-17	July 2017	August 2017
R/A	AT	Student Assistance Funds 2017-18	July 2018	August 2018
R/M	IS	Enterprise Wide Risk Assessment -2017	In Progress	December 2017
R/M	IS	Enterprise Wide Risk Assessment -2018	January 2018	December 2018
R/F	FM	Follow Up to 2016-17 State Audit	January 2018	February 2018
R/O	IS	Quality Assessment Review	Nov 2017	August 2018
D/V	FM	Procard Reviews	Sept 2017	December 2018
D/V	RE	Sponsored Program Review	May 2018	November 2018
D/C	IS	General Consultation	Sept 2017	December 2018
D/F	IS	Follow Ups to Internal Audits	Sept 2017	December 2018
D/A	SS	Scholarships	Sept 2017	February 2018
D/A	AD	University Advancement	February 2018	May 2018
D/A	IT	Cybersecurity Issues	December 2017	March 2018
D/A	IT	Technology Access Fee	December 2017	March 2018
D/A	FM	Receipts	Sept 2018	December 2018

Overall Types of Activity

R - Required
D - Department Planned
T - In Progress

Specific Types of Activities

A - Audit
S - Special Request
I - Investigation
P - Project (Ongoing or Recurring)
M - Management's Risk Assessment
C - Consultation
F - Follow-up Review
O - Other
V - Review

Functional Areas:

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

Agenda Item Summary

Date: August 17, 2017

Division: Internal Audit

Agenda Item: Notice of Responsibilities for Preventing, Detecting, and Reporting Fraud, Waste, or Abuse

☒ **Review** ☐ **Action** ☐ **No action required**

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PRESENTERS: Teresa Vanhooser, Chair of Audit & Business Committee

PURPOSE & KEY POINTS:

One of the duties of the Audit Committee is to regularly, formally reiterate to the Board, Management, and Staff their responsibilities for preventing, detecting, and reporting fraud, waste, and abuse.

Notice of Responsibilities

One of the duties of the Audit Committee is to regularly, formally reiterate to the Board, Management, and Staff their responsibilities for preventing, detecting, and reporting fraud, waste, and abuse.

Detailed definitions and examples of fraud, waste, and abuse, various individual's responsibility for preventing and detecting fraud, waste, and abuse, and methods for reporting fraud, waste, and abuse can be found in TTU Policy 131—Preventing and Reporting Fraud, Waste, or Abuse.

Individuals have varying responsibilities for preventing and reporting fraud, waste, or abuse.

Board Members

Generally, the Board and Audit Committee should consider the risk of fraudulent financial reporting and fraud due to misappropriation and abuse of university assets as they govern and guide the University.

Individually, board members should abide by TTU Policy 001—Board Code of Ethics and Conduct and Conflict of Interest.

Management

Management shall not engage in fraud, waste, or abuse and is responsible for developing and implementing internal controls to help prevent and detect fraud, waste, and abuse.

Executives and administrators with reasonable basis for believing fraud, waste, or abuse has occurred are required to report those incidents.

Employees

Employees shall not engage in fraud, waste, or abuse.

Employees with reasonable basis for believing fraud, waste, or abuse has occurred are strongly encouraged to report those incidents.

Students and Citizens

All students and citizens of the state of Tennessee are encouraged to report known or suspected acts of fraud, waste, or abuse.

Fraud, waste, or abuse can be reported confidentially and should be reported to a supervisor, institutional executive, TTU Internal Audit, or the Tennessee Comptroller of the Treasury.

Specific methods for reporting fraud, waste, or abuse can be found on TTU Internal Audit's website and in TTU Policy 131—Preventing and Reporting Fraud, Waste, or Abuse.

Also, for you convenience, we're providing each board member a brochure on Preventing and Reporting Fraud, Waste, or Abuse.

Agenda Item Summary

Date: August 17, 2017

Division: Internal Audit

Agenda Item: Approval of Revision to Audit Committee Charter

☐ **Review**   ☒ **Action**   ☐ **No action required**

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PRESENTERS: Deanna Metts, Director of Internal Audit

PURPOSE & KEY POINTS:

The Audit Committee Charter approved at the June 15th board meeting was subsequently submitted to the Tennessee State Comptroller's office for approval in accordance with Tennessee Code Annotated § 4-35-103. The Comptroller had issues with two items and requested that the charter be revised to deal with those items:

1. The wording in the Independence section of the charter referred to Tennessee Tech Board Policy 001, and State Audit did not want references to documents that could change without their approval.
2. The wording in the Membership section of the charter about selecting an Audit Committee chair and members referred to Tennessee Tech Board Policy 005, and that process in Policy 005 varied from the selection process outlined in the *Guidelines for Audit Committee Charters*.

Both the Independence and Membership sections have been updated to remove any reference to Tennessee Tech policies, and the wording in each has been revised to specifically state what is outlined in the *Guidelines for Audit Committee Charters*. Once approved by the Board, it will again be submitted to the Tennessee State Comptroller for approval.

Tennessee Tech University

Audit Committee Charter

I. **Purpose**

The Audit & Business Committee ("Committee"), a standing committee of the Tennessee Tech Board, will operate in compliance with the "State of Tennessee Audit Committee Act of 2005" (Tennessee Code Annotated Title 4, Chapter 35) and will assist the Board in fulfilling its responsibilities by reporting regularly to the Board about Committee activities and issues that arise.

The Committee will provide oversight in the following areas:

A. Audit engagements with the Tennessee Comptroller's Office, including the integrity of financial statements and compliance with legal and regulatory requirements,
B. Audit engagements with external auditors,
C. Internal Audit activities,
D. Internal Audit administration,
E. Internal controls and compliance with laws, regulations, and other requirements,
F. Risk and control assessments,
G. Fraud, waste, and abuse prevention, detection, and reporting, and
H. Other areas as directed by the Board.

II. **Authority**

The Committee has the authority to conduct or authorize audits or investigations into any matter within its scope of responsibility. The Committee is authorized to:

A. Seek any information it requires from employees or external parties. Employees are directed to cooperate with the Committee's requests,
B. Have access to all books, records, and physical properties of Tennessee Tech,
C. Meet with Board and institutional officials, external and internal auditors, legal counsel, or others as necessary, and
D. Delegate authority to subcommittees, providing that such decisions by any subcommittee are presented to the full Committee at its next scheduled meeting.

III. **Responsibilities**

The Committee has responsibilities for the following:

A. Tennessee Comptroller's Office Audits ("State Auditors")
   1. Understand the scope and approach used by the State Auditors in conducting their examinations,

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2. Review results of the Comptroller's examinations of financial statements and any other matters related to the conduct of the audits,

3. Review with management and legal counsel any legal matters (including pending litigation) that may have a material impact on the financial statements, and any material reports or inquiries from regulatory or governmental agencies,

4. Ensure that the Comptroller is notified of any indications of fraud in the manner prescribed by the Comptroller,

5. Resolve any differences between management and the Comptroller's auditors regarding financial reporting, and

6. Meet, as needed, with the Comptroller's auditors to discuss any matters that the Committee or State Auditors deem appropriate.

B. External Audits

1. Understand the scope and approach used by the external auditors in conducting their examinations,

2. Review results of the external auditors' examinations and any other matters related to the conduct of the external audits, and

3. Meet, as needed, with the external auditors to discuss any matters that the Committee or external auditors deem appropriate.

C. Internal Audit Activities

1. Ensure that the Director of Internal Audit reports directly to the Committee and has direct and unrestricted access to the chair and other committee members,

2. Review and approve the charter for the Tennessee Tech's Internal Audit department,

3. Review and approve the annual audit plans for Tennessee Tech's Internal Audit department, including management's request for unplanned audits,

4. Receive and review significant results of internal audits performed,

5. Work with Tennessee Tech management and Internal Audit to assist with the resolution of cooperation issues and to ensure the implementation of audit recommendations,

6. Review the results of the year's work with the Director of Internal Audit, and

7. Ensure the Tennessee Tech Internal Audit function maintains a quality assurance and improvement program, including internal procedures and assessments and a periodic external quality assessment of conformance with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.

D. Internal Audit Administration

1. Ensure the Director of Internal Audit's administrative reporting relationship to the President is independent.

2. Ensure that Tennessee Tech Internal Audit has adequate resources in terms of staff and budget to effectively perform its responsibilities.

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       3. Review and approve the appointment, compensation, reassignment, or dismissal of the Director of Internal Audit.

E. <u>Risk, Internal Control and Compliance</u>

       1. Consider the effectiveness of the internal control system and compliance with laws and regulations, including computerized information system controls and security,

       2. Review and evaluate risk assessments performed by institutional management and the Board, and

       3. Inform the Comptroller of the Treasury of the results of risk assessments and controls completed by Tennessee Tech management.

F. <u>Fraud</u>

       1. Ensure that the Board and the institution have an effective process in place to prevent, detect, and report fraud, waste and abuse.

       2. Facilitate audit and investigative matters, including advising auditors and investigators of any pertinent information received by the Committee.

G. <u>Other</u>

       1. Review and assess the adequacy of the Committee's charter every four years or as needed, whichever is earlier, requesting Board approval for any proposed changes.

       2. Ensure there are procedures for the receipt, retention, and treatment of complaints about accounting, internal controls, or auditing matters.

       3. Review Tennessee Tech's code of conduct and /or policies regarding employee conduct to ensure that they are easy to access, are widely distributed, are easy to understand and implement, include a confidential mechanism for reporting code violations, are enforced, and include a conflict of interest policy.

       4. Review Tennessee Tech's conflict of interest policy to ensure that the term "conflict of interest" is clearly defined, the policy is comprehensive, annual signoff is required, and potential conflicts are adequately resolved and documented.

IV. Independence

Each Committee member shall be independent in fact and appearance of any interests that are in conflict with their duties as a Committee member.

V. Membership

A. Pursuant to Tennessee Code Annotated Section 4-35-104, the Committee shall have at least three but not more than five members,

B. The Committee and its chair shall be nominated and approved by the Board.

C. Each Committee member shall serve for a term not to exceed two years and may be reappointed,

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    D. The Committee chair shall serve for a term not to exceed two years and may be reappointed,

    E. The Committee chair preferably shall have accounting and financial management expertise, and

    F. The other members of the Committee shall be generally knowledgeable in financial, management, and auditing matters.

VI.   Meetings

    A. The Committee shall meet as necessary, but at least annually, and also whenever requested by the chair of the Committee or Board or the Comptroller of the Treasury.

    B. The Committee may invite Board management, auditors, or others to attend and provide relevant information.

    C. The Board Secretary or designee shall take minutes at each meeting of the Committee and maintain approved minutes as the official record of such meeting.

    D. A majority of the members of the Committee shall constitute a quorum for the transaction of business.

    E. All meetings of the Committee shall adhere to the Open Meetings Act, Tennessee Code Annotated Title 8, Chapter 44, except that pursuant to Tennessee Code Annotated Section 4-35-108(b), the Committee may hold confidential, nonpublic executive sessions for the sole purpose of discussing the following:

        1. Items deemed not subject to public inspection under Tennessee Code Annotated, Sections 10-7-503 and 10-7-504, and all other matters designated as confidential or privileged under state or federal law,

        2. Litigation,

        3. Audits or investigations, and

        4. Matters involving information under Tennessee Code Annotated Section 4-35-107(a) where the informant has requested anonymity.

Approvals

Approved by: _____   Date: _____

    Teresa Vanhooser
    Chair of the Audit & Business Committee

Approved by: _____   Date: _____

    Thomas Jones
    Chairman of the Board

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Agenda Item Summary

Date: August 17, 2017

Division: Planning and Finance

Agenda Item: Agreement between Tennessee Technological University and Tennessee Tech University Foundation

☐   **Review**   ☒   **Action**   ☐   **No action required**

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PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

The Agreement between Tennessee Tech University and the Tennessee Tech University Foundation details each entities' powers, duties, and responsibilities. The Foundation's relationship with Tennessee Tech is based upon a shared interest in Tennessee Tech's development and the success of Tennessee Tech's mission.

AGREEMENT BETWEEN

TENNESSEE TECHNOLOGICAL UNIVERSITY

AND

TENNESSEE TECHNOLOGICAL UNIVERSITY FOUNDATION

THIS AGREEMENT made by and between Tennessee Technological University (hereinafter referred to as the "Institution"), and Tennessee Technological University Foundation (hereinafter referred to as the "Foundation").

The Institution is a public institution of higher education created by Tenn. Code Ann. 49-8-101 and governed by the authority of a local governing board of trustees.

The Foundation is a private, non-profit corporation existing by virtue of Tenn. Code Ann. 49-7-107 and Tenn. Code Ann. 48-51-101 et seq. (Tennessee Nonprofit Corporation Act), is tax-exempt under Section 501(c)(3) of Internal Revenue Code, and is organized to work in concert with the Institution . The Foundation is established by Charter and Bylaws dated April 4, 2001, attached hereto as Exhibit A, and its purpose is as stated therein.

The Foundation's relationship to the Institution is based upon a shared interest in the Institution's development and the success of the Institution's mission. Therefore, Institutional participation in and support of Foundation operations are appropriate and desirable.

THE PARTIES HEREBY AGREE AS FOLLOWS:

I.   FOUNDATION POWERS, DUTIES, AND RESPONSIBILITIES

1.   **Foundation Charter and Bylaws.** The Foundation shall file its initial and amended foundation charters and bylaws with the Secretary of State of the State of Tennessee and Institution president will submit copies the institution's legal counsel.

2.   **Ethics Policy.** The Foundation shall adopt an ethics policy complying with Tenn. Code Ann. § 49-7-107 that applies to and governs the conduct of all members of the Foundation's governing body. Members must review and acknowledge the code of ethics annually.

3.   **Foundation Business Affairs.** The Foundation's Board shall develop policies and procedures concerning the conduct of its business affairs and to assure appropriate reporting of financial and other activities. Such policies and

procedures shall implement sound business practices, provide for appropriate checks and balances and ensure prudent use of Foundation funds.

    a. *Budget Preparation*. With the assistance of Institution administrative personnel, the Foundation will create the Foundation's budget.

    b. *Procurement and Contracting*. The Foundation's Board shall develop policies and procedures that address procurement and contracting activities. When practicable, the Foundation shall use competitive procurement methods. Such policies must include a process for determining authority for authorizing contracts on behalf of the Foundation and for authorizing expenditure of Foundation funds. Authority for these functions cannot be delegated solely to an employee of the institution.

    c. *Contracts*. The Foundation does not have any authority to obligate the Institution in any manner. A contract may not be entered into in the names of both the Foundation and the Institution or in the name of either entity "on behalf of" the other. If a transaction involves both the Foundation and the Institution, both must be parties to the contract and it must be executed by authorized representatives of both.

    d. *Administration of Donations to the Foundation*. The Foundation shall develop policies and procedures that address the management and investment of contributions to the Foundation, subject to the requirements of the Uniform Prudent Management of Institutional Funds Act, T.C.A. Title 35, Chapter 10, Part 2.

    e. *Document Retention Policy*. The Foundation shall have a written mandatory document retention and periodic destruction policy that complies with Sarbanes-Oxley requirements. This should include guidelines for handling electronic files and voice mail, as well as paper documents. The Foundation's policy will prohibit document purging if an official investigation is anticipated or underway.

    f. *Reports*. The Foundation shall issue reports to the president of the Institution, at least annually, on the activities of the Foundation. An annual financial report shall be issued, prepared in accordance with generally accepted accounting principles, including all required note disclosures. Financial reports shall include, as applicable and according to appropriate accounting principles, the value of in-kind services provided by the Institution. The report must be issued in a timely manner to be included as a component unit of the institution's financial statement.

4. **Solicitation and Acceptance of Contributions.** The Foundation is hereby designated as an entity responsible for promoting and generating private sector support for the Institution. The Foundation may collect contributions for the Institution's charitable, scientific, and educational purposes. The Foundation shall assist the Institution and its departments in their fund-raising activities, capital campaigns, and development programs with individuals, corporations, foundations, and other organizations. The Foundation shall develop policies and procedures addressing the solicitation and acceptance of contributions to the

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Foundation, incorporating sound business principles and safeguarding compliance with donor intent and conditions. Prior to accepting any donation that will require substantial institutional support such as staff, financial assistance, storage, on-going maintenance, etc., approval must be obtained from the president of the Institution and, if applicable, from the Board of Trustees.

5.   **Confidentiality of Donor Information**. The Institution and the Foundation may share employees and services, including information on donors. As used herein, the Foundation's "donor information" includes but is not limited to a compilation of contributors, prospects, alumni, friends, and supporters of the institution. These records, as well as all other data, materials, and information belonging to the Foundation pertaining to past, current, prospective donors are proprietary to the Foundation and constitute its confidential information and trade secrets. The Institution and the Foundation shall comply with the provisions of T. C. A. § 49-7-140 regarding the confidentiality of gift records. Subject to those provisions, the Foundation may disclose confidential information from time to time to authorized Institution personnel for purposes of cooperative planning and implementation of activities, as authorized by the Foundation. Institution employees shall preserve the confidentiality of such shared information.

6.   **Use of Institution Name/Marks.**
a. The Foundation may, in connection with its lawful business and activities, use the name of the Institution as well as the Institution's logo, seal, and other symbols and marks.
b. The Foundation shall not delegate the authority to use the Institution's name or marks without written approval of the Institution's president and shall not permit the Institution's name or marks to be used in connection with advertising of non-institution or non-foundation products or services unless such use is consistent with policies of the institution.
c. The Foundation agrees to cease using the Institution's name and marks in the event:

    i.   Foundation dissolves;

    ii.   The Foundation ceases to be a non-profit corporation or ceases to be recognized by the IRS as described in Section 501(c)(3) of the Internal Revenue Code; or

    iii.   The Foundation or the Institution terminates this agreement.

7.   **Operational Support from the Institution.** The Institution may not transfer state or institutional funds to the Foundation; however, the Institution may provide in-kind services to Foundation as consideration for services rendered by the Foundation to the Institution. "In-kind services" include, but are not limited to, the provision of office space, administrative support and other staff.

8.   **Respect for Institution's Personnel Administration.** Foundations must respect the Board of Trustees and Institutional authority over personnel

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administration. Foundation expenditures for compensation and other payments to or for the benefit of institutional personnel and reportable as income to the recipient, such as salary, expense accounts, automobiles, club or other organization memberships and dues, etc., must be approved in advance, annually, by the Institution president, unless the salaries funded by the Foundation are in accordance with Institution's compensation plan and included in the Institution's personnel budget. Advance approval of the Board of Trustees shall be required if payments outside the Institution's compensation plan are made to or for the benefit of any Institutional employee, including the president, and if the aggregate value of such payments to any individual Institutional employee exceeds fifteen hundred dollars ($1,500) per fiscal year. This provision does not apply to reimbursement of business expenses incurred by Institutional employees or to non-taxable recognition awards given to Institutional employees.

9. **Taxes.** The Foundation shall be responsible for compliance with all applicable state and federal tax laws. If the Institution provides in-kind services to assist with the preparation and filing of required tax forms and returns, the Foundation shall supply all necessary information in a timely manner.

10. **Compliance with Applicable Laws.** The Foundation agrees to comply with all executive orders, federal, state, and local rules, regulations, and laws applicable to similar non-profit corporations.

11. **Compliance with Tennessee Tech Policy.** The Foundation agrees to comply with Tennessee Tech Policy 535.

12. **Hold Harmless**. The Foundation shall indemnify and hold harmless the Institution, its governing board, officers, employees, agents and students, in their official and individual capacities, from and against any and all claims of liability, injury, damages, expenses, demands and judgments, including court costs and attorneys' fees, arising out of the Foundation's performance of this agreement, except for injury or damage caused by the sole negligence of the Institution, and furthermore, this provision shall survive the termination or expiration of this agreement.

13. **Foundation Legal Counsel.** The Foundation shall be responsible for providing its own legal counsel.

II. <u>**INSTITUTION POWERS, DUTIES, AND RESPONSIBILITIES.**</u>

1. **Independence of Foundation**. The Institution agrees to encourage and maintain the independence of the Foundation and, at the same time, foster the cooperative relationship between the institution and Foundation

2. **General Powers of the Institution**. The Institution may:

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a.   Provide the professional services of its employees, within the scope of their employment with the Institution;

b.   Review the financial records of the Foundation to determine that the Foundation is adequately capitalized for any activities undertaken in the name of, for the benefit of, or in conjunction with the Institution;

c.   Request or require evidence satisfactory to the president or the president's designee of insurance or self-insurance adequate in form and amounts to cover foreseeable liability arising from activities undertaken in the name of, for the benefit of, or in conjunction with Institution;

d.   Request periodic review of any written general agreement or memorandum of understanding between the Institution and the Foundation to ensure that it describes each party's responsibilities in a manner that makes it clear to third parties dealing with the cooperative organization that the organization is acting as a legal entity separate from the Institution; and

e.   Take any action necessary to ensure that actions of the Institution's officials, faculty, staff, or employees relative to the Foundation are consistent with policies established by the Institution regarding conflicts of interest, outside activities, and other matters.

3.   **Institutional Services to Foundation**. In consideration of the services provided to the Institution by the Foundation and as set forth herein, the Institution may assist the Foundation in the following:

a.   Provision of office space, telephones, computers, supplies, *etc.* for personnel. These will be considered in-kind services from the Institution.

b.   Provision of clerical and administrative support services through the Institution's Development Office.

c.   Provision of designated financial services including financial record keeping.

4.   **Audit of Foundation Records.** In accordance with T.C.A. § 49-7-107(b), all annual reports, books of account and financial records of the foundation shall be subject to audit by the Comptroller of the Treasury of the State of Tennessee. Records and accounts maintained by the foundation shall be audited on the same cycle as the institutional audit performed by the Comptroller, or, with the prior approval of the Comptroller, an independent public accountant may perform such an audit. The contract between the independent public accountant and the foundation shall be approved in advance by the Board of Trustees and the Comptroller and shall be on forms prescribed by the Comptroller. All annual

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reports, books of account and financial records of the foundation shall be available for audit by the internal auditors of the Institution.

III.   **MUTUAL ACKNOWLEDGEMENTS AND OBLIGATIONS.**

1   **Termination**. Either party may terminate this agreement upon sixty days' notice.

2.   **Term.** This agreement is based upon the Institution's fiscal year, which is July 1 through June 30. The term of this Agreement shall commence on the date first written below and expire on June 30, 2018. If neither party gives notice of termination, as provided in paragraph 2, above, prior to the expiration of the agreement, it will continue on a year-to-year basis. If this agreement is terminated by either party, all funds, assets, data and information in the possession of the Foundation will be transferred to the Institution as soon as is practicable.

3**.**   **Entire Agreement/Modification.** This agreement contains all the terms between the parties. It may be amended only in writing signed by legally authorized representatives of all parties.

APPROVED:

Tennessee Technological University Foundation

By: _____   _____
          Thomas M. Hudson, Jr.   Date
          Chair

Tennessee Technological University

By: _____   _____
          Dr. Philip B. Oldham   Date
          President

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ACKNOWLEDGED AND APPROVED:

Tennessee Technological University Board of Trustees

By: _____   _____
      Thomas H. Jones   Date
      Chair

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Agenda Item Summary

Date: August 17, 2017

Division: Planning and Finance

Agenda Item: Policy 521 – Deposit and Investment of Funds

| ☐	Review	☒	Action	☐	No action required

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PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

This policy sets forth appropriate policies and procedures for depositing and investing funds for Tennessee Tech.

Tennessee Technological University
Policy No. 521

Deposit and Investment of Funds
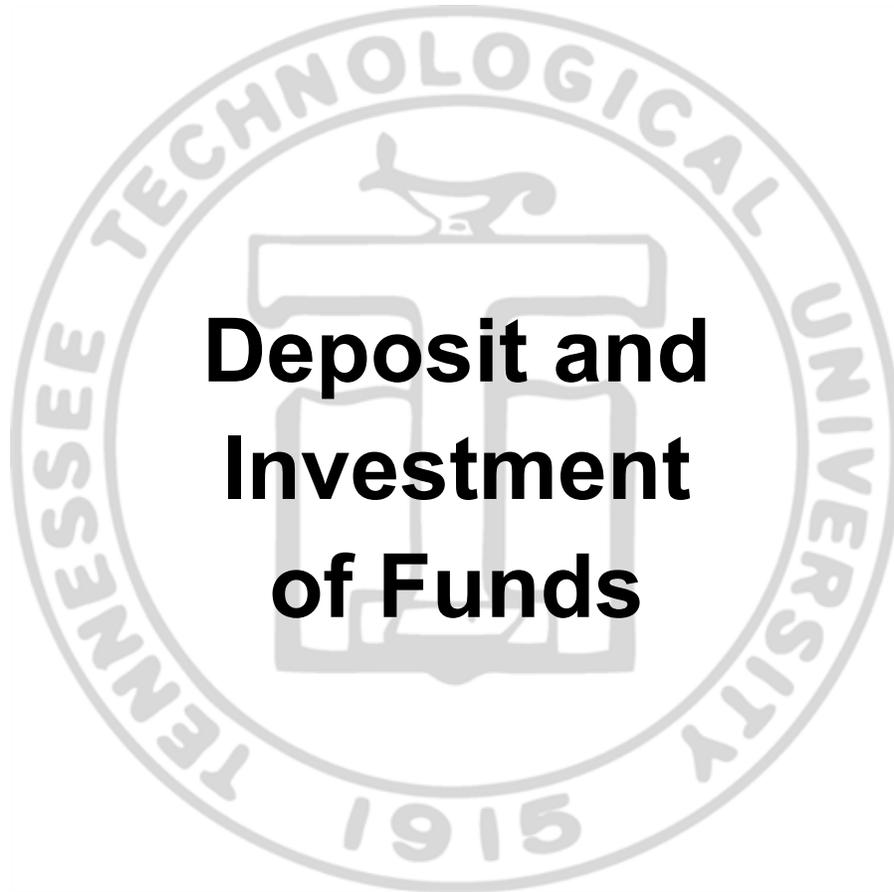
Effective Date:

Policy No.: 521
Policy Name: Deposit and Investment of Funds
Policy Subject: Policy on depositing and investing funds

I. **Purpose**

This policy sets forth appropriate policies and procedures for depositing and investing funds for Tennessee Tech.

II. **Review**

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Associate Vice President for Business and Fiscal Affairs in consultation with the Vice President for Planning and Finance, with recommendations for revision presented to the Administrative Council, University Assembly, and the Board of Trustees.

III. **Definitions**

A. Collateral Security: securities that may be accepted as collateral for deposits

B. Depository: any bank, savings and loan association, or savings bank (collectively referred to as savings institutions) located in the state of Tennessee which is under the supervision of the Department of Financial Institutions, the United States Comptroller of the Currency, or the Office of Thrift Supervision, and which has been appropriately designated to hold public deposits by a public depositor

C. Eligible Collateral: shall have the meaning set forth in T.C.A. § 9-4-103; for savings institutions securing local government deposits; also includes securities described in T.C.A. § 9-1-107(a)(2) under such additional conditions as the treasurer deems appropriate

D. Loss: includes but is not limited to:

1. The principal amount of the public deposit;

2. All accrued interest through the date of default;

3. Additional interest at the rate the public deposit was earning on the total of the principal amount of the public deposit and all accrued interest through the date of default, through the day of payment by a liquidator or other third party or through the date of sale of Eligible Collateral by the treasurer or his/her agent; and

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4. Attorney's fees incurred in recovering public deposits.

E. Market Value: current market price

F. Required Collateral: Eligible Collateral, excluding accrued interest, having a Market Value equal to or in excess of the greater of the average daily balance or average monthly balance of public deposits multiplied by the qualified public Depository's collateral-pledging level as required by the collateral pool board (T.C.A. § 9-4-502)

G. Trust Receipts: receipts issued by the Trustee Custodians in lieu of the actual deposit of Eligible Collateral, which are subject in all respects to the claims and rights of the institution to the same extent as though such collateral had been physically deposited with the institution

H. Trustee Custodian: a financial institution designated to hold Eligible Collateral on behalf of Tennessee Tech and a qualified public Depository pursuant to T.C.A. § 9-4-108

IV. **Policy**

A. Depository Accounts

1. Tennessee Tech University shall maintain one general operating account and one payroll account at an authorized Depository for the regular operating and payroll functions. No additional checking accounts may be opened or maintained by Tennessee Tech unless approved by the President or his/her designee.

2. All checks, drafts, or other methods of withdrawing funds from an account must be co-signed by the President and the Vice President for Planning and Finance; provided that facsimile signatures may be used on checks, drafts, or other methods of withdrawals; and provided that any authorization or request for withdrawal form shall bear the original or electronic signature of the President and the Vice President for Planning and Finance (or designee approved by the President) in all cases where expenditures exceed one percent (1%) of the state appropriation to Tennessee Tech.

3. Tennessee Tech will retain written documentation of employees' authority to perform routine activities related to the Depository accounts.

4. No accounts shall be authorized or established that are complimentary non-interest bearing accounts. When using compensatory balances, the amount of funds allowed to remain in any checking account should be reasonably related to the number of transactions to be processed through the account during any month, and other servicing costs, if any.

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B. Collateral

1. All depositories must provide Collateral Security for deposits and accrued interest in all accounts, including checking, savings, and certificates of deposit. Securities which may be accepted as collateral for deposits shall be limited to those specified in T.C.A. § 9-4-103. All items listed in Section E.10 of this policy and items noted in Section E.11 are eligible as collateral.

2. The Required Collateral accepted as security for deposits at financial institutions that do not participate in the collateral pool shall be collateral whose Market Value is equal to one hundred five percent (105%) of the value of the deposit and secured thereby; less such amount as is protected by the Federal Deposit Insurance Corporation or the Federal Savings and Loan Insurance Corporation. The Required Collateral accepted as security for deposits at financial institutions participating in the collateral pool will be set by the Department of Treasury.

3. At the time of designation as Tennessee Tech's Depository or at any time thereafter, additional collateral with a Market Value of one hundred thousand dollars ($100,000) shall be required when the capital to asset ratio of a savings and loan association, savings bank, or bank is less than five percent (5%). This additional collateral shall be in addition to the collateral required by other provisions of this policy.

4. The Market Value of Required Collateral shall be evaluated by Tennessee Tech monthly and more frequently if required by unusual market conditions. Any Depository not providing collateral with a Market Value as specified in B.2 above must provide additional, adequate collateral within two working days of a request by Tennessee Tech. Failure to provide the additional collateral may be considered an act of default.

5. In the case of a checking account, the Market Value of the collateral accepted as security for deposits shall be the amount specified in Section B.2 based on the highest daily Depository book balance in the account for the preceding month, excluding large deposits covered below. The amount of the Depository balance must be determined on or before the fifth day of the month in question. Large deposits, such as registration receipts, which may result in insufficient collateral, either should be invested immediately or additional collateral should be in place. If the investment is in a certificate of deposit, the certificate must be collateralized. Alternatively, depositories may be allowed to post collateral daily to cover the current Depository book balance.

6. Any Loss to Tennessee Tech due to a Depository's default shall be satisfied out of collateral pledged by the Depository to whatever extent possible. The Collateral Security shall be liable for any loss including, and not limited to,

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the principal amount of the deposit, accrued interest through the date of default, additional interest through the date of recovery on the principal and accrued interest at the rate the deposit was earning, and attorney's fees incurred in recovering deposits and other Losses.

7. Tennessee Tech must either be provided the actual securities pledged as collateral for deposits, or Trust Receipts from Trustee Custodians for the collateral in lieu of the actual delivery of the securities. A Trustee Custodian is one which meets the requirements of T.C.A. § 9-4-108. When any Trustee Custodian holds collateral for the university's Depository which is related to the custodian through shared ownership or control, such collateral shall be held in a restricted account at a Reserve Federal Bank or branch thereof or at a Federal Home Loan or branch thereof.

8. In lieu of the actual deposit of Eligible Collateral, Tennessee Tech is authorized at its option to accept Trust Receipts therefore.

   a. Trust Receipts shall be issued by Trustee Custodians in a form acceptable to Tennessee Tech following the deposit of Eligible Collateral with the Trustee Custodian by the university's Depository.

   b. Eligible Collateral deposited with a Trustee Custodian shall be subject in all respects to the claims and rights of Tennessee Tech to the same extent as though such collateral had been physically deposited with Tennessee Tech.

   c. Each Trust Receipt shall be nonnegotiable and irrevocable and shall continue in full force and effect until surrendered by the issuing Trustee Custodian with the release of the university endorsed thereon.

   d. Tennessee Tech may present the Trust Receipt at any time to the issuing Trustee Custodian and upon delivery thereof shall be entitled to receive any and all collateral represented thereby from the Trustee Custodian, and such collateral shall thereafter be held by Tennessee Tech as if deposited with Tennessee Tech by the Depository as collateral, without further liability on the party of the Trustee Custodian.

   e. Following delivery of the collateral to Tennessee Tech, the university is permitted to register such collateral in the name of Tennessee Tech and to hold it on behalf of the Depository.

9. Tennessee Tech will not be responsible for monitoring the collateral securities pledged when using a Depository institution that participates in the collateral pool. As provided in T.C.A. § 9-4-501 through 9-4-523, the Department of Treasury will monitor the collateral securities pledged.

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C. Depository Institutions

1. Subject to the other requirements of this policy, accounts may be authorized and established at depositories which are either under the supervision of the Department of Financial Institutions, the United States Comptroller of the Currency, or the Federal Home Loan Bank Board.

2. Before a Depository may be used by Tennessee Tech for the deposit of funds in a checking account, it must provide documentation verifying the following:

   a. That the Depository is supervised by the Department of Financial Institutions of the State of Tennessee, the United States Comptroller of the Currency, or the Federal Home Loan Bank Board;

   b. The capital to asset ratio of the Depository as of the current date and the date of the last audited financial statements of the Depository;

   c. That the Depository can comply with the Collateral Security requirements for all accounts;

   d. The names of the members of the board of directors and officers of the Depository;

   e. The name of the holding company of the Depository, if applicable; and

   f. The names of the owners of ten percent (10%) or more of the stock of the Depository.

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

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

D. Tennessee Tech departments will deposit funds each day when $500 in funds has been accumulated. All funds must be adequately secured. In all cases, a deposit must be made within two business days of receipt of funds in accordance with Tennessee Tech Policy 504.1.

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E. Investments

1. All investment decisions shall be in accordance with this policy and must be approved by the Vice President for Planning and Finance or his/her designee.

2. All investments in which funds are deposited outside the State of Tennessee must be authorized by the President.

3. A Trustee Custodian account should be used for handling and holding all investments, other than the Local Government Investment Pool and collateralized certificates of deposit.

4. All investments must be made subject to "delivery versus payment."

5. All funds received by Tennessee Tech and that are available for a sufficient period of time for investment in any interest generating medium should be invested within three (3) days after receipt of such funds.

6. At a minimum, Tennessee Tech shall determine rates of return on all feasible authorized mediums of investment prior to making an investment; and funds shall be invested in those mediums expected to pay the highest rate for the period of time for which the funds are available for investment.

7. All investments of funds in certificates of deposits where the period of investment will exceed thirty (30) days shall be determined on the basis of competitive bids, with appropriate records maintained for audit purposes, including the person obtaining the bids, the amount and rate of return of each bid, and the person who approved the investment.

8. An investment plan should be developed that specifies liquidity requirements for providing cash needed by Tennessee Tech.

9. Investments of endowments in equity securities shall be limited to funds from private gifts or other sources external to the university. Endowment investments shall be prudently diversified.

10. Funds of Tennessee Tech may be invested in a savings account or certificate of deposit of any Depository provided the requirements of this policy including Sections C.1 and C.2, and the Collateral Security requirements of Section B are met. Other authorized investments, subject to the limitations of Section E.12, are set forth in T.C.A. § 9-4-602.

11. All investments via repurchase agreements must include the following:

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a. There must be a written agreement in accordance with the standard agreement set forth in guidelines established pursuant to this policy.

b. The agreement must state explicitly that the exchange of assets represents a simultaneous purchase and resale transaction "and is not intended to be a collateralized loan."

c. The purchased securities must be transferred to the Trustee Custodian Account.

d. The purchased securities must, at the time of purchase, have a current Market Value of at least 100% of the amount of the repurchase agreement.

12. The following terms and conditions shall apply to investments:

a. Prime banker's acceptances must be issued by domestic banks with a minimum AA rating or foreign banks with a AAA long term debt rating by a majority of the rating services that have rated the issuer. There must be a minimum of two rating services for short term debt. Banker's acceptances shall not exceed five percent of total investments on the date of acquisition. The amount invested in any one bank shall not exceed five percent of total investments on the date of acquisition.

b. Prime banker's acceptances are required to be eligible for purchase by the Federal Reserve System. To be eligible the original maturity must not be more than 270 days, and it must

1) arise out of the current shipment of goods between countries or within the United States, or

2) arise out of storage within the United States of goods under contract of sale or expected to move into the channel of trade within a reasonable time and that are secured throughout their life by a warehouse receipt or similar document conveying title to the underlying goods.

c. The combined amount of banker's acceptances and commercial paper shall not exceed thirty-five percent of total investments at the date of acquisition.

d. Prime commercial paper shall not have a maturity that exceeds 270 days. Acquisitions shall be monitored to assure that no more than five percent of total investments at the date of acquisition are invested in commercial paper of a single issuing corporation. The total holdings of an issuer's paper should not represent more than two percent of the issuing corporation's total outstanding commercial paper. Purchases of commercial paper shall not exceed thirty-five percent of total investments

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at the date of acquisition. Prime commercial paper shall be limited to that of corporations that meet the following criteria:

1) Senior long term debt, if any, should have a minimum rating of A1 or equivalent, and short term debt should have a minimum rating of A1 or equivalent, as provided by a majority of the rating services that rate the issuer. If there is no long term debt rating, the short term debt rating must be A1 by all rating services (minimum of two).

2) The rating should be based on the merits of the issuer or guarantee by a non-bank.

3) A financial review should be made to ascertain the issuer's financial strength to cover the debt.

4) Commercial paper of a banking institution should not be purchased.

e. The amount invested in money market mutual funds shall not exceed ten percent of total investments on the date of investment.

V.   Interpretation

The Vice President for Planning and Finance or his/her designee has the final authority to interpret the terms of this policy.

VI.   Citation of Authority for Policy

T.C.A. § 49-8-201(a)(1)(C)

Approved by:

       Administrative Council: April 5, 2017

       University Assembly: April 19, 2017

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Agenda Item Summary

Date: August 17, 2017

Division: Planning and Finance

Agenda Item: Capital Outlay/Appropriations Request

	Review	☒	Action		No action required

_____

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

Review and recommendation of two capital outlay projects, one capital maintenance request, and one disclosed project for FY 2018-19.

Instructions for Preparation of

FY 2018-19

Capital Outlay, Maintenance, and Disclosure Funding Requests

TENNESSEE HIGHER EDUCATION COMMISSION
Suite 1900, Parkway Towers
404 James Robertson Parkway
Nashville, Tennessee 37243-0830
615-741-3605

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Table of Contents

Attachments Referenced

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INTRODUCTION

Process Overview

The goal of the higher education capital program is to develop and maintain physical facilities so that each institution can fulfill its mission and, in accordance with the Public Agenda for Higher Education, increase the number of Tennesseans with a postsecondary credential. To assure fair and equitable funding consistent with the Tennessee Higher Education Commission's (THEC) capital program objectives and the Department of Finance and Administration's Capital Budget requirements, the Commission's recommendations are based upon a prioritization process that incorporates the five criteria described below.

All outlay projects will be evaluated by a team from THEC and may include a campus site visit to review the project plans and discuss details with institution and board officials. THEC will compile the site visit information and evaluator feedback on the top priorities from the eight governing boards (six LGIs, TBR, UT), which will be used to establish a statewide priority list. The Commission will establish the priority ranking of governing board recommended projects that are consistent with the THEC capital outlay policy.

Timeline

For the 2018-19 budget cycle, governing boards will submit project proposals to THEC by **September 15, 2017**. After evaluation, THEC staff will include the prioritized statewide capital outlay and maintenance lists as part of the overall 2018-19 budget request that will be presented to the Commission for action at the **November 16, 2017** meeting. For all future cycles, governing boards will submit project proposals to THEC by July 1 of each year.

THEC staff will host a webinar on **Wednesday, June 7, 9:00am CST** to review the capital submission requirements. THEC staff will also host a Capital Outlay First Look Meeting on **Monday, August 14, 10:00am CST** to provide an opportunity for THEC staff and other stakeholders to review anticipated capital outlay requests. THEC staff will send invites for both events in subsequent emails.

Capital Outlay Evaluation Criteria and Objectives

1. Capital projects will be linked to state goals and the Drive to 55.
   a. Increase degree production, particularly at the undergraduate level.
   b. Enhance research and/or workforce development.
   c. Emphasize focus populations, as identified in the outcomes-based funding formula.
   d. Identify and address education and workforce needs of local and regional economies.
2. Capital projects should enhance campus mission and distinction, and should be envisioned in the institution's current Master Plan.

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3. Institutional facility condition and needs, as analyzed by the THEC Space Planning Guidelines, should be a factor in determining institutional priorities.
4. Boards should develop project proposals that include a programmatic plan, which may include academic planning and early ideas regarding the uses and layout of buildings impacted by each project.
5. External funding should be a factor in project priority, but should not inappropriately determine institutional or system priorities. The capital match program identifies a minimum percentage of project costs to be borne by the campus, ideally from private fundraising. Non-state funds raised above the minimum percentage garner additional points in the scoring process.
6. Both qualitative and quantitative factors should be considered in the Commission's capital priorities.
7. The Commission will be proactive when appropriate to identify types of capital projects that are consistent with statewide goals.
8. All projects, whether major renovations or new construction, regardless of sector or formula/non-formula status, should have a fair chance to receive funding.

Project Type Designation

Governing boards must identify whether a project is New Construction or Major Renovation. New Construction projects will entail either the construction of new facilities or substantial additions to current facilities that require significant programmatic or operation expansion. Major Renovations are projects that change the function, use, or capacity of existing facilities. As detailed below, each project type has different rubric and match threshold implications. Governing boards should consult with THEC staff prior to submission if a project type is not easily identifiable. After submission THEC will confirm project type and reserves the right to change it based on scope and description.

Capital Outlay Rubric

THEC staff will utilize a rubric that differentiates across sectors (Community Colleges/TCATs, Universities, and Non-formula Units) and project type (New Construction and Major Renovation) to prioritize capital outlay projects. The rubric is detailed below.

Prioritization Criteria	CC/TCAT		University		Nonformula Unit	
	NC[1]	MR[2]	NC	MR	NC	MR
State Goals & the Drive to 55	40	35	30	30	25	30
Campus Master Plan & Strategic Plan	20	35	30	40	25	30
THEC Space Guideline & Facility Assessment	15	10	15	10	25	20
Program & Business Plan	10	10	10	10	10	10
External Funding	15	10	15	10	15	10
Total	100	100	100	100	100	100

1- New Construction

2 - Major Renovation

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The components required to assess each criterion are described in full in the **Project Assessment Materials** section found on page six of this document. Information regarding the rationale for the different rubric weights and how the rubric works can be found in the attached MS Word document **THEC Capital Outlay Rubric Overview.**

External Funding (Match) Thresholds

All projects must meet a minimum match requirement to be evaluated. The minimum match requirement differs by sector and project type, as detailed below. The match may consist of private gifts, grants, institutional reserves, and other sources.

Further, the External Funding component of the rubric will be based upon a ratio of the project's minimum match requirement to the project's maximum scorable match, meaning that a project with only the minimum match will receive no points, but, as a project's match approaches the maximum scorable match level, points will accumulate proportionately up to the Maximum Rubric Score. The minimum match requirement and the maximum scorable match by sector and project are reported below. A more detailed explanation of how the Maximum Rubric Score is calculated is in the **Project Assessment Materials** section.

Minimum Match Requirements and Maximum Scorable Matches by Sector and Project

Project Type	CC/TCAT/Nonformula Unit		Univ.: Moderate Research/Masters[1]		Univ.: High Research[2]	
	Minimum	Maximum	Minimum	Maximum	Minimum	Maximum
Major Renovation	0%	5%	0%	10%	0%	15%
New Construction	2%	10%	5%	15%	10%	25%

1 - Includes universities classified as "Doctoral: Moderate Research" (East Tennessee State, Middle Tennessee State, Tennessee State, and Tennessee Technological Universities) or "Master's: Larger or Medium" (Austin Peay State University, UT Chattanooga, and UT Martin) by the Carnegie basic classification system.

2 - Includes universities classified as "Doctoral: Higher Research" or "Doctoral: Highest Research" by the Carnegie basic classification system. The two public Tennessee universities identified as such are University of Memphis and UT Knoxville.

Outlay Request Requirements

Priority lists for all requested outlay projects must be submitted on the attached MS-Excel **FY18-19 Capital Outlay Request spreadsheet, tab "Outlay Requests"** spreadsheet in order to be considered for inclusion in the THEC appropriation recommendations. Governing boards must identify the project type, square footage, project cost, and level and source of external funding.

Governing Board Priorities

Governing boards must report projects in descending priority order. Priority orders will not be altered. Governing boards that serve multiple institutions (Tennessee Board of Regents and the University of Tennessee System), however, may identify a band of their top projects (up to three) so that, in the event that, for example, the third-ranked project within the band scores

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higher than the second-ranked project within that same band, the third-ranked project may be prioritized by THEC above the second-ranked project. TBR and UT may create subsequent bands—banding up to three projects in each—for projects prioritized after the initial band.

THEC reserves the right to limit the number of projects reviewed and scored in a given funding cycle.

Capital Outlay Out-Years

In accordance with the preliminary Department of Finance and Administration Capital Budget Instructions, each governing board will submit a capital budget request that contains the capital outlay projects to be requested for each of the four planning years through FY2022-23. **These capital projects should be listed in the appropriate fields on the tab labeled "Outlay Requests" in the FY18-19 Capital Outlay Request spreadsheet.** Governing boards do not need to identify banded priority projects for out-years. Please ensure that the fiscal year totals for the capital outlay listings submitted to the Department of Finance and Administration are the same as the totals on the listings submitted to THEC.

Project Assessment Materials

Summarizing Elements

1. *Abstract*
   Proposals should include a project abstract no longer than 250 words. In addition to a brief description of the project, the abstract should state whether the project classifies as a New Construction or a Major Renovation project. (Note: THEC reserves the right to reclassify the project dependent on project description and scope).

2. *DB70 Form*
   Proposals should include their respective governing board's DB70 form (see example from TBR attached) which must be completed in accordance with respective governing board's guidelines. For the purpose of THEC's evaluation, only the DB70 tab will be used for reference.

Evaluation Criteria

1. *State Goals & the Drive to 55*
   Over the last several years, two landmark initiatives—the Complete College Tennessee Act of 2010 and the Drive to 55—have provided the policy foundation for Tennessee higher education. The core elements of THEC's 2015-2025 Master Plan reflect the priorities of the CCTA and the Drive to 55, namely:

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"The overriding function of the Plan is to direct higher education to be accountable for increasing the educational attainment levels of Tennesseans, while also: addressing the state's economic development, workforce development, and research needs...."

"Although this Plan places certificate training and undergraduate education at the center of the state's college completion policy agenda for the decade 2015-2025, the state continues to acknowledge the critical need for academic programs of distinction at the graduate and professional level to fully address Tennessee's economic development, workforce, and research needs."

Capital project proposals should develop a narrative of no more than 1,500 words that explores the connections between the project and statewide goals. Of note is that certain types of projects, particularly renovations, may not have obvious and tangible impacts on numerical state goals. This fact is reflected in a lower relative weight applied to this factor's score. Institutions should still provide information that links the requested Major Renovation project to state goals.

The THEC Master Plan can be found here: https://www.tn.gov/assets/entities/thec/attachments/MasterPlan2025.pdf.

Project narratives should address the following as applicable:

- Number of students or constituents directly and indirectly served by the project;
- Projected impact on credential production or enhancement in quality of existing credential production;
- Expansion of research and/or public service mission; and
- Labor and workforce dynamics, including any appropriate analysis of local or regional supply/demand data.

Data sources that may help address the above descriptions included, but are not limited to:
- THEC *Master Plan for Tennessee Postsecondary Education 2015-2020* (https://www.tn.gov/assets/entities/thec/attachments/MasterPlan2025.pdf);
- THEC/Boyd Center for Business and Economic Research labor supply/demand reports (e.g., http://cber.haslam.utk.edu/pubs/mnm130c.pdf or https://www.tn.gov/assets/entities/thec/attachments/Academic_Supply__Occupational_Demand_-_Final_Version.pdf);
- Tennessee Department of Labor and Workforce Development Occupations in Demand reports (https://www.tn.gov/workforce/topic/occupations-in-demand); and
- Data provided by the Tennessee Department of Economic and Community Development's Center for Economic Research in Tennessee (CERT) (https://www.tn.gov/ecd/).

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2. *Campus Master Plan & Strategic Plan*
    Capital project proposals should develop a narrative of no more than 1,500 words that links the project with the institution's strategic plan and campus facilities master plan. The proposal should provide relevant objectives from the strategic plan—with web links to the strategic plan where appropriate—and clarify how the project aligns with state objectives. The proposal should also cite specific references of the proposed project in the current master plan.

3. *THEC Space Guideline & Facility Assessment (see attached **MS Excel THEC Space Guides spreadsheets: Universities, Community Colleges, and TCATs**)*
    Capital project proposals should include a space-needs analysis narrative of no more than 750 words that provides context to the spreadsheet and assessments included. For universities and community colleges, the project proposal should include the "Summary NASF" portion of the THEC Space Guidelines spreadsheet; for TCATs, the project request should include the entire THEC Space Guide Allocation spreadsheet. The proposal should also include any other space utilization studies if appropriate. If the Space Guidelines do not apply to the project (e.g., for non-formula units) or only partially applies, proposals should provide the details of the identified need outside the guidelines that drives this project (e.g., research).

    The proposal should also include a current facilities assessment (e.g., a Facility Survey Score) and the general condition of any existing building that will be impacted by this project—including any buildings that will be renovated or demolished.

    Major renovation and replacement projects should also include a condition assessment of the major systems of a building (i.e., HVAC, roof, envelope, and others) and identify which ones will be addressed by the project.

4. *Program & Business Plan*
    Capital project proposals should include a narrative of no more than 1,000 words that provides an overview of particular project aspects and ensures that institutions and governing boards have a sufficiently developed project plan. This element is not intended to be prescriptive on how certain aspects of the project ought to be structured, but will instead illuminate and explore important aspects of the project. Governing boards should ensure that each capital outlay project submitted to THEC addresses all of the elements below. Project proposals should provide an overview or summary of these elements, including:

    1. Cost analysis of the total project;
    2. Total number of students (FTE) directly and indirectly served by the project. If applicable, total amount of people impacted by the projected research;
    3. Ongoing costs to maintain the building and its academic programs/research;
    4. Program for how the project meets the defined need;

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5. An assessment of alternatives to the project that were considered to meet the academic and space needs of the institution;
6. Migration plan for buildings and programs impacted by the project; and
7. An anticipated project schedule for design and construction.
8. Any preliminary concept sketches that provide an overview of the project.

5. *External Funding (See **FY18-19 Capital Outlay Request** spreadsheet, tab **"External Funding"**)*
This portion of the proposal will consist of the Excel file attached only. Committed External Funds must match what is reported on tab "Outlay Requests" of the same spreadsheet. For each capital outlay project, the evaluation of external funding will include two elements. First, all New Construction projects have a required ten percent (10%) external funding level for institutions classified as "Higher Research" or "Highest Research" by the Carnegie basic classification system; five percent (5%) for all other universities; and two percent (2%) for community colleges, TCATs, and non-formula units. Projects that are requested and deemed by THEC to be renovations have no required minimum external funding level. Second, for both types of projects, the level of external funding beyond the minimum requirement will be assessed and scored. This second factor will account for the overall level of external funds that an institution will contribute to a project. Meeting the minimum external funding level is required, and will result in a score of zero (0). Projects will begin to proportionally accrue points only as external funding exceeds the minimum level, up to a specified maximum level.

MAINTENANCE REQUEST REQUIREMENTS

A capital maintenance project is a rehabilitation project that keeps a facility or asset in efficient operating condition, or is needed to restore a facility to an acceptable condition but does not include programmatic renovation, demolition, or new construction. These projects are of a non-recurring nature, beyond the scope of ordinary repairs, and do not appreciably prolong the previously estimated service life or increase the estimated value of the building.

In general, ordinary repair and maintenance projects and other projects below the following expenditure levels will be funded through operating appropriations rather than capital maintenance:

- $100,000 at the University of Tennessee, Knoxville and the University of Memphis
- $50,000 at all other universities
- $25,000 at Community Colleges and TN Colleges of Applied Technology

Each governing board is allocated a proportion of the total higher education capital maintenance request based on the Sherman-Dergis Formula. This industry-standard formula calculates an estimated annual renewal cost for each campus, based on the aggregated age, size, and type (e.g., fine arts vs. engineering) of E&G space as reported on the FY2017-18 Schedule D. Each governing board's proportion is equal to the sum of the respective individual

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campus' renewal costs divided by the total higher education renewal cost. For planning purposes, the FY2018-19 maintenance pool request will be set at **$120,000,000**. Should THEC alter the total request, the calculated proportions for each governing board will remain the same, but the governing board maintenance requests will change *pro rata*.

Maintenance Request Submission

All maintenance requests must be submitted on the tab labeled "Maintenance Request" in the attached <u>FY18-19 Capital Maintenance Request</u> spreadsheet. Select the appropriate governing board from the drop-down menu—the 2018-19 Maintenance Allocation for the selected governing board will automatically populate. In the space provided, insert the name of the institution, project, project cost, and project description. Insert more rows if requesting more than 20 maintenance projects. Total Project Cost must not exceed the 2018-19 Maintenance Allocation for your governing board.

Capital Maintenance Out-Years

In accordance with the Department of Finance and Administration Capital Budget Instructions, each governing board will submit a capital budget request that contains the capital maintenance projects to be requested for each of the four planning years through FY2022-23. **These capital projects should be listed in the appropriate fields on the tab labeled "Maintenance Request."** The projects listed are not confined to any calculated pools as these are preliminary estimates.

DISCLOSED PROJECTS REQUIREMENTS

Each governing board must submit a list of <u>all</u> anticipated capital projects to be funded from sources <u>other</u> than state appropriations, such as institutional funds, auxiliary funds, reallocation of existing capital funds, Tennessee State School Bond Authority funds, or gift funds, for FY2018-19. <u>All construction or erections</u> of new buildings or structures <u>in excess of $100,000</u> must be disclosed to THEC. <u>All major maintenance projects</u>, in which "major maintenance" is defined by State Building Commission policy 2.01.A.2. as "the repair or renovation of any building or structure or any portion thereof," <u>in excess of $500,000</u> must be disclosed to THEC.

All disclosure projects must be submitted on the tab labeled "2018-19 Disclosure" in the attached <u>FY18-19 Capital Disclosure </u>spreadsheet.

<u>Quarterly Submission</u>
Should unforeseen opportunities or needs arise that require disclosure *during* a fiscal year, governing boards may disclose such projects each quarter, in coordination with requests from THEC. THEC will request quarterly submissions for disclosed projects in June, September, December, and March for projects intended to be initiated in the three months that follow.

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THEC reserves the right to request a governing board hold a disclosed project of significance—one that requires master plan guidance—to the following fiscal year submission.

Projects funded by TSSBA funds can only be disclosed during the annual process.

Emergency Projects

If an event occurs which requires a campus or unit to immediately engage in a capital project exceeding the aforementioned thresholds to avoid immediate danger to persons or property or when absolutely essential and indispensable to campus operations, governing boards may initiate the project immediately but must disclose it in the subsequent quarterly submission.

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FY 2018-19 Governing Board Maintenance Pools and Allocation

Governing Boards	Maintenance Pool	Maintenance Allocation
Locally Governed Institutions		
Austin Peay	3.1%	$3,670,000
East Tennessee	8.0%	$9,540,000
Middle Tennessee	6.8%	$8,170,000
Tennessee State	5.2%	$6,200,000
Tennessee Tech	5.2%	$6,290,000
University of Memphis	12.5%	$15,010,000
Tennessee Board of Regents	19.7%	$23,640,000
UT System	39.6%	$47,480,000
Total	100.0%	$120,000,000

Total Recommendation:	$120,000,000

CAPITAL OUTLAY PROJECTS
FY 2017-18 thru 2022-23

							A	B	C = B / A	D = A - B
Fiscal Year	Priority	Institution	Project Name	Project Type	New Square Footage	Reno. Or Replaced Square Footage	Project Cost	Committed External Funds	Percent Match[*]	State Funds Request
2018-19	1	TTU	Engineering & Research Building	New Construction	100,000	30,196	$54,400,000	$2,720,000	5%	$51,680,000
2018-19	2	TTU	Biology Building	New Construction	100,000	59,679	$60,000,000	$3,000,000	5%	$57,000,000
2018-19	3									
2018-19	4								0%	$0
2018-19	5								0%	$0

* A minimum match is required for all New Construction projects. See instructions for minimums by sector.

Out-Years

Fiscal Year	Priority	Institution	Project Name	Project Type	New Square Footage	Reno. Or Replaced Square Footage	Project Cost	Committed External Funds	Percent Match	State Funds Request
2019-20	1	TTU	Academic Classroom/Office Building	New Construction		43,555	$19,500,000	$925,000	5%	$18,575,000
2019-20	2								0%	$0
2019-20	3								0%	$0
2019-20	4								0%	$0
2019-20	5								0%	$0
2020-21	1	TTU	Pennebaker Hall Renovation	Major Renovation		59,679	$9,250,000		0%	$9,250,000
2020-21	2								0%	$0
2020-21	3								0%	$0
2020-21	4								0%	$0
2020-21	5								0%	$0
2021-22	1	TTU	Facilities Services Complex	New Construction		43,886	$10,100,000	$505,000	5%	$9,595,000
2021-22	2								0%	$0
2021-22	3								0%	$0
2021-22	4								0%	$0
2021-22	5								0%	$0
2022-23	1	TTU	Memorial Gym Update	Major Renovation		87,181	$15,400,000		0%	$15,400,000
2022-23	2								0%	$0
2022-23	3								0%	$0
2022-23	4								0%	$0
2022-23	5								0%	$0

FY18/19 CAPITAL OUTLAY REQUEST

TTU – ENGINEERING BUILDING

Project Assessment Materials

August 2, 2017

Abstract

New construction of a 60,000 net assignable square feet (100,000 gross square feet) Engineering building is needed to meet current and future educational, research, and service needs at Tennessee Tech University. The College of Engineering is currently housed in ten buildings across campus, comprising a total of 199,387 NASF. Most of the buildings were constructed in the 1960s and despite spot renovations and upgrades, are reaching the end of their life cycle at 50 years old. The College supports Bachelor of Science programs in Chemical, Civil and Environmental, Electrical and Computer, and Mechanical Engineering, as well as Computer Science, and Manufacturing and Engineering Technology. Master's programs are available in Chemical, Civil and Environmental, Electrical and Computer, and Mechanical Engineering as well as Computer Science. A Ph.D. program for Engineering is also available. Centers of Excellence have been established for Energy Systems Research and Manufacturing Research to support the College. In addition to ~2,583 of its own undergraduate majors, the College serves approximately 50 non-majors annually who complete their general education requirements. The current Engineering buildings combined offer 199,387 NASF, which is insufficient for the Engineering program. Preliminary programming estimates the required NASF for the current program to be 257,408. That is a deficit of 58,021 NASF for current space needs. In the last 10 years, enrollment for the Engineering program has grown 62%. As the university approaches an enrollment of 15,000 students per its Strategic Plan, the Engineering program is projected to grow to ~3,990 students. A detailed investigation of the current and future program needs is required. However, current space evaluations signify that a new facility of approximately 60,000 NASF is needed to align current program needs with modern space requirements.

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DB70 form - Project Request

1 Department: Tennessee Tech University Board of Trustees
Institution: Tennessee Technological University
Project: Engineering Building
City/County: Cookeville/Putnam

2 Fiscal Year: 2018 / 2019

3		New		Reno/Maint
X	Capital Outlay			
	Capital Maintenance	100,000	Gross Sq.Ft.	0
	Disclosure	0	Net Sq.Ft.	0
X	Designer Required	400.00	Cost/Sq.Ft.	0.00

4 Project Description:
Construct an Engineering facility for the College of Engineering.

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5	Total Project	Allocation		Estimated Construction Cost:	40,000,000.00
	40,000,000.00	40,000,000.00	Building Construction		
	750,000.00	750,000.00	Site & Utilities		
	0.00	0.00	Built-in Equipment		
	40,750,000.00	40,750,000.00	**Bid Target**		
	2,038,000.00	2,038,000.00	Contingency:	5.00	5.00 percent
	42,788,000.00	42,788,000.00	**M.A.C.C.**		
	2,310,608.00	2,310,608.00	Fee:	35/LogP-1.15 = 5.40013288	New
	6,000,000.00	6,000,000.00	Movable Equipment		
	2,000,000.00	2,000,000.00	Lab/Engr/Comm. Consultants		
	200,000.00	200,000.00	AV, Vibration,Consultants		
	1,101,392.00	1,101,392.00	Administration & Miscellaneous		
	54,400,000.00	54,400,000.00	**Total Cost**		

6 Funding Request: THIS REQUEST

51,680,000.00	51,680,000.00	STATE funds
0.00	0.00	FEDERAL funds
2,720,000.00	2,720,000.00	Local and Institutional Funds Match - Gifts

7 Sources of Available Funding: fund year   description

already approved for	0.00	
existing SBC project	0.00	
0.00	0.00	
plus This Request	0.00	
54,400,000.00	0.00	

8 SBC Action: If an existing project, SBC Project No.:

9 Designer: t b a

Project Narrative

Number of students or constituents directly and indirectly served: The College of Engineering currently serves about 2,583 undergraduate majors, 25 to 50 undergraduate non-majors, 112 Master's and 99 Ph.D. students. The College currently has 83 tenured or tenure-track faculty positions, 5 lecturers, and 15 adjunct faculty. The existing Engineering buildings and program spaces lack sufficient space to meet current and future program needs. With a combined 199,387 NASF, preliminary programming shows the College is lacking 58,021 NASF to meet current needs alone. Projecting for future growth presented in the Strategic Plan, the space deficit is 117,391 NASF for the College of Engineering.

The College of Engineering teaches about 40,400 student credit hours (SCH) per year, and according to the most recent Delaware Study (based on FY 2015 data), this corresponds to 231 SCH per FTE faculty. Planning for future University growth indicates about 15,000 – 16,000 total students with about 13,600 undergraduates. Compared to the recent peak undergraduate enrollment in Fall 2014 of 10,314 undergraduates, this would represent an additional 32% growth to reach 13,600; this is not unrealistic in view of the 28% growth from Fall 2007 to Fall 2014 (8,060 to 10,314 undergraduates). Preliminary estimates suggest that corresponding growth in Engineering will require at least 41 additional faculty. The number of Engineering undergraduate majors has grown by about 1,005 over the last ten years and is expected to grow to about 3,670 majors within these overall growth projections. Similarly, Engineering graduate student enrollment has grown by 64, a 44% increase over the past 10 years. Similarly, the number of Engineering non-major students directly affected by the project is expected to increase proportionately to the growth of the university, suggesting that the current 50 served annually will increase to about 80. The proposed new Engineering building would be an interdisciplinary resource which would include classrooms, modern teaching and research labs, and shared core facilities. The number of Engineering Ph.D. students is likely to increase to about 130 with additional research space for faculty and graduate students.

Indirectly, state and federal agencies, non-governmental organizations, and residents of Tennessee will benefit from teaching and research that will be possible in a new building. Likewise, students will have more opportunities for conducting research given increased research productivity and opportunities that accompany a new building and increased capacity.

Projected impact on credential production: The B.S. programs in Engineering graduated record numbers of students in 2016-17, with 569 degrees awarded. These awards represent a 59% increase over the last ten years. The number of B.S. degrees in Engineering is expected to grow by 42% in the next 10 years with appropriate growth in space and faculty resources. In addition, increasing the capacity to serve non-majors in Engineering will support the overall growth in University undergraduate degrees awarded, thereby reducing the gap between the credential growth needed for Drive to 55 and projected natural growth.

Expansion of research and/or public service mission: Research in Engineering is currently limited by the space available to do research and the number of faculty members that can be housed to do research. The proposed new Engineering building project will support increased number of faculty members in that facility from 83 to 124, will increase the current space available for research labs from 110,941 sq. ft. to 143,941 sq. ft., and will increase the amount of office and support space for faculty members from 53,875 sq. ft. to 70,075sq. ft. The increase in the number of faculty members in the new

3

Engineering building is expected to increase the knowledge, technical problem solving, and leadership in Tennessee, the region, and the nation.

Campus Master Plan and Strategic Plan
Strategic Plan

TTU's vision statement from Flight Plan, the university's strategic plan, states *"Tennessee Tech will be nationally recognized as a leading technological university in the South, providing academic, economic and cultural leadership in the region and producing practical, ready-to-work graduates from a broad range of academic disciplines prepared to excel in a technologically driven world."*

Flight Plan, with its four focus areas, addresses how we are going to meet and exceed the CCTA requirements: An improved undergraduate experience, enhanced technologies to support student needs, new and innovative programs coupled with a committed faculty, and increased non-state funding all fall in line with the act.

Flight Plan and Complete College Tennessee Act

1. Improve Undergraduate Student Experience

   o 5% increase over 5 years in 1st to 2nd year retention

   o 2% increase in 2nd to 3rd year retention

   o 5% increase in 6-year graduation rate

   o Funding formula rewards increase in graduates

   o Performance Funding program incentive for increase educational quality

   o Performance Funding program provides check/balance to funding formula

   o Outcomes based

   o Rewards productivity to further goals of public agenda

   o Takes university mission into account by weighting factors

   o Student learning

   o Student retention and graduation

   o Access/graduation for underserved subpopulations

2. Transform Technology

   o Enhanced technology supports all other efforts

3. Create Distinctive Programs and Invigorate Faculty

   o Funding formula recognizes research activity that has regional application/relevance

   o Performance Funding program incentive for increased educational quality

4

- o Public higher education to become increasingly competitive on national/international scene
- o University mission distinctiveness guides approval of new degree programs
- o University mission distinctiveness guides research efforts

4. Expand Financial Resources and Modernize Infrastructure

- o Non-state funding increasingly necessary to fund new degree programs

A new, modern Engineering facility will allow the university to increase capacity in order to meet student enrollment projections and the corresponding increase in faculty that will be required. More details are provided in the project narrative.

A new facility also contributes to the goals of three Flight Plan focus areas, as follows:

Focus Area One. New, modern facilities contribute to the distinctive and relevant education experience the university strives to provide for students.

Focus Area Three. Expand research and faculty scholarly activity, support faculty collaboration and development, provide undergraduate research opportunities.

Focus Area Four. Improve experience for all students, faculty and staff with modernized facilities, identify and plan funding for infrastructure priorities, identify new revenue streams, grow endowment and private funding levels, develop campus and modernize physical infrastructure.

Related key priorities identified in Flight Plan are:

Multidisciplinary research innovation -- connecting faculty to conduct cooperative, cross disciplinary research.

Physical infrastructure priorities – Enhancing TTU's campus and capabilities based on prioritized needs.

Detailed Flight Plan information can be found at https://www.tntech.edu/flightplan/

Campus Master Plan

Academic expansion is supported by the Campus Master Plan, page 28. Space is identified for two academic buildings, approximately 100,000 square feet each on the Lab Sciences quad. Two additional academic buildings are identified west of Stadium drive for potential academic expansion. Five of the existing engineering buildings are identified as in need of significant renovation or consideration for removal on page 27; Lewis Hall, Foundry, Old Maintenance, and East and West Stadium. Engineering programs located within these buildings require relocation or replacement to bring the facilities up to an acceptable state.

The Campus Master Plan can be found at
https://www.tntech.edu/files/strategicplanning/Planning/masterplanbooklet.pdf

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THEC Space Guideline and Facility Assessment

The summary NASF portion of the THEC guidelines spreadsheet is included. The Engineering program is currently housed across ten buildings throughout campus as listed in the table below. These buildings offer a combined net assignable square footage of 199,387. Old Maintenance is schedule for demolition as part of the Lab Sciences building construction and Foundry and Lewis Hall are identified for eventual demolition per the masterplan.

The current Physical Facility Survey Review Team Scores are below 60% for six of nine buildings. A rating of 60% is defined as system salvageable, major upgrade or significant replacement of components required.

College of Engineering
Physical Facility Survey Score by Building

Building	Net Assignable Square Feet	Campus Score	Review Score
Brown Hall	38,197	66.0	65.3
Bruner Hall	8,012	65.7	62.4
Clement Hall	32,993	56.7	54.5
East Stadium	23,172	45.9	51.7
Foundry	3,166	59.9	59.5
Lewis Hall	20,285	50.9	52.9
MIT Welding	180	N/A	N/A
Old Maintenance Bldg.	2,433	47.1	46.4
Prescott Hall	69,899	70.2	63.8
West Stadium	1,050	44.9	48.5
Total Square Footage	199,387		

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Program & Business Plan

1. Cost Analysis of the Project.

Current construction estimates range from $400 to $450 per square foot for an engineering building. In addition to construction costs there are other costs related to construction of the building. These costs include site and utility improvements, built-in equipment, construction contingencies, architect and engineering fees, moveable equipment and furnishings, consultants, and project administration. These costs are listed on the DB70 Project Request Form.

Dober Lidsky Mathey's preliminary programming recommends a 100,000 gross square foot (GSF) facility that would yield a net assignable rate of 60%, or 60,000 net assignable square feet (NASF). This mirrors the recommendation in our Campus Master Plan.

Estimated construction cost is $40,000,000. A 5% contingency is included with a maximum allowable construction cost (MACC) of $42,788,000. Additional related costs previously mentioned estimate the total project costs at $54,400,000. The required minimum 5% match of $2,720,000 will be paid from Institutional Reserves.

2. Number of Students Served.

The College of Engineering currently serves about 2,583 undergraduate majors, 50 undergraduate non-majors, 112 Master's and 99 Ph.D. students. The College of Engineering teaches about 40,000 student credit hours (SCH) per year, and according to the most recent Delaware Study (based on FY 2015 data), this corresponds to 231 SCH per FTE faculty. Planning anticipates future University growth to about 15,000 – 16,000 total students with about 13,600 undergraduates.

The number of Engineering undergraduate majors has grown by about 1,006 over the last ten years, and is expected to grow to about 3,670 majors within these overall growth projections. Similarly, the number of Engineering non-major students directly affected by the project is expected to increase proportionately to the growth of the university, suggesting that the current 25 to 50 served annually will increase to about 40 to 80. Graduate student growth is projected to be 268 students, increased from 210 students currently. Additional details on the number of students served are provided in the program narrative.

3. Costs to Maintain the Building. First year operating costs are estimated to be $1,180,000, using the following base rates multiplied by 100,000 gross square feet.
   a. Maintenance and operating funding - $6.15 per square foot
   b. Utility funding - $4.45 per square foot
   c. Custodial services - $1.20 per square foot.

4. Program for How the Project Meets the Defined Need. The programming effort for the Engineering building has just begun, therefore efforts to program the required space are preliminary. The chart below shows the existing amount of engineering space, correctly sized space as well as projected required space.

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SUMMARY OF FUTURE COLLEGE OF ENGINEERING SPACE

Department	Current FTE Faculty	2017 Current NASF	2017 Right-Sized NASF	Future FTE Faculty	Future Modeled NASF
Center for Energy Systems Research		6,089	6,089		6,089
Center for Manufacturing Research		11,781	11,781		11,781
Chemical Engineering	9	21,667	23,070	14	33,583
Civil and Environmental Engineering	16	31,169	38,463	24	38,463
College of Engineering	0	21,433	17,000	o	21,035
Computer Science	14	8,184	17,045	21	22,663
Electrical and Computer Engineering	16	23,988	37,480	24	51,540
General & Basic Engineering	0	6,160	8,070	0	8,573
Manufacturing & Engineering Technology	5	23,631	28,270	7	31,328
Mechanical Engineering	23	43,760	68,625	35	90,210
Unspecified or Unassigned	0	1,515	1,515	0	1,515
83	**199,377**	**257,408**	**124**	**316,778**

5. An Assessment of Alternatives to the Project. The preliminary space assessment clearly illustrates the need for additional space in the College of Engineering. It's anticipated the final study results will reveal there are no alternatives the University should consider other than the construction of additional space.

6. Migration Plan for Impacted Buildings and Programs. As additional space is required for current College of Engineering programs, existing Engineering buildings will remain occupied. Lewis Hall, MIT Welding and the Foundry will be demolished as described in the master plan. The current space assessment will help to determine if the Foundry and MIT instructional shops should be located in a building separate from the New Engineering Building due to the nature of their operations.

7. Project Schedule. The anticipated project schedule is 12 – 15 months for design and 18 months for construction.

8. Preliminary Concept Sketches. None available.

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Tennessee Tech UNIVERSITY

Preliminary Estimate of an Interdisciplinary Engineering Building

	Target Construction Cost	Construction Cost per GSF	Target GSF	N:G Ratio	Target NASF
New Construction	$ 40,000,000	$ 400	100,000	60%	60,000
	$ 40,000,000	$ 450	88,889	60%	53,333

Current College Distribution of Space	Current Percent NASF	Target NASF @ 60,000	Target NASF @ 53,333
Classrooms	16%	9,600	8,533
Laboratories	55%	33,000	29,333
Offices	22%	13,200	11,733
Study	1%	600	533
General and Special	1%	600	533
Support	5%	3,000	2,667
	100%	60,000	53,333

TTU Capital Outlay Request - Biology Building - FY 18/19

Summary XXXI Part	Modeled	Exist E&G	Difference	Equiv FICM
I - Classrooms	91,926	149,164	57,238	1xx
II - Lab / Studio	127,257	206,921	79,664	210, 215
III - Open Lab	45,300	42,092	-3,208	220, 225
IV - Research	118,688	80,843	-57,845	250, 255
V - Office	218,351	221,876	3,525	3xx
VI - Library	116,935	95,510	-21,425	6xx
VII - Phys Ed	167,660	124,648	-43,012	520, 523, 525
Totals:	886,117	901,054	14,937	

THEC   DOBER LIDSKY MATHEY

FY18/19 CAPITAL OUTLAY REQUEST

TTU – BIOLOGY BUILDING

Project Assessment Materials

July 24, 2017

Abstract

New construction of a 58,615 net assignable square feet (97,700 gross square feet) Biology building is needed to meet current and future educational, research, and service needs at Tennessee Tech University. The Department of Biology is currently housed in Pennebaker Hall, which opened in 1968 and is badly outdated. The Department supports Bachelor of Science programs in Biology and in Wildlife and Fisheries Science, a Master's of Science program in Biology, and is a primary contributor to the University's Environmental Sciences Ph.D. program. In addition to ~500 of its own undergraduate majors, the Department serves approximately 2,000 to 3,000 non-majors annually who complete their Natural Science general education requirements in Biology plus many Nursing, Pre-professional, Chemistry and Chemical Engineering students who require specific Biology courses. Pennebaker Hall, with 40,200 net assignable square feet, is insufficient for the current or future needs of the Biology program. The new interdisciplinary science building will provide some relief, since about one third of the Biology faculty will move to the new science building, with new classrooms, office space, and teaching and research labs. Even so, detailed investigation of the current and future program needs revealed that renovating Pennebaker Hall to accommodate modern teaching and research space is not a viable long-term solution but that a new facility of 58,615 NASF is needed to align program needs with modern space requirements.

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DB70 form - Project Request

Department:	Tennessee Tech University Board of Trustees
Institution:	Tennessee Tech University
Project:	Biology Building
City/County:	Cookeville/Putnam

2 Fiscal Year: 2018/ 2019

3			**New**		**Reno/Maint**
X	Capital Outlay				
	Capital Maintenance	100,000	Gross Sq.Ft.	0
X	Disclosure	0	Net Sq.Ft.	0
X	Designer Required	450.00	Cost/Sq.Ft.	0.00

4 Project Description:
New replacement facility for Biology and related programs.

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Total Project	**Allocation**		Estimated Construction Cost:	45,000,000.00
45,000,000.00	45,000,000.00	Building Construction		
750,000.00	750,000.00	Site & Utilities		
0.00	0.00	Built-in Equipment		
45,750,000.00	45,750,000.00	**Bid Target**		
2,288,000.00	2,288,000.00	Contingency:	5.00	5.00 percent
48,038,000.00	48,038,000.00	**M.A.C.C.**		
2,574,153.00	2,574,153.00	Fee:	35/LogP-1.15 = 5.35857689	New
6,000,000.00	6,000,000.00	Movable Equipment		
2,000,000.00	2,000,000.00	Lab/Engr/Comm. Consultants		
200,000.00	200,000.00	AV, Vibration,Consultants		
1,187,847.00	1,187,847.00	Administration & Miscellaneous		
60,000,000.00	60,000,000.00	**Total Cost**		

6 Funding Request: THIS REQUEST

57,000,000.00	57,000,000.00	STATE funds
0.00	0.00	FEDERAL funds
3,000,000.00	3,000,000.00	Local and Institutional Funds Match - Institutional Reserves

7 Sources of Available Funding: fund year description

already approved for	0.00
existing SBC project	0.00
0.00	0.00
plus This Request	0.00
60,000,000.00	0.00

8 SBC Action: If an existing project, SBC Project No.:

9 Designer: t b a

2

Project Narrative

Number of students or constituents directly and indirectly served: The Biology Department currently serves about 500 Biology and Wildlife and Fisheries Science undergraduate majors, 2,000 to 3,000 undergraduate non-majors, 17 Master's and 7 Ph.D. students. The Department currently has 18 tenured or tenure-track faculty positions, 3 lecturers, 2 federally supported research faculty with the Cooperative Fisheries Research Unit, 3 adjunct faculty, and five support staff with plans to add one more support staff in the near future. When the new interdisciplinary science building is completed (currently expected fall semester 2020), the entire Chemistry Department will move to that building along with about one third of Biology faculty, specifically, those with primary areas of expertise in genetics, cellular and molecular biology, and microbiology. However, the other two thirds of the faculty remaining in the current building, Pennebaker Hall, will not have sufficient space to meet current and future program needs if Pennebaker is renovated to modern teaching and research space standards.

The Biology Department teaches about 20,000 student credit hours (SCH) per year, and according to the most recent Delaware Study (based on FY 2015 data), this corresponds to 542 SCH per FTE faculty, the highest in the University, and more than double the national norm. Planning for the new interdisciplinary science building anticipates future University growth to about 15,000 – 16,000 total students with about 13,600 undergraduates. Compared to the recent peak undergraduate enrollment in Fall 2014 of 10,314 undergraduates, this would represent an additional 32% growth to reach 13,600; this is not unrealistic in view of the 28% growth from Fall 2007 to Fall 2014 (8,060 to 10,314 undergraduates). Estimating corresponding growth in Biology SCH suggests that at least 8 additional faculty will be needed, even at 500 SCH/FTE faculty, some to be housed in the new interdisciplinary science building, and some in the proposed new Biology building. The number of Biology and Wildlife and Fisheries Science undergraduate majors has grown by about 200 over the last ten years, and is expected to grow to about 720 majors within these overall growth projections. Similarly, the number of Biology non-major students directly affected by the project is expected to increase proportionately to the growth of the university, suggesting that the current 2,000 to 3,000 served annually will increase to about 2,600 to 4,000. The proposed new Biology building will include classrooms and modern teaching labs for the general education Biology courses, where most of the non-major student demand will occur. The number of Biology Master's students is likely to double to about 35 to 40 with additional research space for faculty and graduate students.

Indirectly, state and federal agencies, non-governmental organizations, and residents of Tennessee will benefit from the increased research that will be possible in a new building. Likewise, students will have more opportunities for conducting research given increased research productivity and opportunities that accompany a new building and increased capacity.

Projected impact on credential production: The B.S. programs in Biology and in Wildlife and Fisheries Science graduated record numbers of students in 2016-17, with 105 degrees awarded in Biology and 54 in Wildlife and Fisheries Science. These awards represent 48% and 42% increases, respectively, over the last three years and the total of 159 has more than doubled over the last ten years. The number of B.S. degrees in Biology and Wildlife and Fisheries Science is expected to grow by 50% in the next 10 years with appropriate growth in space and faculty resources. In addition, increasing the capacity to serve non-majors in Biology will support the overall growth in University undergraduate degrees awarded,

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thereby reducing the gap between the credential growth needed for Drive to 55 and projected natural growth.

Expansion of research and/or public service mission: Research in Biology and in Wildlife and Fisheries Science is currently limited by the space available to do research and the number of faculty members that can be housed to do research. The proposed new Biology building project will support increased number of faculty members in that facility from 17 to 22, will increase the current space available for research labs from 6,640 sq. ft. to 13,950 sq. ft., and will increase the amount of office and support space for faculty members from 6,350 sq. ft. to 12,140 sq. ft. The increase in the number of faculty members in the new Biology building is expected to increase the knowledge and management of the natural resources in Tennessee, the region, and the nation.

Labor and workforce dynamics: The Bureau of Labor Statistics Occupational Outlook Handbook for the period of 2014-2024 indicates almost all Biology or Wildlife and Fisheries Science-related occupations will experience growth. Biology, in general, is a broad discipline. As such, projected changes in the number of average annual openings ranges from 0.3% for Wildlife and Fisheries Law Enforcement Officers in Tennessee to 33.8% for Medical Assistants. The median percent growth in Tennessee for most occupations Tennessee Tech University Biology or WFS students will pursue is 13%. At the national level, the projected increase in the average annual openings ranges from 1.9% for Wildlife and Fisheries Law Enforcement Officers in Tennessee to 23.5% for Medical Assistants. The average annual increase in the number of jobs in Tennessee and nationally for students receiving either a B.S. in Biology or Wildlife and Fisheries Science is 13.8% and 8.8%, respectively.

Campus Master Plan and Strategic Plan
Strategic Plan

TTU's vision statement from Flight Plan, the university's strategic plan, states "*Tennessee Tech will be nationally recognized as a leading technological university in the South, providing academic, economic and cultural leadership in the region and producing practical, ready-to-work graduates from a broad range of academic disciplines prepared to excel in a technologically driven world.*"

Flight Plan, with its four focus areas, addresses how we are going to meet and exceed the CCTA requirements: An improved undergraduate experience, enhanced technologies to support student needs, new and innovative programs coupled with a committed faculty, and increased non-state funding all fall in line with the act.

Flight Plan and Complete College Tennessee Act

1. Improve Undergraduate Student Experience

   o 5% increase over 5 years in 1st to 2nd year retention

   o 2% increase in 2nd to 3rd year retention

   o 5% increase in 6-year graduation rate

   o Funding formula rewards increase in graduates

   o Performance Funding program incentive for increase educational quality

4

- o Performance Funding program provides check/balance to funding formula
- o Outcomes based
- o Rewards productivity to further goals of public agenda
- o Takes university mission into account by weighting factors
- o Student learning
- o Student retention and graduation
- o Access/graduation for underserved subpopulations

2. Transform Technology

- o Enhanced technology supports all other efforts

3. Create Distinctive Programs and Invigorate Faculty

- o Funding formula recognizes research activity that has regional application/relevance
- o Performance Funding program incentive for increased educational quality
- o Public higher education to become increasingly competitive on national/international scene
- o University mission distinctiveness guides approval of new degree programs
- o University mission distinctiveness guides research efforts

4. Expand Financial Resources and Modernize Infrastructure

- o Non-state funding increasingly necessary to fund new degree programs

A new, modern Biology facility will allow the university to increase capacity in order to meet student enrollment projections and the corresponding increase in faculty that will be required. More details are provided in the project narrative.

A new facility also contributes to the goals of three Flight Plan focus areas, as follows:

Focus Area One. New, modern facilities contribute to the distinctive and relevant education experience the university strives to provide for students.

Focus Area Three. Expand research and faculty scholarly activity, support faculty collaboration and development, provide undergraduate research opportunities.

Focus Area Four. Improve experience for all students, faculty and staff with modernized facilities, identify and plan funding for infrastructure priorities, identify new revenue streams, grow endowment and private funding levels, develop campus and modernize physical infrastructure.

5

Related key priorities identified in Flight Plan are:

Multidisciplinary research innovation -- connecting faculty to conduct cooperative, cross disciplinary research.

Physical infrastructure priorities – Enhancing TTU's campus and capabilities based on prioritized needs.

Detailed Flight Plan information can be found at https://www.tntech.edu/flightplan/

<u>Campus Master Plan</u>

Academic expansion is supported by the Campus Master Plan, page 28. Space is identified for two academic buildings, approximately 100,000 square feet each. The renovation of Pennebaker Hall for Biology is referenced on page 3. Since that time, the Dober Lidsky Mathey assessment of Pennebaker Hall concluded the NASF gained from renovating Pennebaker will be inadequate for the projected growth of those programs.

The Campus Master Plan can be found at
https://www.tntech.edu/files/strategicplanning/Planning/masterplanbooklet.pdf

THEC Space Guideline and Facility Assessment

The summary NASF portion of the THEC guidelines spreadsheet is included. Pennebaker Hall currently houses Biology, Wildlife and Fisheries Science, and other related programs. Pennebaker Hall will be renovated for another use, most likely an academic classroom building if this new facility is approved for construction. Those renovation costs are currently estimated at $7,000,000. The renovation would include all building systems, furnishings, fixtures, equipment and the building envelope. A facility assessment of Pennebaker Hall by Dober Lidsky Mathey is included and contains more detailed information.

The current Physical Facility Survey Score for Pennebaker Hall is 62.8% (campus rating) and 67.5% (review team rating). A rating of 60% is defined as system salvageable, major upgrade or significant replacement of components required. A rating of 70% is defined as upgrade required, replacement of components.

Program & Business Plan

1. <u>Cost Analysis of the Project.</u>

Current construction estimates range from $450 to $500 per square foot for a science building. In addition to construction costs there are other costs related to construction of the building. These costs include site and utility improvements, built-in equipment, construction contingencies, architect and engineering fees, moveable equipment and furnishings, consultants, and project administration. These costs are listed on the DB70 Project Request Form.

Dober Lidsky Mathey's space assessment recommends a 97,700 gross square foot (GSF) facility that would yield a net assignable rate of 60%, or 58,615 net assignable square feet (NASF). Because we are in the beginning stages of planning, without the benefit of schematic or concept drawings, our

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request is for 100,000 gross square feet, which mirrors the recommendation in our Campus Master Plan. This will allow some flexibility for design when the project is funded.

Estimated construction cost is $45,000,000. A 5% contingency is included with a maximum allowable construction cost (MACC) of $48,038,000. Additional related costs previously mentioned estimate the total project costs at $60,000,000. The required minimum 5% match of $3,000,000 will be paid from Institutional Reserves.

2. Number of Students Served.

The Biology Department currently serves about 500 Biology and Wildlife and Fisheries Science undergraduate majors, 2,000 to 3,000 undergraduate non-majors, 17 Master's and 7 Ph.D. students. The Biology Department teaches about 20,000 student credit hours (SCH) per year, and according to the most recent Delaware Study (based on FY 2015 data), this corresponds to 542 SCH per FTE faculty, the highest in the University, and more than double the national norm. Planning for the new interdisciplinary science building anticipates future University growth to about 15,000 – 16,000 total students with about 13,600 undergraduates.

The number of Biology and Wildlife and Fisheries Science undergraduate majors has grown by about 200 over the last ten years, and is expected to grow to about 720 majors within these overall growth projections. Similarly, the number of Biology non-major students directly affected by the project is expected to increase proportionately to the growth of the university, suggesting that the current 2,000 to 3,000 served annually will increase to about 2,600 to 4,000. Additional details on the number of students served are provided in the program narrative.

3. Costs to Maintain the Building. First year operating costs are estimated to be $1,180,000, using the following base rates multiplied by 100,000 gross square feet.
    a. Maintenance and operating funding - $6.15 per square foot
    b. Utility funding - $4.45 per square foot
    c. Custodial services - $1.20 per square foot.

4. Program for How the Project Meets the Defined Need. The chart below shows the existing amount of space in Pennebaker distributed in five categories: classrooms, instructional labs and support, research labs and support, office space, and the space that will become available once the new science building is constructed. It also shows the amount of space defined in the version 4 request.

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Making it Fit Within Pennebaker Without New Space	Pennebaker Existing	V 4 Pennebaker Proposed	Fitting the Target
Classrooms	6,560	9,375	6,560
Instructional Class Labs and Support	11,400	23,150	12,000
Research Labs and Support	6,640	13,950	9,500
Offices & Support	6,350	12,140	8,000
Available Space*	9,300		
	40,250	58,615	36,060

*Women's Center & Fourth Floor
** 36,000 is the NASF available after renovation assuming a N:G ratio of 60%

One of the issues with this plan to renovate Pennebaker for Biology is the assumption that they will fit in a newly renovated building. They will fit – but it was an inadequate amount of space before the renovation and will continue to be an inadequate amount of space afterwards as well. Look at the peer comparison. The average amount of space per biology faculty is 2,100 NASF, while in Pennebaker, it is 1,300 NASF/faculty. To be at the average, either the department will need more space, or the number of faculty that may remain will be 14 instead of the actual 17 or the planned 22 faculty. Please refer to the previously referenced Dober Lidsky Mathey report and preliminary program.

5. An Assessment of Alternatives to the Project. The university originally planned to renovate Pennebaker Hall, where these academic programs are presently located, but it was determined the renovated NASF would be inadequate, given current codes and occupancy levels for labs. Consideration was also given to renovation plus an addition, but the building is landlocked, making adequately sized additions infeasible. Further details are included in the Dober Lidsky Mathey report.

6. Migration Plan for Impacted Buildings and Programs. When the programs in Pennebaker Hall move into this facility, Pennebaker Hall will be renovated for another use, most likely an academic classroom building. The floor plan and existing structure are more suited for a classroom building and renovation costs are less for this type occupancy.

7. Project Schedule. The anticipated project schedule is 12 – 15 months for design and 18 months for construction.

8. Preliminary Concept Sketches. None available.

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Arthur J. Lidsky, AICP, FAAAS
President

George G. Mathey, AICP
Principal

DOBER LIDSKY MATHEY
CREATING CAMPUS SOLUTIONS

February 3, 2017

Dr. Philip Oldham
President
Tennessee Technological University
Derryberry Hall
1 William L. Jones Drive
Cookeville, TN 38505

Dear Dr. Oldham,

When the new science building construction is complete and fully occupied, Foster Hall, the current home for Chemistry will be vacant. The 4th floor of Pennebaker will be vacated as well, as the molecular biologists relocate to the new building.

The current plan is to relocate the biology faculty offices, instructional and research labs and support to allow Pennebaker Hall to be vacated and then renovated. Moving active research into temporary quarters will be disruptive, and sensitivity should be used with tenure track faculty who will likely be most affected.

Pennebaker has 40,200 net assignable square feet (NASF). Usually, net square feet are reduced as a result of renovation as mechanical systems change, walls are moved, and code compliance requires adjustments. Some space is always lost during a renovation to reflect the need for new mechanical, plumbing, and electrical services and the spaces that they occupy. Some space is usually absorbed in response to various codes and contemporary building requirements. We are assuming a gut renovation; the actual amount of space available for assignment after renovation will be approximately 36,000 NASF.

Over the past several months, the Biology Department has met to define their space needs independent of the existing space and independent of a possible solution. The Department currently houses 17 T/TT faculty, 1 instructor, 3 lecturers plus 2 research faculty with the Cooperative Fisheries Research Unit.

The Biology department teaches about 20,000 Student Credit hours per year, and according to the most recent Delaware Study (based on FY 2015 data), this corresponds to 542 SCH per FTE faculty, highest in the University, and more than double the national norm. Planning for the new science building anticipates future University growth to about 15,000 – 16,000 total students with about 13,600 undergraduates. Estimating corresponding growth in Biology SCH suggests that about 8 additional faculty will be needed, even at 500 SCH/FTE faculty. The new science building will house 6 of the current faculty and space for 3 more is included there, implying that a renovated Pennebaker will need to house 17 faculty immediately (11 T/TT + 1 instructor + 3 lecturers + 2 CFRU) and probably add 5 faculty more in time.

The total amount of space that has been defined, version 4, is 58,615 NASF. The list of spaces has gone up and down as questions were raised, issues discussed, and revisions made.

It is interesting to make a comparison of the amount of space being requested to what other biology departments have. The comparison excludes classrooms and is on a net assignable square foot per faculty basis. We have a database of 45 colleges and universities and the amount of biology department space per faculty averages 2,100 NASF/faculty. We have another database of 25 universities, mostly large state institutions and their biology departments average 2,200 NASF/faculty.

At TTU, the requested space, 58,615 minus the classrooms, 9,375, equals 49,240 NASF. That total, divided by the projected number of faculty, 22, yields 2,200 NASF/faculty. Essentially, what has been defined as the space needed by the Biology Department is not an entrepreneurial overstatement of need, but rather, it is in the average. The more problematic comparison is the amount of available space in Pennebaker. Excluding the classrooms space, Pennebaker has 29,500 NASF available for offices, instructional and research labs, and support. On a per faculty basis, it is 1,300 NASF/faculty which is approximately 60% of the average NASF/faculty.

We were charged with defining the needs of the Biology Department within the constraints of the existing Pennebaker Hall. The chart below shows the existing amount of space in Pennebaker distributed in five categories: classrooms, instructional labs and support, research labs and support, office space, and the space that will become available once the new science building is constructed. It also shows the amount of space defined in the version 4 request. The last column, Fitting the Target, shows how the spaces will need to be distributed in Pennebaker. In order to fit the department back into the renovated Pennebaker, the version 4 program will need to be reduced by 22,000 NASF.

Making it Fit Within Pennebaker Without New Space	Pennebaker Existing	V 4 Pennebaker Proposed	Fitting the Target
Classrooms	6,560	9,375	6,560
Instructional Class Labs and Support	11,400	23,150	12,000
Research Labs and Support	6,640	13,950	9,500
Offices & Support	6,350	12,140	8,000
Available Space*	9,300		
	40,250	58,615	36,060 **

*Women's Center & Fourth Floor
** 36,000 is the NASF available after renovation assuming a N:G ratio of 60%

One of the issues with this plan to renovate Pennebaker for Biology is the assumption that they will fit in a newly renovated building. They will fit – but it was an inadequate amount of space before the renovation and will continue to be an inadequate amount of space afterwards as well. Look at the peer comparison. The average amount of space per biology faculty is 2,100 NASF, while in Pennebaker, it is 1,300 NASF/faculty. To be at the average, either the department will need more space, or the number of faculty that may remain will be 14 instead of the actual 17 or the planned 22 faculty.

Another issue is the size of the instructional labs and the related number of stations, or students served within the labs. In Pennebaker, 5 of the existing 8 instructional labs are below standard in terms of NASF/station – basically around 30 to 32 NASF/station. Either the labs are too small or there are more stations in the lab than standards suggest. The minimum amount is 40 NASF/station. Because of

changes to building codes, ADA accessibility requirements, and general concern for lab safety contemporary labs are being designed with 50 NASF/station.

If the number of stations were reduced to meet standards, then course section sizes will also have to be reduced. The ripple effect is interesting. If the number of students in the Biology program remains the same, then more sections will be needed if they are a smaller size. More sections means that faculty loading will increase, or the number of faculty will increase. Alternatively, if the number of sections remain constant, than the number of biology students served will decline.

Alternatives
There are basically three alternatives to consider. The first is the one that is described above: Biology is relocated to a renovated Pennebaker Hall. The second alternative is to add space to Pennebaker Hall. Not an easy alternative given the building's location with roads on three sides, but it is possible with some creative design.

An addition could be added to the north, probably requiring the closing of B Street. An addition could be added to the west, in the space between Pennebaker and Johnson halls. Perhaps a combination of adding to the north as well as to the west.

The diagram below shows three options for how Pennebaker might be expanded to meet the programmatic requirements of the department. Option A would add 11,900 NASF and Option B would

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add slightly less with 11,100 NASF. Option C comes the closest to the target of 22,600 NASF with 18,600 NASF.

An important consideration is whether the larger laboratories can be accommodated in the any of the options. They certainly can in Option C.

	OPTION A	10,779 GROSS SQ. FT. 11,864 NET SQ. FT.
	OPTION B	18,459 GROSS SQ. FT 11,076 NET SQ. FT.
	OPTION C	31,063 GROSS SQ. FT 18,632 NET SQ. FT.
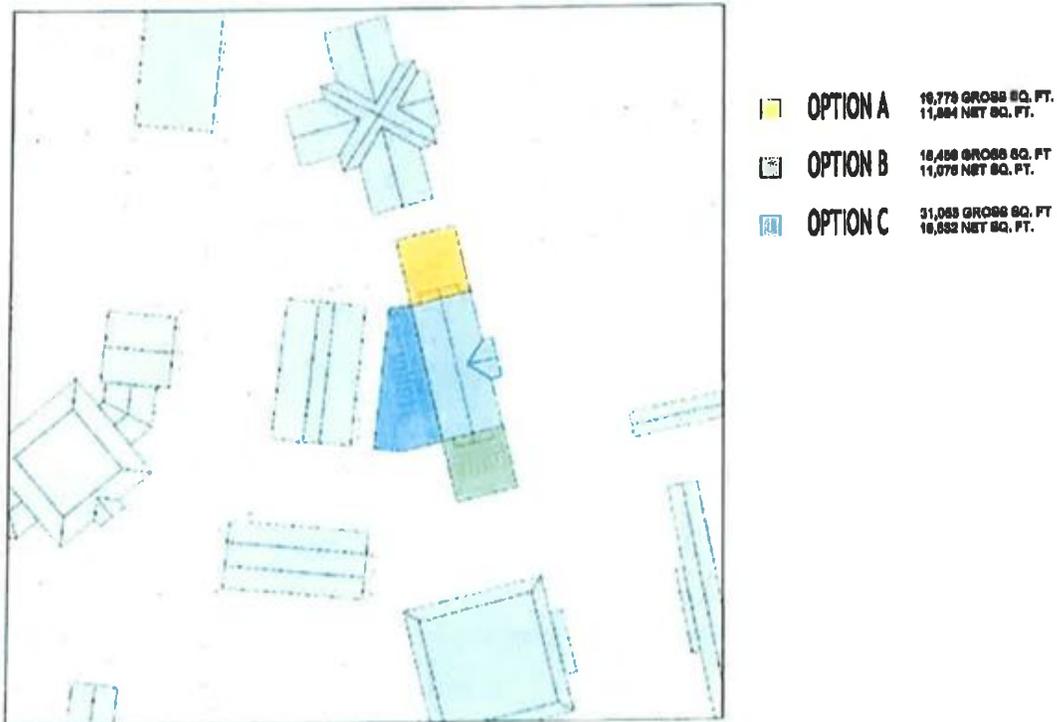
Diagram by Upland Design Group

The third alternative is to construct a new facility, clear of the constraints of the existing building. The possible site for new construction should be consistent with the master campus plan.

Pennebaker could be renovated as a simple academic building of classrooms and offices.

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Construction and Project Cost Estimates

The charts below summarize the construction and project costs for three alternatives: the renovation of Pennebaker; the renovation of Pennebaker plus the Option C expansion to the west; and all new construction.

Renovation costs for Pennebaker are in the range of $300 to $350 per gross square feet. New construction costs for the addition and all new alternative are in the range of $450 to $500 per gross square foot. In addition to the renovation and construction cost there are other costs related to the building including A/E fees, contingencies, the cost of furniture and equipment, and site related costs. Typically, a multiplier of 1.25 to 1.45 is used depending on the project. A 1.3 multiplier is fine for this stage of the planning process and yields the project cost as shown.

Alternative 1 Renovation of Pennebaker	$/GSF	GSF	Construction Cost	Project Cost Multiplier	Project Cost
	$300	60,000	$18,000,000	1.3	$23,400,000
	$350	60,000	$21,000,000	1.3	$27,300,000

Alternative 2 Renovation and Addition	$/GSF	GSF	Construction Cost	Project Cost Multiplier	Project Cost
Renovation	$300	60,000	$18,000,000	1.3	$23,400,000
	$350	60,000	$21,000,000	1.3	$27,300,000
Addition New Construction (Option C)	$450	31,100	$14,000,000	1.3	$18,200,000
	$500	31,100	$15,600,000	1.3	$20,300,000
Renovated and Addition					$41,600,000
Renovated and Addition					$47,600,000

Alternative 3 New Construction	$/GSF	GSF	Construction Cost	Project Cost Multiplier	Project Cost
	$450	97,700	$43,965,000	1.3	$57,154,500
	$500	97,700	$48,850,000	1.3	$63,505,000

I hope that this summary has been helpful and I will gladly answer any questions that you might have or expand on any issue that might need clarification.

Sincerely,

Arthur J. Lidsky AICP FAAAS

Cc. Dr. Claire Stinson, Vice President for Planning and Finance
   Dr. Bahman Ghorashi, Provost, and Vice President for Academic Affairs
   Dr. Bharat Soni, Vice President for Research and Economic Development

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Tennessee Tech UNIVERSITY

Updated DRAFT compiled by Robert Kissell, Nov 23, 2016

Pennebaker Preliminary Progam v4

Space ID	Space Type	Name of Space	Stations	NO. OF ROOMS	NASF	TOTAL NASF	Essential	Desireable	Enhancement
Instructional Lab and Support									
210	Lab, Instructional - Unique Course		24	3	1,200	3,600	X		
210	Lab, Instructional - Unique Course		32	4	1,600	6,400	X		
	Lab, Instructional - Shared Courses		32	2	1,600	3,200	X		
210	Lab, Instructional - Shared Courses		48	1	2,400	2,400	X		
215	Lab Support, Storage, Prep			8	300	2,400	X		
215	Lab Support, Stock Room			1	600	600	X		
215	Lab Support, Environmental Chamber			1	600	600	X		
215	Lab Support, Mud Room			1	300	300	X		
215	Lab Support, Specimen Collections - Fish and Herps			1	450	450	X		
215	Lab Support, Storage, Prep			1	150	150	X		
215	Lab Support, Specimen Collections - Avian			1	150	150	X		
215	Lab Support, Storage, Prep			1	150	150	X		
215	Lab Support, Specimen Collections - Mammals			1	150	150	X		
215	Lab Support, Storage, Prep			1	150	150	X		
215	Lab Support, Specimen Collections - Entomology/Invertebrate			1	150	150	X		
215	Lab Support, Herpetology Quarters & Display			1	1,500	1,500	1050	450	
215	Lab Support, Freezer Room			1	300	300	X		
220	Lab, Necropsy			1	300	300	X		
570	Lab Support, Vivarium, Holding Room			1	150	150	X		
575	Lab Support, Vivarium, Cage Washing			1	-	-	X		
575	Lab Support, Vivarium, Food and Bedding			1	50	50	X		
						23,150			

DOBER MATHEY UDSKY

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7/24/2017

Pennebaker Preliminary Program v4

Updated DRAFT compiled by Robert Kissell, Nov 23, 2016

Space ID	Space Type	Name of Space	Stations	NO. OF ROOMS	NASF	TOTAL NASF	Essential	Desireable	Enhancement
Research Lab and Support									
250	Lab	Research		15	450	6,750	X		
250	Lab	Research		2	450	900		X	
250	Lab	Research - Herbarium		1	1,350	1,350	X		
255	Lab Support	Storage, Prep - Herbarium		1	150	150	X		
255	Lab Support	Storage		15	120	1,800	X		
250	Lab	Research Wet		5	300	1,500	X		
250	Lab	Research, Wet		2	750	1,500	X		
						13,950			
Office and Support									
310	Office	Faculty		12	120	1,440	X		
310	Office	Faculty		2	120	240	X		
310	Office	Faculty		2	120	240		X	
310	Office	Lecturers		4	100	400	X		
311	Office	Staff		3	100	300	X		
311	Office	Lab Staff		3	120	360	X		
311	Office	Department Chair		1	200	200	X		
350	Conference Room - Chair			1	240	240	X		
311	Office	Department		1	240	240	X		
311	Office	Herbarium		1	120	120	X		
311	Office	Fish and Herps, Avian, and Mammal Collections		1	120	120	X		
312	Undergraduate Student Workers Area (Desks & Tables)		4	1	100	100	X		
312	Office Area, MS Students (48 students)		8	6	450	2,700	X		
312	Office Area, PhD Students		4	4	240	960	X		
315	Copy / Work Room			2	120	240	X		
315	Storage/Filing Room			1	120	120	X		
350	30 Seat Conference Room			1	750	750	X		

Updated DRAFT compiled by Robert Kissell, Nov 23, 2016

Pennebaker Preliminary Progam v4

Space ID	Space Type	Name of Space	Stations	NO. OF ROOMS	NASF	TOTAL NASF	Essential	Desireable	Enhancement
	410	Small Group Collaboration Areas	6	8	150	1,200	X		
	310	Office, Cooperative Researcher		2	120	240	X		
	311	Office, Cooperative Administrator		1	200	200	X		
	311	Office, Cooperative, Technicians		2	120	240	X		
	312	Office, Cooperative, Post-Docs		2	100	200	X		
	315	Copy / Work Room, Cooperative		1	120	120	X		
	315	Cooperative, Storage/Filing Room		1	120	120	X		
	350	10 Seat Conference Room, Cooperative		1	300	300	X		
	350	10 Seat Conference Room		1	300	300	X		
	650	Lounge, Students	18	1	450	450	X		
						12,140			
Classrooms and Support									
	110	Classroom, Tables and Chairs	25	1	625	625	X		
	110	Classroom	50	2	1,000	2,000	X		
	110	Classroom	100	2	1,800	3,600	1	1	
	115	Classroom Support		3	50	150	X		
	610	Auditorium	250	1	3,000	3,000	X		
						9,375			

Total NASF	58,615
Pennebaker Target NASF	36,000
Difference	22,615

Included in the Building but Not Included in the Net Assignable Square Ftt

Lobby
Public Restrooms
Passenger Elevator
Loading Dock
Freight Elevator

Actual Pennebaker net assignable square footage = 40,400 NASF

DOBER MATHEY LIDSKY

7/24/2017

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Pennebaker Preliminary Program v4

Updated DRAFT compiled by Robert Kissell, Nov 23, 2016

Space ID	Space Type	Name of Space	NO. OF ROOMS		NASF New Construction	GSF Renovation	TOTAL NASF / GSF New Construction	Essential	Desirable	Enhancement
			Stations	NASF Renovation						
		Four Scenarios:								
		1. Renovate Pennebaker		36,000		60,000				
		2. Renovate Pennebaker and Construct an Addition		36,000	22,615	60,000	36,500			
		3. Renovate Pennebaker & Construct Smaller Addition		36,000	11,308	60,000	18,200			
		4. All New Construction			58,615	60,000	97,700			

TTU Capital Outlay Request - Biology Building - FY 18/19

Summary NASF Part	Modeled	Exist R&G	Difference	Equiv FICM
I - Classrooms	91,926	149,164	57,238	1xx
II - Lab / Studio	127,257	206,921	79,664	210, 215
III - Open Lab	45,800	42,092	-3,208	220, 225
IV - Research	118,688	60,843	-57,845	250, 255
V - Office	218,351	221,876	3,525	3xx
VI - Library	116,935	95,510	-21,425	4xx
VII - Phys Ed	167,660	124,648	-43,012	520, 523, 525
Totals:	**886,117**	**901,054**	**14,937**	

THEC   DOBER LIDSKY MATHEY

Capital Maintenance Request: FY2018-19

Governing Board: **Tennessee Tech**
2018-19 Maintenance Allocation: **$6,290,000**

Fiscal Year	Priority*	Institution	Project	Project Cost		Project Description
2018-19		1 TTU	Several Buildings Upgrades	$	6,290,000	Building Systems and FFE Upgrades
2018-19		2				
2018-19		3				
2018-19		4				
2018-19		5				
2018-19		6				
2018-19		7				
2018-19		8				
2018-19		9				
2018-19		10				
2018-19		11				
2018-19		12				
2018-19		13				
2018-19		14				
2018-19		15				
2018-19		16				
2018-19		17				
2018-19		18				
2018-19		19				
2018-19		20				
			Total Project Cost	$	6,290,000	

* Requests are not limited to 20. Insert more rows if there are more projects to recommend. Total costs must fall within allocation.

Capital Maintenance Out-Years: FY 2019-20 through 2022-23

Fiscal Year	Priority	Institution	Project	Project Cost		Project Description
2019-20		1 TTU	Several Bldgs. Roof Replacements	$	4,500,000	Roof replacements
2019-20		2 TTU	Several Buildings Upgrades	$	2,250,000	Building Systems and FFE Upgrades
2019-20		3 TTU	Building Controls Upgrade Phase 1	$	3,000,000	Upgrade HVAC Controls Campus Wide
2019-20		4				
2019-20		5				
2019-20		6				
2019-20		7				
2019-20		8				
2019-20		9				
2019-20		10				
2019-20		11				
2019-20		12				
2019-20		13				
2019-20		14				

Year	Item		Project		Amount	Description
2019-20	15					
2019-20	16					
2019-20	17					
2019-20	18					
2019-20	19					
2019-20	20					
2020-21	1	TTU	Several Buildings Upgrades	$	8,200,000	Building Systems and FFE Upgrades
2020-21	2	TTU	Several Bldgs. Roof Replacements	$	2,000,000	Roof replacements
2020-21	3					
2020-21	4					
2020-21	5					
2020-21	6					
2020-21	7					
2020-21	8					
2020-21	9					
2020-21	10					
2020-21	11					
2020-21	12					
2020-21	13					
2020-21	14					
2020-21	15					
2020-21	16					
2020-21	17					
2020-21	18					
2020-21	19					
2020-21	20					
2021-22	1	TTU	Volpe Library HVAC Upgrades	$	7,670,000	HVAC System Upgrades
2021-22	2	TTU	Building Controls Upgrade Phase 2	$	3,000,000	Upgrade HVAC Controls Campus Wide
2021-22	3					
2021-22	4					
2021-22	5					
2021-22	6					
2021-22	7					
2021-22	8					
2021-22	9					
2021-22	10					
2021-22	11					
2021-22	12					
2021-22	13					
2021-22	14					
2021-22	15					
2021-22	16					
2021-22	17					
2021-22	18					
2021-22	19					
2021-22	20					

2022-23	1	TTU	Derryberry Hall Upgrades	$ 10,000,000	Building Systems and FFE Upgrades
2022-23	2				
2022-23	3				
2022-23	4				
2022-23	5				
2022-23	6				
2022-23	7				
2022-23	8				
2022-23	9				
2022-23	10				
2022-23	11				
2022-23	12				
2022-23	13				
2022-23	14				
2022-23	15				
2022-23	16				
2022-23	17				
2022-23	18				
2022-23	19				
2022-23	20				

					Funding Source						
	Institution	Project	Project Cost	New Sq. Ft.	Plant-Funds - Non-Auxiliary	Plant Funds - Auxiliary	TSSBA	Gifts	Contractor Funds	Other	Project Description
1	TTU	International House	$730,000	6550	$ 730,000.00						Construct International Hou
2											
3											
4											
5											
6											
7											
8											
9											
10											
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19											
20											

Capital Disclosure: FY2018-19

Agenda Item Summary

Date: August 17, 2017

Division: Planning and Finance

Agenda Item: Reorganization Recommendations

	Review	☒	Action		No action required

_____

PRESENTERS: Dr. Claire Stinson, Vice President for Planning and Finance

PURPOSE & KEY POINTS:

Tennessee Tech contracted with Huron Consulting Group to conduct an organizational assessment and determine appropriate strategies for improving efficiencies. Several opportunities were identified and addressing these opportunities better position Tennessee Tech for execution of its strategic goals. Although the final assessment is not complete, the draft report has been reviewed and organizational changes are being recommended for immediate action.

Office of the President

TENNESSEE TECH

MEMORANDUM

To: **Board of Trustees**

From: **Dr. Philip Oldham, President**

Date: **August 17, 2017**

Subject: **Recommendation for Reorganization with Direct Presidential Reports**

Tennessee Tech contracted with Huron Consulting Group to conduct an organizational assessment and determine appropriate strategies for improving efficiencies. Several opportunities were identified and addressing these opportunities better position Tennessee Tech for execution of its strategic goals. Although the final assessment is not complete, I have reviewed the draft report and have identified organizational changes that I recommend for immediate action.

As part of the draft report, Huron Consulting Group recommended that:

1. *The Associate Vice President for Enrollment Management position be reclassified to a Vice President.* In accordance with Tennessee Tech Policy 601, I recommend that Tennessee Tech competitively recruit a Vice President for Enrollment Management.

2. *The Associate Vice President for Communications and Marketing position be reclassified to Chief Communication Officer reporting directly to the President.* This does not involve a salary increase for the incumbent.

3. *The Assistant to the President position be reclassified to Chief Government Affairs Officer reporting directly to the President.* This does not involve a salary increase for the incumbent.

4. *The creation of a Chief of Staff position as a direct report to the President.* I have identified an individual who has the expertise, credentials, and community relations needed to be successful in this position. In accordance with Tennessee Tech Policy 643, I recommend hiring a Chief of Staff at an annual salary of $98,000 without going through the competitive recruitment process. The vacancy created by the promotion will be filled through a competitive recruitment process.

5. Reclassify the *Chief Information Technology Officer position (vacant) to Executive Director of Information Technology* reporting to the Vice President for Planning and Finance.

As we work through Huron's organizational study, an official updated organizational chart will be provided with the October Revised Budget.

Agenda Item Summary

Date: August 17, 2017

Division: Academic Affairs

Agenda Item: Policy 217, Student Academic Misconduct

☐	**Review**	☒	**Action**	☐	**No action required**

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PRESENTERS: Dr. Mark Stephens, Interim Provost

PURPOSE & KEY POINTS:

Policy 217, Student Academic Misconduct, establishes the policies and procedures for addressing Academic Misconduct at Tennessee Tech.

Tennessee Technological University

Policy No. 217

Student Academic Misconduct Policy

Effective Date: July 1, 2016

Policy No: 217

Policy Name: Student Academic Misconduct Policy

Policy Subject: Responsibilities Related to Academic Misconduct and Processes that

Govern Student Academic Misconduct Proceedings

Date Revised: ~~July 7, 2017~~

> **Commented [CK1]:** The date will be the date the Board approves the revision.

I. Purpose

This policy establishes the policies and procedures for addressing Academic Misconduct at Tennessee Tech.

II. Review

This policy will be reviewed every four years or whenever circumstances require review, whichever is earlier, by the Senior Associate Provost with recommendations for revision presented to the Academic Council and University Assembly.

III. Guiding Principles in Developing this Policy

A. Academic integrity is at the foundation of the educational process.

Maintaining high standards of academic integrity in every class at Tennessee Tech is critical to the reputation of Tennessee Tech, its students, alumni, and the employers of Tennessee Tech graduates.

B. All Students have the right to due process as described in this policy when charged with Academic Misconduct and may not be penalized with respect to grades or other means without being informed of the right to due process.

IV. [1]Definitions and Examples of Academic Misconduct

A. "Academic Misconduct" – any action or attempted action that may result in creating an unfair academic advantage for oneself or an unfair academic advantage or disadvantage for any other member or members of the academic community. This includes a wide variety of behaviors such as cheating, plagiarism, altering academic documents or transcripts, gaining access to

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[1] The definitions of Academic Misconduct in this section are from "Definitions & Examples of Academic Misconduct," Center for Student Conduct, Division of Student Affairs, University of California, Berkeley and are used with permission.

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materials before they are intended to be available, and helping a friend to gain an unfair academic advantage. Individual departments at Tennessee Technological University may have differing expectations for Students, so Students are responsible for seeking out information when unsure of what is expected.

Below are some basic definitions and examples of academic misconduct.

Please note that this list is not exhaustive.

1. Cheating

    Cheating is defined as fraud, deceit, or dishonesty in an academic assignment, or using or attempting to use materials, or assisting others in using materials that are prohibited or inappropriate in the context of the academic assignment in question, such as:

    a. Copying or attempting to copy from others during an exam or on an assignment.

    b. Communicating answers with another person during an exam.

    c. Preprogramming a calculator to contain answers or other unauthorized information for exams.

    d. Using unauthorized materials, prepared answers, written notes, or concealed information during an exam.

    e. Allowing others to do an assignment or portion of an assignment for oneself, including the use of a commercial term-paper service.

    f. Submission of the same assignment for more than one class without prior approval of all the instructors involved.

    g. Collaborating on an exam or assignment with any other person without prior approval from the instructor.

    h. Taking an exam for another person or having someone take an exam for oneself.

2. Plagiarism

    Plagiarism is defined as use of intellectual material produced by another person without acknowledging its source, for example:

    a. Wholesale copying of passages from works of others into one self's homework, essay, term paper, or dissertation without acknowledgment.

    b. Use of the views, opinions, or insights of another without acknowledgment.

    c. Paraphrasing of another person's characteristic or original phraseology, metaphor, or other literary device without acknowledgment.

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3. Class Materials

    a. Removing, defacing, or deliberately keeping from other Students library materials that are on reserve for specific classes.

    b. Contaminating laboratory samples or altering indicators during a practical exam, such as moving a pin in a dissection specimen for an anatomy class.

    c. Selling, distributing, website posting, or publishing class lecture notes, handouts, readers, recordings, or other information provided by an instructor, or using them for any commercial purpose without the express permission of the instructor.

4. False Information and Representation, Fabrication or Alteration of Information

    a. Furnishing false information in the context of an academic assignment.

    b. Failing to identify oneself honestly in the context of an academic obligation.

    c. Fabricating or altering information or data and presenting it as legitimate.

    d. Providing false or misleading information to an instructor or any other University official.

5. Theft or Damage of Intellectual Property

    a. Sabotaging or stealing another person's assignment, book, paper, notes, experiment, project, electronic hardware or software.

    b. Improper access to, or electronically interfering with, the property of another person or the University via computer or other means.

    c. Obtaining a copy of an exam or assignment prior to its approved release by the instructor.

6. Alteration of University Documents

    a. Forgery of an instructor's signature on a letter of recommendation or any other document.

    b. Submitting an altered transcript of grades to or from another institution or employer.

    c. Putting one's name on another person's exam or assignment.

    d. Altering a previously graded exam or assignment for purposes of a grade appeal or of gaining points in a re-grading process.

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B. "Provost" - the Provost of Tennessee Tech University (or the Provost's designated representative).

C. "Dean" – the Dean (or the Dean's designated representative) of the College (or School) offering the class in which the academic misconduct is charged to have occurred

D. "Dean of Major" – the Dean (or the Dean's designated representative) of the College (or School) in which the Student is majoring.

> **Commented [HD2]:** In cases in which the student is majoring in a different College from that in which the charge is being brought.

E. "Department Chair" – Chair of the Student's major department.

F. "Instructor" – the person listed as the 'Instructor of Record' for the class.

G. "Student" – for the purposes of this policy, any person who is admitted and/or registered for study at Tennessee Tech for any academic period. This shall also include any period of time that the student may be completing the Class Requirements to clear an "Incomplete" grade, but not otherwise registered for classes.

H. "Chairperson" or "Chair" – Chairperson of the College or University Academic Misconduct Committee, as applicable

I. "Member" – Faculty or Student appointed as a member or alternate member of a College or the University Academic Misconduct Committee

J. "Class Requirement" – Any assignment, project, exam, quiz, or assessment tool regardless of its name, that is used in determining the Student's grade in the class.

K. "Business Days" – Days in which the University is open, including the Fall, Spring, and Summer terms, and any intersession days.

> **Commented [HD3]:** This definition was added to define what a "Business" Day is and that misconduct cases can be heard over the Summer and inter-session times.

L. "Official TTU Email" – An email sent from an official Tennessee Tech email account to a student's official Tennessee Tech email account. The subject line should bear the inscription (in capital letters): "ACADEMIC MISCONDUCT CHARGE. TIME SENSITIVE RESPONSE REQUIRED"

> **Commented [HD4]:** Option of a hardcopy has been removed.

> **Commented [HD5]:** As per suggestion from Mark Stephens.

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M. "College Committee" – The Academic Misconduct Committee of the College (or School) in which the class is offered

N. "University Committee" – The Academic Misconduct Committee of the University

O. "Reprimand" – A formal warning to the student issued by the Provost upon the recommendation of the University Academic Misconduct Committee.

P. "Probation" – Placement of the student in a "warning status" that can lead to automatic suspension or expulsion if additional academic misconduct occurs.

Q. "Suspension" – Suspension of the student from the University for a specified number of academic terms (Fall and Spring), after which the student may apply for readmission to the University.

R. "Expulsion" - Permanent dismissal from the University.

S. "Class-level Sanction" – Sanctions that are related to the grade that a student is awarded in a specific class. Examples include, but are not limited to: Reduced grade for the Class Requirement, "F" or Zero for the Class Requirement, and/or an "F" grade for the class.

T. "University-level Sanction" – Sanctions that potentially affect a student's standing at the University. These are: Reprimand, Probation, Suspension, and Expulsion.

V. Responsibilities

A. Instructor Responsibility

1. The Instructor has the primary responsibility for maintenance of academic integrity, including filing a charge of Academic Misconduct when s/he reasonably believes such has occurred.

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2. The Instructor shall provide in the class syllabus a definition of what resources are allowed and/or what resources are not allowed for completion of Class Requirements, including any differences between -resources for in-class and outside-of-class Requirements. It is particularly important to include items on the list in which uncertainty on the part of the students might reasonably exist.

3. The Instructor may impose additional restrictions/allowances during the class for a specific Class Requirement, but must clearly communicate any changes to the Students.

4. Before penalizing a Student for Academic Misconduct, the Instructor must file a charge of Academic Misconduct as per this policy to ensure that the student is given the due process right to appeal. The University's Grade Appeal Policy is not to be used in lieu of the Academic Misconduct Policy.

5. In cases where an Instructor reasonably believes that the integrity of a Class Requirement has been compromised, but is unable establish by a preponderance of the evidence the parties involved in the matter, the Instructor may discard the results of the original assignment; but only if the Instructor re-administers the exam or assignment to the entire class.

B. Student Responsibilities

1. The Student is responsible for understanding and abiding by this policy, including reading Academic Conduct information provided in the class syllabus and asking for clarification if unclear about what is and is not allowed in the production of all Class Requirements.

2. The Student is responsible for following any instructions related to additional restrictions/allowances for a specific Class Requirement provided by the instructor and asking for clarification if necessary. In the event of a class absence, the burden is on the Student to ask the Instructor what, if any, restrictions/allowances for a specific Class Requirement were provided during the missed class.

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VI. Procedures for Filing a Charge of Academic Misconduct

A. An Instructor must follow the procedures outlined in this policy if s/he believes a charge of Academic Misconduct is warranted. The Instructor cannot impose a grade penalty for academic misconduct without filing a formal charge of academic misconduct.

> **Commented [HD6]:** Emphasizes that a Misconduct Charge must be filed to impose a grade penalty.

B. Step 1 - The Instructor shall document in writing the charge, including details of the evidence of Academic Misconduct, a recommendation related to the appropriate penalty and the Student's right to a hearing ("Charging Document").

C. Step 2 - The Instructor must send the Charging Document via Official TTU Email to the Student, the Department Chair, Dean, the Provost's Office, the Registrar, the Dean of Major and to the Office of International Education, when applicable. The Charging Document must be sent within five (5) Business Days of the Instructor's determination that Academic Misconduct has occurred, absent good cause.

> **Commented [HD7]:** Requires charge be sent by official email so that it is "time-stamped" and sent to the student's TTU email address.
>
> **Commented [HD8]:** As per suggestion by Mark Stephens.

1. For the purposes of this policy, an "Official TTU Email" means an email sent from an official Tennessee Tech email account to a student's official Tennessee Tech email account. The subject line should bear the inscription (in capital letters): "ACADEMIC MISCONDUCT CHARGE. TIME SENSITIVE RESPONSE REQUIRED".

> **Commented [HD9]:** Definition repeated for here for Instructor convenience and so it won't be over-looked.

2. Possible sanctions by the Instructor as a penalty for academic misconduct may include, but are not limited to, the following class-level sanctions:

    a. Reduced grade for the Class Requirement,
    b. "F" or Zero for the Class Requirement,
    c. "F" grade for the class,

3. In addition, the Instructor may also recommend that a University-level sanction be imposed, which include:

    a. Reprimand,
    b. Probation,
    c. Suspension,
    d. Expulsion.

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3. If the Instructor recommends a University-level sanction as part of the penalty, the College Academic Misconduct Committee must review and support the recommendation in order for it to go forward to the University Academic Misconduct Committee. Step 7.

Commented [HD10]: A University-level sanction proposed by the instructor must be supported by the College Committee in order to go to the University Committee.

4. Once an Instructor files a charge of Academic Misconduct, the Registrar will place a "no-drop" hold on the Student's registration in the class so that the Student cannot withdraw from the class as an attempt to avoid the charge of Academic Misconduct. If the deadline for submission of grades to the Registrar occurs prior to the resolution of the charge of Academic Misconduct, the Instructor shall enter a grade of "I", which will be updated when the final outcome of the appeal process is known.

D. Step 3 – The Student's Options after a Charge of Misconduct is Filed

1. Option 1: Student Does Not Dispute the Charge

   a. If the Student does not file an Academic Misconduct Request for Hearing Form within five (5) Business Days of receipt of the Charging Document, absent good cause, the Dean's Office shall inform the Instructor, the Provost, the Dean of Major, the Department Chair, and to the Office of International Education, when applicable, that the Charge of Academic Misconduct has not been appealed and the instructor's class-level sanctions stand.

   Commented [HD11]: Time period for student to appeal has been increased from 3 to 5 days.

   Commented [HD12]: As per suggestion of Mark Stephens.

   Commented [HD13]: "Dean of Major" is included on all emails, if not the same College as the "Dean".

   Commented [HD14]: As per suggestion by Mark Stephens.

   Non-appeal of the Academic Misconduct Charge by the Student does not prevent further review by the College Committee, the College Committee of the Student's Major, or the Provost, for evidence of repeat or particularly egregious cases of academic misconduct. Requests for additional sanctions will be sent to the Provost's Office for possible referral to the University Academic Misconduct Committee for the imposition of University-level sanctions. Likewise, if the Instructor has recommended University-level sanctions in the Charging document, these will be considered by the College Committee (see Step 6), whether or not the student appeals the charge.

   Commented [HD15]: Emphasizes that recommendations for University–level sanctions can be originate forward by the College Committee, College Committee of Major, or Provost even if a student does not appeal a charge.

   b. A Student who does not file a timely appeal of a Charge of Academic Misconduct will not be allowed to use the TTU Grade Appeal policy to appeal a reduced class grade.

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    c.   The process either ends here or proceeds either to Step 6 or 7, as previously indicated.

2.   Option 2: The Student Disputes the Charge

    a.   The Student must file an appeal with the Dean using a Academic Misconduct Request for Hearing Form within five (5) Business Days after receipt of the Charging Document, absent good cause.

> **Commented [HD16]:** As per suggestions from Mark Stephens.

    b.   For the purposes of this policy, "receipt" means the date the Instructor sent the Charging Document via Official TTU Email to the Student's Tennessee Tech email account.

> **Commented [HD17]:** Clarification of "receipt".

    c.   The Process continues to Step 4.

E. Step 4 - College Academic Misconduct Committee Procedures - If the Student files a timely Request for Hearing, the Dean shall notify the College Academic Misconduct Committee of the need to meet to hear the appeal.

F. Step 5 - The Dean (or the College Committee Chairperson) shall select a suitable date, time, and location for the hearing and then notify the Committee Members, Instructor, and Student of the time and place of the hearing. Whenever possible, a date and time should be selected that enable the Instructor and Student to attend the hearing in person.

> **Commented [HD18]:** Availability of Instructor and Student to appear in person is important.

G. Step 6 – The appeal hearing shall be held within eight (8) Business Days after the Request for an Appeal Hearing is received, dependent on the availability of the Instructor and the Student, and absent other good cause. A timely hearing is important to the due process of the Student and the Instructor.

> **Commented [HD19]:** Changed from 5 to 8 days; minimum of 3 days eliminated

1.   The Instructor and Student shall appear before the College Committee in person to present their cases. In the event one or the other cannot attend, the Instructor and/or Student may present their cases in writing.

2.   The decision of the College Committee is to be communicated by the Dean's Office via Official TTU Email to the Student, Instructor, Provost, Registrar, Department Chair, and Dean of Major (if not the same as the Dean), as soon as practical, but not later than two (2) Business Days of the hearing, absent good cause.

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3. In the case that the College Committee finds the preponderance of evidence does not support the charge of academic misconduct, the Registrar removes the "no-drop" hold from the course, and the student may withdraw from the course at that point, the Student so chooses. If the College Committee supports the Instructor's Charge, the Student may not withdraw from the class.

4. If the College Committee finds that the preponderance of evidence supports the charge, the College Committee may then either (1) support the sanctions as originally imposed by the instructor, or (2) recommend reduced sanctions to the instructor. In addition, in the case of repeat or particularly egregious misconduct, the College Committee can also recommend that a University-level sanction be added to the charge. The College Committee must include rRecommendations for reduced or additional sanctions sanction are to be added to the written documentation sent forward to the Provost.

> **Commented [HD20]:** Reworded for clarification and emphasizes that College Committee can originate recommendations for University-level sanctions.

5. If the College Committee supports the Instructor's Charge, the Student may not use the TTU Grade Appeal Process to appeal the Charge. If the Committee does not support the Charge but the Instructor persists, then the Student may appeal the grade using the Grade Appeal Policy.

6. For Class-level sanctions, the decision of the College Committee is final; these cannot be appealed to the University Academic Misconduct Committee.

7. The process ends here or moves to the University Academic Misconduct Committee as described in Step 7, if:

   a. If the Instructor's recommendation includes a University-level sanction (e.g., reprimand, probation, suspension, or expulsion) and the College Committee supports that recommendation, or

   b. The College Committee elects to recommend a University-level sanction in addition to the Instructor's class-level sanction.

> **Commented [HD21]:** Reworded for clarity

8. If the College Committee finds the preponderance of evidence does not support the charge of academic misconduct, the College Committee shall recommend to the Instructor that the charge of academic misconduct be withdrawn, and that s/he determine the Student's grade in accordance with

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the stated class policy without prejudice or penalty associated with the alleged misconduct.

If the Instructor declines to accept the Committee's recommendation, then:

    a. The Student may appeal the Charge to the University Committee; and/or

    b. The Student may elect to withdraw from the class following at this time. The withdrawal date will be effective at the date the original hold was placed by the Registrar; and/or

    c. The Student may appeal the Instructor's final grade according to the Grade Appeal Procedure.

H. Step 7 - University Academic Misconduct Procedures

1. The University Academic Misconduct Committee ("University Committee") is the sole committee designated to adjudicate University-level sanctions (reprimand, probation, suspension, or expulsion) related to charges of Academic Misconduct.

2. Based on the recommendation of the College Academic Misconduct Committee, the Academic Misconduct Committee of the College of the Student's Major (if different than the college in which the charge is filed), or the Provost, an academic misconduct case can be referred to the University Committee via the Provost's Office for University-level sanctions. In cases where the Charging Document does not include information related to additional penalties, the Student must receive written notification of the additional sanctions being recommended to the University Committee.

Commented [HD22]: Rewritten for clarity.

I. Step 8 – The Provost shall notify the Student via Official TTU Email of any recommendation to seek additional Penalties, whether from a College Committee or the Provost. The student will also be advised of his/her right of appeal.

J. Step 9 – A Student who contests the Charge of Academic Misconduct before the University Committee has two options (1 or 2, below):

1. In cases where the penalty sought is suspension or expulsion, the Student may elect to have the case disposed of under the Uniform Administrative

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Procedures Act (UAPA) in accordance with applicable contested case procedures. The Tennessee Tech process ends and the UAPA process begins.

2. In cases to be heard by the University Academic Misconduct Committee, the process will proceed as per Steps 10-13 below.

> **Commented [HD23]:** Rewritten for clarity and brevity.

3. A Student charged with Academic Misconduct who elects to have the case disposed of under Tennessee Tech Procedures must execute a written waiver of his/her right to a disposition of the case under the Uniform Administrative Procedures Act and send it via Tennessee Tech email to the Provost. [Academic Misconduct Waiver of UAPA Hearing]

> **Commented [HD24]:** As per suggestion of Mark Stephens.

K. Step 10 - The Office of the Provost shall notify the Chairperson of the University Academic Misconduct Committee of the need for the University Committee to meet to hear the appeal.

L. Step 11 - The Provost shall, after consultation with the University Committee Chairperson, notify the Student, the Instructor, the Department Chair, the Dean, the Dean of Major, and University Committee members of the date, time and place of the hearing. Whenever possible, a date and time should be selected that enable the Instructor and Student to attend the hearing in person. In cases where the charge is being brought forward by a College other than the Student's Major, the Dean of the College of Major may elect to attend the University Committee Hearing as an observer.

> **Commented [HD25]:** Reworded. And Dean Of Major has the right to attend the hearing.

M. Step 12 - The University Committee hearing shall be held within ten (10) Business Days from the receipt of the request for an appeal by the Provost's Office, dependent on the availability of the Instructor and the Student, and absent other good cause. A timely hearing is important to the due process of the Student and the Instructor.

> **Commented [HD26]:** Changed to 10 Business Days.

   a. The University Committee shall require the parties to appear in person, absent good cause, to present their cases. In the event one or more parties cannot attend, the party may present their cases in writing.

   b. The Dean shall present the charge of Academic Misconduct to the University Committee.

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c. If the University Committee finds that the preponderance of the evidence, including any prior incidents of Academic Misconduct, warrants additional penalties, the University Committee may then impose a University-level sanction (reprimand, probation, suspension, or expulsion).

d. If the University Committee finds that the preponderance of evidence, including consideration of any prior incidents of Academic Misconduct, does not support additional penalties, the recommendation of the College Committee still stands, but additional penalties are not imposed.

e. The decision of the University Committee is final.

N. Step 13 - The University Committee shall communicate its decision via Official TTU Email to the Student, the Instructor, the Provost, the Department Chair, the Dean, the Dean of Major, and the Provost's Office, as soon as possible, but no later than two (2) Business Days of the hearing, absent good cause.

> **Commented [HD27]:** As per suggestion by Mark Stephens.
>
> **Commented [HD28]:** Reworded for clarity

VII. Committee Structure

A. College Academic Misconduct Committee

1. A college-level Academic Misconduct Committee shall be established in each of the following academic units:

a. College of Agriculture and Human Ecology;

b. College of Arts and Sciences;

c. College of Business Administration;

d. College of Education (including ROTC and Crafts Center);

e. College of Engineering;

f. College of Fine Arts;

g. College of Interdisciplinary Studies; and

h. School of Nursing.

> **Commented [HD29]:** Colleges of Fine Arts and Interdisciplinary Studies Added

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2. Membership

    a. The College Academic Misconduct Committee of each College/School, with the exception of the School of Nursing, and the College of Agriculture and Human Ecology, shall consist of

        i   One (1) Faculty Member and one (1) Faculty Alternate from each department within the College, elected for a three (3) year term by the department, and

> **Commented [HD30]:** Includes Fine Arts and Interdisciplinary Studies under the membership as the other Colleges with several departments

        ii One (1) Student Member and at least one (1) Student Alternate majoring within the College. The Student Members and Alternates are nominated by the President of the Student Government Association (SGA) and appointed by the President of the University for a one (1) year term. At least one Student of the nominated Students should be available during the Summer and/or between terms in case it is necessary to hold meetings of the College Committee during these periods. The Student Members must sign a Confidentiality Agreement indicating that they will abide by FERPA regulations regarding the confidentiality of the academic misconduct proceedings and information provided to them as part of the proceedings.

> **Commented [HD31]:** Allows appointment of more tna one alternate

> **Commented [HD32]:** At least some student who can meet in the summer and between terms are to be selected.

> **Commented [HD33]:** Studnets must sign a Confidiality agreement (do we need to creat one or use one from the University?)

    b. The College Academic Misconduct Committees for the School of Nursing shall consist of

        i   Three (3) Faculty members elected for three (3) year terms, and

        ii One (1) Student Member and at least one (1) Student Alternate as described in Section VII.A.2.ii above.

    c. The College Academic Misconduct Committee for the College of Agriculture and Human Ecology shall consist of

        i   Four (4) Faculty Members and two (2) Alternates elected for three (3) year terms, and

        ii One (1) Student Member and at least one (1) Student Alternate as described in Section VII.A.2.ii above.

3. Administrative Procedures

    a. The College Academic Misconduct Committee Chairperson and Alternate Chairperson shall be elected annually by the Committee members.

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b. The required quorum depends on whether or not a University-level sanction is being considered as part of the sanction. (1) If a University-level sanction is being considered, a quorum requires a majority of members on the Committee. (2) If only class-level sanctions are being considered, a quorum requires three members of the Committee. In both cases, the quorum must include a Student Member (or Student Alternate), and the Committee Chair (or Alternate).

> **Commented [HD34]:** The required quorum depends on whether University-level sanctions are being considered.

c. In cases where a Faculty Member of the College Academic Misconduct Committee is the Instructor charging the Student with academic misconduct, the Faculty member recuses her/him-self from the Committee.

d. In cases where the Chairperson of the College Academic Misconduct Committee is the Instructor charging the Student with academic misconduct, the Chairperson recuses her/him-self and the Alternate Chairperson serves as the Chair.

e. The College Dean shall provide the support services for the College Academic Misconduct Committee.

B. University Academic Misconduct Committee

1. Membership

   The University Academic Misconduct Committee shall consist of:

   a. The Chairperson or Alternate Chairperson of each College Academic Misconduct Committee, and

   b. One (1) Student Member and at least one (1) Student Alternate majoring within the associated College. The Student Members and Alternates are nominated by the President of the Student Government Association (SGA) and appointed by the President of the University for a one (1) year term. At least one Student of the nominated Students should be available during the Summer and/or intersession terms in case it is necessary to hold meetings of the College Committee during these periods. The Student Members must sign a Confidentiality Agreement indicating that they will abide by FERPA regulations regarding the confidentiality of the academic misconduct proceedings and information provided to them as part of the proceedings.

   .

> **Commented [HD35]:** Text modified as per the College Committee. See previous.

2. Administrative Procedures

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a. The Chairperson and the Alternate Chairperson of the University Academic Misconduct Committee shall be elected annually by the Committee.

b. A quorum shall consist of five (5) members, including the Chairperson or Alternate Chairperson, the representative (or alternate) from the College in which the alleged offense occurred, and the Student Member or the Student Alternate.

c. In cases where the College Chairperson is making the charge against the Student, the Alternate College Chairperson shall serve on the University Academic Misconduct Committee.

d. In cases where the Chairperson of the University Academic Misconduct Committee is making the charge against the Student, the Alternate Chairperson of the University Academic Misconduct Committee shall serve as Chairperson.

e. The Provost shall provide the support services for the University Academic Misconduct Committee.

Approved by:

Administrative Council: February 22, 2017.

University Assembly: April 19, 2017

Commented [HD36]: Approvals added as per Mark Stephens

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Agenda Item Summary

Date: August 17, 2017

Division: Academic Affairs

Agenda Item: Presentation on Digital and Distance Education

☐ **Review**   ☒ **Action**   ☐ **No action required**

_____

PRESENTERS: Dr. Patrick Wilson, Associate Vice President of Digital and Distance Education

PURPOSE & KEY POINTS:

Review and recommendation of our current and future efforts in Digital and Distance Education, as well as a review of the current market.

Online Education

Reaching Farther

## *Increasing Access to a TTU Education*

Online vs. Adult Education

Undergraduates taking Online by Age
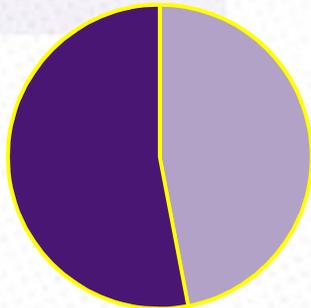

■ 15 to 23 ■ 24 and Older

Undergraduates taking All Online
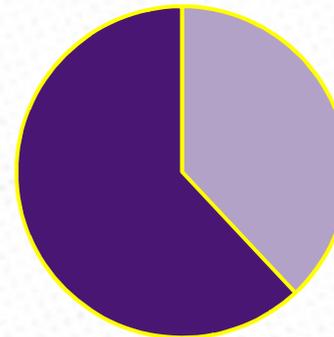
■ 15 to 23 ■ 24 and Older

Undergraduates taking Full Program Online
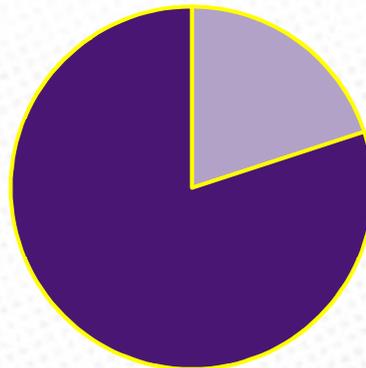

■ 15 to 23 ■ 24 and Older

Online and Adult Education are not the same.

Why we reference both?

Adult Students comprise 77% of enrollments at online only institutions.

Why Won't Adults Enroll in our Existing Programs?
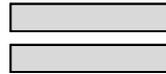
Education = **Higher Standard Of Living**

Traditional Student   vs   Adult

Traditional Student	Adult
▪ Can make education number one priority ▪ Limited Professional Experience ▪ May not be personally paying for college ▪ Degree benefits may not be clear ▪ Recent experience with classroom environment ▪ Limited transfer credit ▪ Low opportunity cost for college = no rush ▪ Unlikely to have learned college level in workplace ▪ High premium on extra curriculars ▪ Strong preference for classes between 9am-3pm M-F	▪ Must balance work, family and education ▪ Possess real-world experience ▪ Often paying for college or taking loans ▪ Degree may lead to raise or promotion ▪ Classroom experience may be years ago ▪ Often substantial transfer credit ▪ High opportunity cost = premium of accelerated ▪ May have already learned college level material in workplace ▪ Little time for extra curriculars ▪ Strong preference for flexible schedule or night and weekends
▪ Able to relocate or commute to campus ▪ May have difficulty selecting a major ▪ Often have positive past experience with education ▪ Can access school services during normal business hours ▪ Digital natives	▪ Cannot relocate and limited ability to commute ▪ Often have existing profession ▪ Often have had a negative past educational experience ▪ May be difficult or impossible to access services during normal business hours ▪ Digital immigrants

Adult Learner Statistics

3%
of undergraduate adult learners in Fall 2015 were coming into public higher for the first time.

97%
had previously been enrolled (either the prior semester or at some point prior).

Most Popular Adult Student Undergraduate Major Fields

Liberal Arts & Sciences

Health Profes-sions & Services

Business Manage-ment

Engineering

Protective Services & Public Affairs

Institutions with Largest Enrollment of Adult Learners

	Largest total adult learner headcount	Largest percentage of total undergraduate headcount
TCATs	TCAT Livingston 1,283	TCAT Livingston 58.3%
Community Colleges	Nashville State 4,623	Nashville State 43.2%
Public Universities	MTSU 4,518	Austin Peay 29.5%
TICUA Institutions	Bethel University 2,701	Bethel University 56.2%

National Environment

More Students, More Competition, Accountability

- Traditional +5.52%
- Adult +17.46%

- College Scorecard
- State Authorization

- Public, Non-Profit, For-Profit

Undergraduate Students				
NCES Projections				
	<u>2016</u>	<u>2023</u>	<u>Growth</u>	<u>Percentage</u>
Ages: 18 to 24	12,617	13,314	697	5.52%
25 and Older	8,733	10,258	1,525	17.46%
NCES Current Data				
	<u>All Students</u>	<u>Any Online</u>	<u>Exclusive Online</u>	<u>Online Program</u>
Ages: 15 to 23	12,956	3,429	908.685	109.728
24 and Older	10,099	3,939	1,496.82	433.29

State Environment

Why adults?

871,000
Degrees needed to reach 55% educational attainment rate goal[3]

645,000
Tennessee high school students projected to graduate between 2014 and 2022[4]
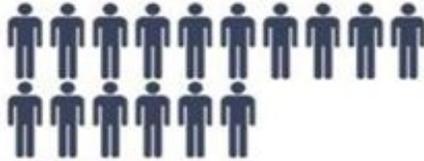
900,000
Tennesseans over the age of 25 with some college, no degree[5]
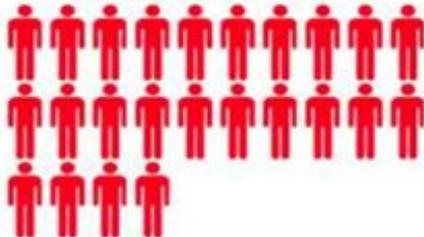
- ❖ Performance Funding
- ❖ Complete College TN
- ❖ Drive to 55
- ❖ Tennessee Promise
- ❖ Tennessee Reconnect

Aligning financial incentives for institutions:

80%
premium is applied to each adult that progresses toward and finishes with an undergraduate award, using the Tennessee outcomes funding formula.

Institutional Environment

❖ Second lowest adult student population among state universities

❖ Recruited second fewest Community College transfer students

❖ Limited institutional online programs

❖ *High student retention*

❖ Declining enrollments

❖ Constricted budget

❖ *Solid academic reputation*

Tennessee Tech should increase adult and online enrollment through ***high quality*** degree programs in areas where the industry need and institutional strength meet.

TTU can have an adult student population similar to our state peers

Adult Students as a Percentage of Undergraduate Enrollments			
Fall 2015			
Colleges	Enrollment	Adults	Percentage
APSU	10,120	2,988	29.53%
TSU	9,179	1,869	20.36%
U of M	20,699	4,132	19.96%
MTSU	22,662	4,518	19.94%
UTM	6,791	1,145	16.86%
ETSU	14,424	2,393	16.59%
UTC	11,344	1,349	11.89%
TTU	10,952	1,271	11.61%
UTK	30,702	1,724	5.62%
Target Adult Percentage			17.00%
Additional Adult Students Top Half			712
Annual Tuition			$8,551
Additional Revenue			$6,088,312

Current TTU Online Programs

College of Business
- MBA
- MACC (coming soon)

College of Education
- MA in Exercise Science/Phys Ed

College of Arts & Sciences
- BS in Sociology (Criminal Justice)

Current TTU eCampus Programs

College of Interdisciplinary Studies
- BS in Professional Studies
- BS in Interdisciplinary Studies
- Master of Professional Studies (MPS)

College of Nursing
- Master of Science in Nursing (MSN)

Financial Impact of TN eCampus Participation (Summer 2017)

Funds Received for Teaching: $442,380
Funds Paid for Teaching: $953,806
Deficit: $511,426

- TTU students most frequently enroll for general education courses

2016 Top 10 TN eCampus Courses for TTU Students		
HIST 2020	US History II	119
PHYS2125	Physics II	96
ART1030	Art Appreciation	77
HIST 2010	US History I	72
PHYS2115	Physics I	69
PHED1145	Walking for Fitness	65
BMGT3630	HR Management	57
ENGL2110	American Lit I	39
MATH2110	Calculus	34
PSY3590	Psychology of Personality	26
	Total Enrollments	654

- Most of the revenue we receive is due to graduate courses ($282,000 revenue vs $297,000 expense)

Agenda Item Summary

Date: August 17, 2017

Division: Academic Affairs

Agenda Item: Discussion of Current Recognition Programs

☐ **Review**	☒ **Action**	☐ **No action required**

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PRESENTERS: Dr. Mark Stephens, Interim Provost

PURPOSE & KEY POINTS:

Review and recommendation of our current and future recognition programs and awards offered to faculty, staff and students.

UNIVERSITY AWARDS RECOGNITION

CAPLENOR RESEARCH AWARD

Awarded annually to a member of the TTU faculty for outstanding research accomplished while employed at the University. Nominations are sought from the TTU faculty. After the award committee's review of required materials submitted by the nominee, the winner is selected and will receive a plaque and a monetary award of $3000.

OUTSTANDING FACULTY AWARD IN TEACHING

The Outstanding Faculty Award in Teaching is presented to full-time faculty members who have demonstrated a continuous commitment to excellence in teaching and learning and who represent the educational vision of Tennessee Tech University. Faculty, students, and alumni may nominate a deserving teacher for this award. Up to two winners are selected each year, and each will receive a plaque and a monetary award of $2,500.

OUTSTANDING FACULTY AWARD FOR PROFESSIONAL SERVICE

The Outstanding Faculty Award for Professional Service is presented to a full-time faculty member who has served the university community in areas beyond teaching and research and has volunteered services in their field of expertise to members of the local, state, national, or international communities. Nominations are provided by the faculty, students, and alumni. The selected winner will receive a plaque and a monetary award of $2,500.

GENERAL EDUCATION AWARD FOR OUTSTANDING TEACHING

The General Education Award for Outstanding Teaching is awarded to a full-time or part-time faculty member, instructor, or graduate teaching assistant for outstanding instruction in a general education course. Any student, faculty member, administrator, or recent graduate may nominate a teacher for this award. Two winners are selected each year to receive a plaque or certificate and a monetary award.

AWARD FOR EXCELLENCE IN UNIVERSITY 1020 INSTRUCTION

The Award for Excellence in University 1020 Instruction is awarded each spring to an instructor who demonstrates creativity in teaching a University 1020 or equivalent course and who shows an exceptional level of care and understanding for incoming freshmen at Tennessee Tech as demonstrated through activities in their course. Nominations are sought from University 1020 students. The winner will receive a plaque and a monetary award of $1,000.

AWARD FOR EXCELLENCE IN CREATIVE INQUIRY INSTRUCTION

Tennessee Tech currently recognizes excellence in innovative teaching and student mentorship with two awards. Since Spring 2008, the Award for Excellence in Innovative Instruction has been bestowed in recognition of exceptionally innovative projects that are carried out by Tennessee Tech faculty or staff as part of our 2006-2015 QEP. Beginning in Spring 2016, this award was replaced by the Award for Excellence in Creative Inquiry Instruction. This change indicates the University's commitment to excellence in teaching creative inquiry. Up to three awards, in the amount of $1,000 each, will be given per year.

PROVOST'S EXCELLENCE IN ADVISING AWARD

Tennessee Technological University recognizes and values the importance of academic advising to the central mission of the University and its promotion of and commitment to student success. The University would like to recognize those administrative staff and faculty who provide advising services to students. There are two categories: Primary Role, which is designed for professional administrative staff whose primary responsibility at the institution is the direct delivery of academic advising to students or the administration of an academic advising program, and Faculty Advisor for individuals who are full-time faculty at the institution, and who spend a portion of their responsibilities advising undergraduate students throughout the academic year.

SCHOLAR-MENTOR AWARD

On the occasion of our Centennial, Tennessee Tech implemented the Scholar-Mentor Award, which honors a faculty member who displays outstanding mentorship, scholarship integration, and research and teaching excellence. Nominees must cite evidence that mentoring relationships are highly regarded and that her or his scholarship activities are conducive to student involvement and success. The winner of this award receives a plaque and a monetary award.

OUSTANDING DIVERSITY ADVOCATE AWARD

First presented in 2010, the Outstanding Diversity Advocate Award is presented by the Commission on the Status of Blacks to recognize administration, faculty, and staff who lead by example in providing exceptional mentoring as well as social and academic support to minority students on Tennessee Tech's campus. Winners of this award are acknowledged for their efforts in "Helping Minority Students Soar."

TENNESSEE TECH FACULTY LEADERSHIP DEVELOPMENT PROGRAM

The Tech Faculty Leadership Development Program is offered by the Provost's Office on Tennessee Technological University's (TTU) campus. The Tech Faculty Leadership Development Program assists faculty members in developing strong decision-making skills while enhancing team collaboration abilities with the overall goal of producing potential future administrators. TFLD participants gain a broader understanding of how Tech campus operates and have the opportunity to witness some of the decision-making processes.

T.E.A.M. LEADERSHIP PROGRAM

The Tech Eagle Administrators in Mentoring (T.E.A.M.) Leadership Program is offered by the Provost's Office in collaboration with our partner institutions. The T.E.A.M. Leadership Program mentors and assists current faculty members who are interested in and dedicated to either becoming administrators or holding other relevant leadership positions in higher education administration. T.E.A.M. mentees gain a broader understanding of the day-to-day operations in the Provost's office as well as other administrative departments. The goals of the T.E.A.M. Leadership Program are to build and instill strong leadership qualities towards achieving excellence for future higher education leaders. T.E.A.M. also strives to support a mutually beneficial relationship between TTU and our partner institutions. Working together enhances our respective campuses, and T.E.A.M. aims to have effective administration in higher education leadership development in exchange for producing top administrators on our campuses.

OUTSTANDING PROFESSIONAL AWARD

The award is given annually to an employee in the EEO3 administrative staff category. Award includes a monetary gift of $1000. Criteria follows:

- Outstanding Job Performance - Based on assigned duties with reference being made to annual evaluations.
- Outstanding Attitude - Includes attitude toward students, colleagues, the University, and general public.
- Commitment - Based on how well the nominee serves, supports, and promotes the University.
- Professional Development - Based on certifications, seminars, conferences, additional training and/or education, etc.
- Program Introductions - Includes suggestions made by nominee for improvements which result in cost savings, increased efficiency, or improved service.

OUTSTANDING STAFF AWARD

Presented annually to <u>up to four</u> recipients per year (two clerical staff, one support staff, and one technical support staff). Award includes a monetary gift of $1000. Criteria follows:

- o Job Performance - Based on assigned duties.
- o Attitude - A good attitude toward work and the University.
- o Commitment - Attendance and perseverance. Performance evaluations, recommendations, and references will be used for documentation of job performance, attitude, and commitment criteria.
- o Professional Development - Certifications, additional training, course work and education, seminars, and licenses. Verification and documentation will be obtained through department head, supervisor, and/or nominee.
- o Program Introductions - Suggestions made by nominee for improvements which result in cost savings, increased efficiency, improved service, or better time management. Verification will be obtained through department head and/or supervisor.

KAIZEN AWARD

Four staff members will be selected by a staff committee and will receive recognition in the form of a plaque and a monetary award, $200, $300, $400, and $500, based on merit.

- o Must be a part-time or full-time clerical and support staff member.
- o Made a procedural or other change that saved time, energy, or had some other positive effect in the workplace (i.e. Customer satisfaction, improved market performance, operational performance, strategic planning, knowledge and employee management).
- o Be self-nominated, or be nominated by peers.

COLLEGE OF AGRICULTURE AND HUMAN ECOLOGY
<u>School of Agriculture</u>
Research Award
Advising Award
<u>School of Human Ecology</u>
Research Award
Advising Award

COLLEGE OF ARTS AND SCIENCES
Dean's Award for Innovative Teaching
Award for Research and Creative Activity

COLLEGE OF BUSINESS
Kinslow Excellence in Teaching (faculty)
Jordan-Wagner Excellence in Research (faculty)

Overall Performance Excellence (faculty)
Excellence in Service (faculty and administrator)
Outstanding Staff Member (staff)
Distinguished Service to the College of Business

COLLEGE OF EDUCATION
Teaching (faculty)
Service (faculty)
Team Player/Encourager (faculty)
Research & Creative Endeavors (faculty0
Staff Award for Outstanding Service (staff)
Advisor Award for Outstanding Service (staff)

SCHOOL OF NURSING
Dr. Ann Koci Faculty Award

COLLEGE OF ENGINEERING
Rising Renaissance Engineer Faculty Scholar (faculty)
Brown Henderson Award (faculty)
Kinslow Award (faculty)
Teacher-Scholar Award (faculty)
Leighton Sissom Creativity and Innovation Award (staff)
Outstanding Staff Award (staff)

STUDENT AWARD RECOGNITION

2017 DERRYBERRY AWARD

A plaque and cash award are presented annually to a graduating senior who has exhibited scholastic attainment arising out of moral and intellectual integrity; successful campus activity where participation indicates a commitment to good citizenship, interest in one's fellow person, and instincts for leadership; and physical vigor as shown by fondness for and success in sports – all of which demonstrate potential for future service and effective leadership in American society.

DISTINGUISHED SERVICE LEARNING AWARD

The Service Center will recognize one TTU student and one TTU faculty member who have best demonstrated exceptional service learning and service leadership through the university. The Distinguished Service Learning Award, sponsored by *Home Instead Senior Care,* will be given every spring.

Any student, faculty, administrators, or staff may nominate an individual and the recipients will be presented with a plaque (and a cash award) at the end of April.

COLLEGE OF ARTS & SCIENCES AWARD FOR EXCELLENCE IN LIBERAL ARTS

This award is granted to the student, selected from nominees in each Arts & Sciences degree-granting program, who best exemplifies three vital attributes of the liberally educated person: (1) critical thinking, (2) context-consciousness, and (3) communication skills. A case must be made for outstanding achievement in each of these areas, based on such evidence as analytical and research projects, recommendations, and a personal essay.

OUTSTANDING SENIOR AWARD

The Outstanding Senior Award recognizes seniors who excel through academic achievement; campus and community activities; academic, athletic or extra-curricular honors or awards; scholarships and work ethic during their time at Tennessee Tech. It is considered the highest recognitions for students in the College of Engineering. Each department will recognize one awardee that will be selected by the department faculty. Each recipient will receive a recognition plaque.

OUTSTANDING SENIOR SERVICE AWARD

The Outstanding Senior Service Award recognizes outstanding service and leadership to professional activities and community service by a senior. Each department will recognize one awardee that will be selected by the department faculty. Each recipient will receive a recognition plaque.

OUTSTANDING INNOVATION AWARD

The Outstanding Design Award is awarded to the senior design project team best combines conceptual/technical innovation with entrepreneurial possibility. Each department will recognize one awardee that will be selected by the department. Each member of the team will receive a recognition plaque.

OUTSTANDING UNDERGRADUATE RESEARCH AWARD

The Outstanding Undergraduate Research Award is given to undergraduate students from each department who are the Tennessee Tech Student Research Day section winners. The recipients will receive a recognition plaque.

BACHELOR OF SCIENCE BEST PAPER AWARD

The Bachelor of Science Best Paper Award recognizes B.S. students who have published a conference or journal paper. The paper must also be presented by the student at the conference. Each department will recognize one awardee that will be selected by the department. The recipients will receive a recognition plaque.

RISING RENAISSANCE ENGINEER SPECTRUM AWARD

The new Rising Renaissance Engineer Spectrum Awards program in the COE was established to recognize a diverse body of students across all the degree-granting departments in the College of Engineering for their initiatives and achievements in educational (projects related to course work), research (projects relevant to their discipline) and professional development activities (internship, co-op, or summer job). This unique award is inclusively for junior and senior undergraduate students from all six COE degree-granting departments, and will specifically promote underrepresented groups in the COE. This awards program complements existing awards in the college honoring faculty, staff, and alumni for their research, teaching, and service. With the Computer Science Department spearheading the effort, this project is a collaborative partnership among representatives from all COE departments. The recipients will receive a recognition plaque and scholarship.

COLLEGE OF ENGINEERING

EMINENCE AWARDS

THE STUDENT AMBASSADOR APPRECIATION AWARD

This award recognizes our Student Ambassadors who serve in a leadership role promoting all majors in COE and attend events on and off campus. They have a tremendous willingness to share their experiences with prospective students, families, and alumni.

THE 4.0 AWARD

Awarded to students who have excelled academically through our rigorous coursework and obtained a grade point average of 4.0.

THE OUTSTANDING SENIOR AWARD

Recognizes students who excel through academic achievement; campus and community activities; academic, athletic or extra-curricular honors or awards; scholarships and work ethic during their time at Tennessee Tech.

THE OUTSTANDING SENIOR SERVICE AWARD

Recognizes outstanding service to and leadership in professional activities and community service by a senior engineering student.

THE OUTSTANDING INNOVATION AWARD

Recognizes the best senior design project team or individual that best combines conceptual/technical innovation with entrepreneurial possibility.

THE BACHELOR OF SCIENCE BEST PAPER AWARD

Recognizes B.S. students who have published/co-published a conference or journal paper. Additionally, the paper has been presented or co-presented by the student at a conference.

THE INTELLECTUAL PROPERTY AWARD

Given to undergraduate and graduate students who disseminate, commercialize or publish intellectual property created in the course of their research or creative activity.

EXPERIENTIAL EDUCATION MERITORIOUS AWARD

Given to undergraduate and graduate students who have demonstrated outstanding achievement on their co-op internship experience as evidenced through their employer evaluation and term report.

OUTSTANDING UNDERGRADUATE RESEARCH AWARDS

Recognize students who participated and won during the current year's Annual Research Day.

OUTSTANDING TEACHING ASSISTANT

Recognizes the significant contributions our graduate students make to the instructional mission of the College.

MASTER OF SCIENCE BEST PAPER

Recognizes M.S. students who have published or co-published a conference or journal paper. Additionally, these individuals have presented or co-presented at a conference.

THE DOCTOR OF PHILOSOPHY BEST PAPER AWARD

Recognizes Ph.D. students who have published or co-published a conference or journal paper.

OUTSTANDING GRADUATE RESEARCH AWARD

Recognizes graduate students who participated and won during this year's Annual Research Day.

*Two winners will be selected from each College of Engineering department, and each will receive a cash prize of $300 and an award plaque. All winners will be recognized at the E-Week Engineering Banquet in February.

<u>**THE SCHOOL OF HUMAN ECOLOGY**</u>

Awards the following each year:

FRESHMAN ACADEMIC ACHIEVEMENT:

Highest GPA, min 4 hours at TTU, min 15 hours in HEC, min 1 semester in HEC

SOPHOMORE ACADEMIC ACHIEVEMENT:
Highest GPA, min 8 hrs in HEC, min 20 hrs at TTU, min 2 semesters in HEC

JUNIOR ACADEMIC ACHIEVEMENT:
Highest GPA, min 24 hours in HEC, min 40 hours at TTU, min 4 semesters in HEC

SENIOR ACADEMIC ACHIEVEMENT:
Highest GPA, min 33 hours in HEC, min 40 hours at TTU, min 5 semesters in HEC

OUTSTANDING SENIOR IN HUMAN ECOLOGY
Voted on by Faculty using the following criteria:
- o Minimum 3.0 GPA
- o Leadership ability
- o Extracurricular activities
- o Service to TTU and to the School of Human Ecology
- o Commitment to the field of Human Ecology

COLLEGE OF INTERDISCIPLINARY STUDIES

Implementing two student awards for 2017-18

MOST OUTSTANDING GRADUATING SENIOR IN ENVIRONMENTAL STUDIES

MOST OUTSTANDING GRADUATING SENIOR IN INTERDISCIPLINARY STUDIES

COLLEGE OF EDUCATION

The College of Education has the following student awards at both the undergraduate and graduate levels:

GO-GETTER

Awarded to students who take initiative, lifelong learner, proactive, curious, exceed minimum expectations, self-motived, innovative, eagerly completes tasks.

LEADERSHIP

Awarded to students that have demonstrated ability to work well with others, respectful of others, serve as example for others, inspire others to act and perform their best

PROFESSIONALISM

Awarded to students that are respectful, demonstrate ability to follow policy and procedure, dependable, responsible, positive attitude, empathetic.

SERVICE

Awarded to students that participate in service to their community, university, profession; they are active in their discipline, dedication/passion to field of study, puts others first

SCHOOL OF AGRICULTURE

Recipients of the following awards are recognized at the spring awards banquet:

W. CLYDE HYDER ANIMAL SCIENCE AWARD

The W. Clyde Hyder Animal Science award to a senior Block and Bridle member majoring in Agriculture with a concentration in Animal Science. The recipient is selected by the Animal Science faculty and receives a plaque and three hundred dollars. This award is sponsored the Agricultural Foundation for Tennessee Tech.

ARNOLD W. HUNTER ANIMAL SCIENCE AWARD

Awarded to a junior Block and Bridle member majoring in Agriculture with a concentration in Animal Science. The recipient is selected by the Animal Science faculty and receives a plaque and three hundred dollars. This award is sponsored the Agricultural Foundation for Tennessee Tech.

W.J. HUDDLESTON AGRICULTURAL ACADEMIC AWARD

Awarded to a rising junior with the highest overall GPA within the School of Agriculture. The recipient receives a plaque and three hundred dollars. This award is sponsored the Agricultural Foundation for Tennessee Tech.

W. CLYDE HYDER DELTA TAU ALPHA AWARD

Awarded to a member of the Agriculture Honor Society who is involved in Agriculture and campus wide organizations and demonstrated leadership. The recipient is selected by the Delta Tau Alpha advisors and is awarded a plaque and three hundred dollars. This award is sponsored the Agricultural Foundation for Tennessee Tech.

DR. SUMNER GRIFFIN AGRICULTURE AWARD

The Dr. Sumner Griffin Agriculture Award is award to a senior in good standing. The recipient is selected by the faculty members in the School of Agriculture and receives five hundred dollars.

COLLEGE OF BUSINESS

BETA GAMMA SIGMA

Academically excellent junior, seniors, and graduate students are invited to join this international honor society serving business programs accredited by AACSB International - The Association to Advance Collegiate Schools of Business.

COLLEGE OF BUSINESS STUDENT HALL OF FAME

Academic Chairs and Student Success Center staff nominate undergraduate students from the Spring graduating class for this award. The nominated students provide a reflective statement that addresses how their experiences in the College of Business at Tennessee Tech (academic work, service, leadership, social experiences, etc.) contribute to their future goals. The COB Dean, Development Officer, Faculty Members and Advisory Board Members select the recipient.

COLLEGE OF BUSINESS HONORS STUDENTS

Each Spring the College of Business recognizes all COB undergraduate students with cumulative GPAs of 4.0 as Honors Students at our Scholarships and Awards Banquet.

EAGLE WORKS VIRGIE ELROD CLOUSE CREATIVITY AWARD

Given to one team who demonstrates exceptional creativity in their poster, project presentation, or prototype. This creativity is displayed through ideas, project approach, or problem solving in the trade show portion of the competition.

EAGLE WORKS ROBERT OSBOURNE CLOUSE INNOVATION/PROTOTYPE AWARD

Given to one team who demonstrates the spirit of innovation in their poster or project presentation. This innovative spirit is displayed through ideas, project approach, or problem solving in the trade show portion of the competition.

EAGLE WORKS THIRD PLACE PRIZE

Main Competition third place team receives this monetary award.

EAGLE WORKS SECOND PLACE PRIZE

Main competition second place team receives this monetary award.

EAGLE WORKS FIRST PLACE PRIZE

Main competition first place team receives this monetary award.

TVA INVESTMENT CHALLENGE BLUE CHIP AWARD

Presented to the most reliable student in the TVA Investment Challenge course.

TVA INVESTMENT CHALLENGE BLOOMBERG ALL STAR AWARD

Given to the student who shows the most aptitude with Bloomberg Terminals.

TVA INVESTMENT CHALLENGE BLUE CHIP AWARD

Recognizes the best performing student in the TVA Investment Challenge class.

<u>NURSING</u>

HIGHEST ACADEMIC ACHIEVEMENT AWARD

This award is given each semester to the graduating Senior voted by the Faculty to have achieved the highest grade point average.

DR. PATRICIA A. SOMMER STUDENT NURSE AWARD

This award is given each semester by the School of Nursing Development Council to the student who exemplifies the qualities of leadership, high scholastic achievement (at least 3.0 QPA), caring, commitment, etc. Faculty votes on this award each semester.

OUTSTANDING CLINICAL PERFORMANCE AWARD

This award is given each semester to the graduating Senior voted by the Faculty to have consistently given outstanding clinical performance throughout the two years of Upper Division Nursing. This student will have demonstrated initiative in clinical practice and in alternative and/or creative plans of nursing care.

UPPER CUMBERLAND DISTRICT 9 TN AWARD

District 9 Award is given to a student who has experienced challenges and persevered, achieved successes & shown some type of leadership.

SNA STUDENT LEADERSHIP AWARD

Award given to a member of the TTU Student Nurses Association. Awardee must also be a member of National Student Nurses Association, have served in a leadership capacity at either the local, state or national level, promoted & represented the association in various activities and promotes professionalism in nursing through academic and association activities**.**

SNA-TTU MEMBERSHIP AWARD

Award given to a member of the TTU Student Nurses Association. Awardee must have promoted & represented TTU SNA (or TASN/NSNA) in various activities & committees, and promoted professionalism in nursing through academic and TTU SNA activities.

SNA-TTU STUDENT NURSE OF THE YEAR AWARD

Award given to a member of the TTU Student Nurses Association. Awardee must have held and elected or appointed positon or responsibility in TTU SNA (or TASN/NSNA). Student must have demonstrated leadership ability in SNA activities as well as during nursing clinical, maintained high standards of clinical practice including patient advocacy and demonstrated nursing professionalism.

Agenda Item Summary

Date: **August 17, 2017**

Agenda Item: **SACSCOC On-site Visit**

	Review		Action	☒	**No action required**

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PRESENTER: Phil

PURPOSE & KEY POINTS:

SACSOC (The Southern Association of Colleges and Schools Commission on Colleges) Substantive Change Committee will be visiting campus September 26-28 to review the change in governance. This short presentation will provide information on the importance of the visit and the Board's role.