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Agendas and Minutes

9-26-2016

2016 September 26 - Faculty Senate Agenda and Minutes

Faculty Senate, East Tennessee State University

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EAST TENNESSEE STATE UNIVERSITY

Faculty Senate Agenda

September 26, 2016

2:45 p.m. Forum

1. Presentations-none
2. Celebrations
3. Announcements
4. Approval of minutes
5. New Business

a. Q/A with Dr. Noland

(Items were submitted to Dr. Noland from members of the Executive Committee-did not receive any from the senate at large, though some of these items may have been brought to the attention of an Exec Committee member from the faculty)

- Visibility of public safety - some say they aren't
- Any additional info on relationship between Enterprise and ALEC
- Update on positions being vacated (Collins, others?)
- THEC document – lack of shared governance (include as attachment)
- Update on policies/committee structure review
 - Need for Quality Improvement committees by discipline in health related areas (TN Patient Safety & Quality Improvement Act)
- Financial Aid – can't talk to a person in FA (faculty need separate line to call)
- Has there been an increase in crime on campus?
 - Status of drug sale problems at BucRidge
- Update on merger MSHA/Wellmont
 - Involvement of the QCom and CON
- Update on Performing Arts Center
 - When are they meeting with the architects
 - Staffing for the building
 - Is the university considering a third party for event management?
 - For ETSU events?
 - For city only events?
 - For all events?
- Whatever he has for us

6. Action Item(s):
7. Questions on reports/summaries from committees/working groups
8. Comments from guests
9. Adjourn

Next meeting: Oct. 24 (No meeting on Fall Break Monday)- Teaching group report; Stacy Onks

“A good leader is a person who takes a little more than his share of the blame and a little less than his share of the credit.”

~John C. Maxwell



FACULTY SENATE MINUTES

Meeting Date:	09/26/2016	Time:	14:45 -	Location:	Culp Center, Room 311
Next Meeting:	10/24/2016	Scribe:			Eric Sellers
Present:	Leila Al-Imad, Fred Alsop, Patrick Brown, Randy Byington, David Champouillon, David Cluck, Wendy Doucette, Dorothy Drinkard-Hawkshawe, Joyce Duncan, Saravanan Elangovan, Jon Ellis, Susan Epps, Lon Felker, Tavie Flanagan, Bill Flora, Virginia Foley, Katherine Hall, Bill Hemphill, Stephen Hendrix, Tod Jablonski, Karin Keith, James Livingston, Fred Mackara, Mildred Maisonet, Tim McDowell, Theresa McGarry, Lorianne Mitchell, Shunbin Ning, Bea Owens, Jonathan Peterson, Eric Sellers, Melissa Shafer, Candice Short, Christy Smith, Paul Trogen, Craig Turner, Liang Wang				
Absent:	Doug Burgess, Lee Glenn, Mary Ann Littleton, Timir Paul, Bill Stone, Ahmad Watted				
Excused:	Heidi Campbell, Erin Doran, Thomas Kwasigroch, Anthony Masino, Peter Panus, Darshan Shah,				

Agenda Items	Responsible
Meeting called to order [Time]	
1. Presentations – None	
2. Celebrations	
3. Announcements	
4. Approval of Minutes	
5. New Business	
5.1 Q/A with Dr. Noland	
5.1.1 Visibility of Public Safety	
5.1.2 Information in regard to Enterprise and ALEC	
5.1.3 THEC document – lack of shared governance	
5.1.4 Update on Policies/Committee Structure Review	
5.1.4.1 Need for Quality Improvement committees by discipline in health related areas (TN Patient Safety & Quality Improvement Act)	
5.1.5 Financial Aid – can't talk to a person in FA (faculty need separate line to call)	
5.1.6 Has there been an increase in crime on campus?	
5.1.6.1 Status of drug sale problems at BucRidge	
5.1.7 Update on merger MSHA/Wellmont	
5.1.7.1 Involvement of the QCom and CON	
5.1.8 Update on Performing Arts Center	
5.1.8.1 When are they meeting with the architects	
5.1.8.2 Staffing for the building	
5.1.8.2.1 Is the university considering a third party for event management? For ETSU events? For city only events? For all events?	



6. Action Item(s)	
7. Questions on reports/summaries from committees/working groups	
8. Comments from guests	
9. Adjourn	

DISCUSSIONS

Meeting called to order [14:47]

1. Presentations – None

2. Celebrations

Mildred Maisonet received a grant.

Foley: Randy Byington will be president of TUFS until June 30 of 2018.

3. Announcements

None

4. Approval of Minutes

Motion to approve minutes; Mitchell: Second; Felker. Motion approved

5. New Business

5.1 Q/A with Dr. Noland

Noland: Thank you for the opportunity to appear before the senate and to address questions that Dr. Epps has provided. Before moving through questions, I would like to announce that next Monday at 10 AM is the State of the University Address. I will provide detailed information related to budgets, enrollments, major initiatives for this academic year, updates on construction projects, etc. There will be about 40 minutes of slides with a Q and A to follow.

- Catherine Morgan has been hired as the new Director of the Department of Financial Aid. One of the things that she will be launching at the end of October and the beginning of November is bringing in NASFA (National Association of State Financial Aid Administrators). They are going to reach out to students, faculty, staff, and groups across campus to find out what works well and what does not.

- Enrollment is down approximately 300 students this Fall (less than 130 FTE's). We are not looking at budget reductions. If you look at some of our sister institutions, MTSU is down 500 again, TTU is down 400, TSU is down also but what surprised me most was that community colleges are down. All things considered we are in much better shape than our sister schools. There was not a large drop in freshmen and transfer students. The attrition is in our retention rate.

5.1.1 Visibility of Public Safety

5.1.2 Information in regard to Enterprise and ALEC

5.1.3 THEC document – lack of shared governance

Noland: The Focus Act has been passed into law and for the first time we will have institutional governing boards at ETSU as well as at our sister institutions Memphis, TN State, TN Tech, Middle TN State, and Austin Peay. There has been a significant amount of work at both the campus and state levels. I'll first provide information at the state level. The governor has formed two committees to guide the implementation of focus from a macro level. The first is a broad steering group comprised of institutional presidents, legislators, and system heads. The second is the working group that does the work that informs the activities of the steering committee.

- As we move through the decoupling of the board there will be a transition period that runs through the close of the 2017 calendar year. This transition is complicated. The contracts that are negotiated at the state level must be renegotiated and these processes have been in place since the 1970's.

- We are a little behind schedule and as a result some of the activities on campus are also behind schedule. With the arrival of the new executive director of THEC, Mike Krause, there has been about a two-month delay. We will go through a formal governance change with SACS that will take effect in most likely April.

- The committee will create sub committees that will begin work of restructuring policy of the institution. If you were to open up any policy on this campus currently they all link up to the Board of Regents. Between now and April, we will need to update all of the policies.

- I doubt we will have everything complete by the time the board is seated but we will have everything in place so



DISCUSSIONS

that the transfer of authority can occur. There is no way any institution can do this process in 5-6 months.

- We will continue to operate under the current governing body until the formal transfer of authority occurs.

- THEC sent a memo to all of the President's last week. There was little to no recognition of the role of faculty in shared governance at the institution, system, or state levels. I think this is an opportunity for faculty across the state, particularly TUFs to move through an educational process with THEC. This is a new role for the higher education commission. Since they began they have been a policy body. They are moving under the paradigm that they have been under for the past 40- 50 years. I think this is an opportunity for the faculty to work with the commission and the new director. Their only real authority over the university is through tuition and fees, capital projects, and the approval of academic programs. All other authority from the academic perspective belongs with the Board of Trustees. Our approach needs to be engaged and inform instead of empower. Many of the members at THEC are faculty members and they understand the role of faculty and shared governance. That is just not the way they have operated since they were created in the sixties. So let me pause for questions.

Drinkard-Hawkshawe: What is the difference between the current board of trustees and the local board of trustees that will take the office?

Noland: The current Board of Regents and the Board of Trustees will share a similar set of responsibility. TBR bears the fiduciary responsibility for the university, they maintain standards for academic quality. From the SACS perspective, they are our governing board. The Board of Regents' responsibilities will transition to our Board of Trustees. TBR will still have some authority over East Tennessee State University. We will still use them for Banner and support systems, construction purposes, but we will phase out of those relationships quickly. The board must be able to verify that as a campus we have the ability to cover our debt service payments.

Al-Imad: How long will each trustee serve on the board?

Noland: They are staggered terms. At the onset there will be trustees that serve 3, 4, and 6-year terms. Everyone will serve the full 6-year term after those cycle through. The faculty member is selected by a process determined by the institution. Our process has come to a close, and I have transmitted the governor the name of the person that was selected by our faculty. We are ahead as usual of the other institutions in the state. Other questions on governance?

5.1.4 Update on Policies/Committee Structure Review

5.1.4.1 Need for Quality Improvement committees by discipline in health related areas (TN Patient Safety & Quality Improvement Act)

5.1.5 Financial Aid – can't talk to a person in FA (faculty need separate line to call)

Noland: I realize that many people in the room have experienced challenges with the office of financial aid. I'm not making any excuses for what happened this fall. The position we found ourselves in is inexcusable. We will conduct an outside review. Those problems will not happen again. We are bringing in a new director for the financial aid. Part of the problem is that we are an open institution. We do not have strict cut off dates like you see at other institutions. We could have stricter policies, but because of our mission we will continue to accept people later into the enrollment process. I have talked at great length with more staff as to what to improve. We have good hard-working people in the financial aid office. Many people in the office worked late and on the weekends to help people. When I asked the people in line why they were there, the majority of the students were there to turn in forms for intent to pay. That should be able to be automated. I ask that you give the new director some time to get her feet wet.

Byington: From a data stand point, are we spending too much on students who sign up later and then do not continue their education?

Noland: People that enroll later have a lower retention rate. There is an ongoing conversation about students that get emergency loans, but do not finish school and have to go to a collections agency because of attending ETSU.

Ellis: I've always been told that things are more complicated than they look. I do not think the people are turning away because they don't want to be here. I think the people in financial aid should not be so "grouchy." I mean the university would not even be there if it were not for the students. Maybe the new director will be able to teach people to have a little bit thicker skin and be nicer.

Noland: I think you could say the same about a lot of departments. Sometimes the smallest act can make the biggest difference. Smiling at a student can really brighten someone's day. This fall was atypical. This fall, I felt sorry for the people in financial aid. They were there until 7 at night dealing with students and difficult situations. I do not mean to focus solely on the line because you are right on target. I know from parking services to all the way down the line a smile can go a long way. I know Dr. Nicks ran something a long time ago about teaching customer service. Dr. Dixon has a nice way of saying ETSU would be well served to introduce a culture of nice, and that runs through his strategic planning efforts.



DISCUSSIONS

Ellis: Well you brought up Dr. Dixon. I was here when that department was not so great but now it's great because of his respect for people.

Keith: Is it possible to flag the students that are not likely to succeed, so that we can reach out and provide extra support?

Byington: Ethically to me, I have the dilemma of saying this is a student that is not likely to succeed, have we done them a favor by putting them in debt?

5.1.6 Has there been an increase in crime on campus?

Noland: I would encourage you to go to the public safety website and look at the Clery Report. The policies at hand are extensive and very informative; the policies, protocols, safe-guards and initiatives that are used to minimize the statistics are outlined in the report. If you have questions about the safety of campus and the steps we are taking as a university to enhance safety, take a look at the report.

5.1.6.1 Status of drug sale problems at Buc Ridge

Noland: Our drug violations are up from 34 in 2013 to 41 violations in 2015. However, the drug activity has shifted to Monarch. There was a stabbing last week. Every week there is a party and some sort of drug violation. What we have experienced last spring and this fall has not so much been on campus. We have cracked down in the residence halls. Our alcohol violations went up from 79 to 130 because we are better enforcing the rules.

Schacht: If we compared our stats to our peer institutions adjusting for the number of on and off campus students how would we look?

Noland: Overall, we are trailing our sister schools. When you compare our crime stats to other institutions of similar numbers we are quiet and safe.

Duncan: Is there any effort to improve the lighting on campus at night?

Noland: Pooja Shaw, the President of SGA, put this in their initiative. Members of SGA walked across campus this summer in order to find the places that had sub-standard lighting and we have put up new lights and replaced lightbulbs as a result of their findings.

Drinkard-Hawkshawe: Because sexual assaults are up here and across the nation, what are we doing other than making sure there is plenty of light on campus?

Noland: I would encourage you to visit the public safety website. They have a lot of information about safety on campus. Along the lines of what are we doing, students are required to take haven training at orientation. Most of the sexual assaults that have happened here are acquaintance assaults and involved some type of substance. I think our stats were not properly recorded in the past. I am not making any value judgments. I am trying to delicately describe the situation that our students and staff find themselves in. Dr. Sherlin and his staff have been very aggressive in education and professional development outreach efforts, but we have also been very aggressive and intentional in the counseling and support services that we provide for victims. I do not want to take offense by saying our stats are up. I think for a long time we did not properly record our statistics. It is not that anything has changed, we just recorded events differently.

Drinkard-Hawkshawe: Sexual assaults are on the rise and we need to do something about that.

Al-Imad: We need to have a service for people late at night trying to get around campus.

Noland: We have the safe ride program. Anyone can call public safety and get a ride anywhere on campus.

Felker: When you listed the stats you said dating violence and sexual violence, are those two separate categories?

Noland: Yes, two separate categories.

Peterson: Is the cracking down on alcohol in residence halls for just people underage?

Noland: Both. Most of our students are underage except for some of the students that live at Buc Ridge.

Peterson: I know we are a dry campus, but is this running people off when they become juniors or seniors?

Noland: A conversation has to be had with the board of trustees. They will look at our status as a dry campus.

Elangovan: How were the gun caring zones implemented? Will there be any signage?

Noland: All of the appropriate signage is coming. One of the reasons we have held off on spending a significant amount of money is because I anticipate attempts in the General Assembly to expand the presence of weapons on campus. Currently there are 41 faculty signed up to carry weapons on campus.

Elangovan: Is that public information?

Noland: No, by law there are only two people that have the list of 41 people.

Forsman: There is ambiguity about where you can and cannot carry guns according to the map. For example, you cannot carry in Brown auditorium but you can carry in Brown?

Panus: I remember reading where you could not carry a firearm in an area where there is a large area.

Noland: There are areas such as University School, any area where there are children, or counseling.



DISCUSSIONS

Foley: Our website for public safety does a very thorough job at showing where weapons can be carried.
Byington: There is some contradiction between what is being said and where the dots on the map are located.
Noland: I made a note to ask Ed Kelly what we can do to make some clarifications. It is a much more dynamic campus because of Little Bucs, University School, clinics, and counseling centers.

5.1.7 Update on merger MSHA/Wellmont

Noland: Medicine and nursing have both been looked at for the merger. There is a committee comprised of the deans from each of the respective health sciences colleges. We are formally developing an MOU that outlines the terms of agreement with Mountain States and the current board. The merger should be finalized in 2015. We are meeting with MSHA bi-weekly.

5.1.7.1 Involvement of the QCom and CON

N/A

5.1.8 Update on Performing Arts Center

Noland: We launched the arts initiative on Valentine's Day in 2013. We were supposed to receive the funding, but in 2014 there was a down-turn and we had to wait until 2015. This has taken much longer than any of us have anticipated. Despite all of this, we have raised 21 million dollars for the building.

5.1.8.1 When are they meeting with the architects

Noland: The building was first envisioned in 1986. It was a home for Music and Theater, as the building unfolded other academic programs were added and the building was to be a home for all of the arts at the institution. When the architect's cost estimate went to market, it missed by 50%. Thus, the scope had to be reduced to Music and Theater.

5.1.8.2 Staffing for the building

Noland: There will be a promotional staff for booking, but the staff will not be provided through the promotional staff. The promotional staff will just be used to host large events.

5.1.8.2.1 Is the university considering a third party for event management? For ETSU events? For city only events? For all events?

Noland: We have looked into external entities for a booking or promotional group to help. This group will not run the building. They will help with promotional events. I would like to hire one entity that would help book big events in Johnson City. I know certain departments feel they own the building, but this building is for everyone.

Champouillon: Are there going to be events such as recitals in the new building?

Noland: Yes, there will be recitals.

Shafer: For the programs that do not make it in the building, are they going to share space with other people?

Noland: In order for the programs to be accredited, they have to have a certain amount of space so we have to find space for everyone to keep accreditation.

Champouillon: Are there going to be 10 events or 10 different events that could last longer than 10 separate days?

Noland: It is 10 separate events for the whole year. They are trying to look for events that would maximize ticket sales and revenue.

Champouillon: I have been told to ask because people are worried about this promotional group, but they will only be used for these 10 major events correct?

Noland: Correct. If we found that we wanted to extend the promotional groups services beyond the 10, there is nothing stopping us from using them again. We have three years to work this out, and figure out exactly what we will do with this promotional group.

5.1.9. Strategic planning

Noland: I would encourage everyone to attend either Thursday at 3 in Brown Hall or Friday at 10 in Sam Wilson. These are two open forums related to strategic planning. Dr. Dixon and Dr. Hoff will be present at both sessions. The sessions will provide a glimpse of the plans and it is a great opportunity for the campus to provide input as the process is finalized. The final draft will be completed for review in November.

5.1.10. Additional questions

Panus: What is happening with Enterprise and ALEC?

Noland: It is my understanding that Enterprise is no longer affiliated with ALEC.

Hendrix: Is the notepad going to also be available in text?



DISCUSSIONS

Noland: I did not know it was not available in text.

Alsop: From a personal perspective, how is the new food service?

Noland: The feedback has been nice. There are students in main meal at 10 pm enjoying the space. Sodexo has been doing a great job.

Noland: Thank you for letting me come today. Do not forget about the state of the university address on Monday.

6. Action Item(s)

None

7. Questions on reports/summaries from committees/working groups

Foley: There will be 2 resolutions that require agree or disagree that we will vote on at our next meeting. One has to do with guns on campus – that we are opposed to expanding carry permits. The second has to do with what happened at Long Island University, where faculty were locked out of the university due to contract negotiations that had broken down. We have a draft of the resolution that the events were inappropriate. The other items are just items for discussion.

Epps: We will not have meeting again until October, 24th. Three members of the Teaching Work Group will be here to present.

Byington: It is a listening time not a debating time.

Epps: We have guaranteed them an hour for listening to their proposal.

8. Comments from guests

None

9. Adjourn

Motion to adjourn; Dr. Brown: Second; Foley. Meeting adjourned at 16:35

Please notify Senator Eric Sellers (sellers@etsu.edu or 9-4476, Faculty Senate Secretary, 2015-2016, of any changes or corrections to the minutes. Web Page is maintained by Senator Doug Burgess (burgess@etsu.edu or x96691).

MIKE KRAUSE
Executive Director



BILL HASLAM
Governor

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DATE: September 15, 2016
TO: Tennessee Higher Education Presidents, Chancellors, and System Leaders
FROM: Mike Krause
SUBJECT: Commission Guidance Regarding Implementation of the FOCUS Act

The passage of the Focus on College and University Success (FOCUS) Act during the 2016 legislative session represents a pivotal moment for higher education in Tennessee. The Act provides greater autonomy for universities in pursuit of innovation and differentiation, while allowing the Board of Regents to sharpen its attention on technical and community college success. At the core of FOCUS is a belief that increasing the number of Tennesseans with a postsecondary credential demands increased agility on the part of the six TBR universities, with an understanding that this nimbler approach must be deployed within the broader context of the State's higher education policy agenda.

Throughout the summer, our senior staff met with each of your leadership teams, seeking firsthand perspectives on the FOCUS Act and transitional issues. We concluded those meetings convinced that the most urgent task for THEC is to articulate an implementation timeline and provide reasonable insight as to how the Commission will address operational issues inherent in this transition. This communication seeks to accomplish both tasks.

The FOCUS Act presents our state with a rare opportunity to re-examine the relationships and interactions between each institution, board, system, and the Commission. While the roles and responsibilities of THEC and each university are specified in law, the operational realities of these roles will evolve over time. As that process unfolds, THEC is committed to the following core principles:

- The agenda for state public higher education, and the foundation for all policy decisions, will be the priorities of the Drive to 55 and the Complete College Tennessee Act (CCTA) of 2010;
- The Tennessee Transfer Pathways remain intact, with full articulation continuing as envisioned in the CCTA and reinforced by the FOCUS Act;
- Data systems are interoperable and are used as a strategic tool for evaluating progress toward State objectives;
- Mission profiles reflect each university's niche in terms of student profile, institutional classification, and contributions to the State;
- A culture of collaboration remains, such that institutions do not lose sight of their interdependence; and
- Operational and capital resources are allocated in a manner that is strategic, fair, and mission-focused.

The addenda following this memo delve more deeply into specific policies and procedures, with the primary aim of providing operational detail for each of the functional areas embedded within the FOCUS Act, specifically:

- THEC Interaction with Universities and Systems
- University Board Operations
- University Operations
 - ◊ Academic Affairs
 - ◊ Fiscal Policy
 - ◊ Data Policy
 - ◊ Government Relations

Above all, THEC issues this guidance to facilitate a conversation that will be the foundation of a smooth transition. It is my sincere belief that the conversations held this summer, combined with this guidance document and open communication, will create a framework for collaboration that will ensure optimal progress and improve student outcomes in the FOCUS era. I hope you will not hesitate to let us know how we may be of assistance moving forward.

THEC Interaction with Universities and Systems



Coordination: Across Institutions, Sectors, and Systems

Progress toward student access and success depends on coordination and open communication across postsecondary institutions. To strike a balance between communication and efficiency, THEC proposes to convene two Councils, inclusive of university, system, and sector representation:

- **Student success and institutional collaboration.** Chief academic officers will be convened biannually prior to the winter and summer THEC meetings. Items for discussion and consultation will include matters of state interest and inter-institutional collaboration.
- **Finance and data.** Chief business and institutional research officers will be convened biannually prior to the fall and spring THEC meetings, where budget recommendations and approval processes will be discussed.

The Councils may set additional meetings, establish working groups or sub-structures, or include functional personnel to best address common issues. Furthermore, we anticipate that professionals across institutions will maintain open channels of communication and continue to share ideas, build partnerships and agreements, and address the range of issues facing higher education—it is in everyone’s best interest to do so.

Guidance and Approval

The FOCUS Act upholds THEC’s mission of developing, tracking, and incentivizing a statewide master plan for higher education; Drive to 55 serves as the guiding initiative by which postsecondary priorities are established and progress is measured. While FOCUS empowers universities to oversee their own curriculum, program development, budgeting, procurement, and tuition and fee levels, state priorities are reinforced by delegating specific guidance and approval responsibilities to THEC. The Commission staff has been working with TBR and campus personnel to identify new and changing responsibilities, assess institutional capacity, and clarify duties related to academic affairs, fiscal policy, data, and government relations.

University Board Operations



Seating of Boards

The FOCUS Act outlines a process and condensed timeline for naming and seating board members for each of the locally governed institutions (LGIs). Board appointments will likely be announced in late September/early October 2016. Meanwhile, university faculties have been asked to develop a process for selecting a board member from their ranks. The appointments will pass through the General Assembly for confirmation during the 2017 legislative session, with anticipated action in February or March. After all members have been confirmed, university boards assume management and governance of their respective institutions upon the board's first meeting, as called by the Governor. *See Tenn. Code Ann § 49-8-201(f)(7)(B)(i).*

The FOCUS Act requires that board members complete orientation with THEC after confirmation by the General Assembly and before the initial convening. *See Tenn. Code Ann § 49-8-201(f)(7)(A).*

Board Orientation and Training

In order to meet statutory requirements, THEC proposes a two-pronged approach for training inaugural boards: a targeted on-campus orientation in late March 2017, followed by a more comprehensive statewide professional development conference in late summer 2017.

Orientation. In partnership with university transition teams, THEC will conduct a condensed orientation and training session to prepare boards for their initial duties, which include:

- Determining institutional intent and capacity to undertake functions previously provided by TBR;
- Establishing bylaws;
- Setting tuition and fees for the 2017-18 academic year; and
- Naming a student board member.

Primary board orientation topics may include legal, ethical, and fiduciary responsibilities; affordability, costs, tuition, and financial aid; and, roles and responsibilities in the FOCUS era. Institutional transition teams have expressed interest in providing a general orientation to their university, mission, culture, and personnel.

Professional development. After board members have convened and assumed governance responsibilities, THEC will convene a statewide conference for all higher education board members, spanning LGIs, TBR, and UT, for the purpose of providing professional development and coordination of state policy initiatives. The event will offer new board members the opportunity to meet other higher education stakeholders; hear from national experts in the fields of higher education policy, governance, coordination, and strategy; and better understand their roles, responsibilities, and duties.

University Operations



Moving from the principles of governance to the implementation of new responsibilities, the parameters and timeline for various transitions are outlined below. The FOCUS Act recognizes the efficiencies of shared services through TBR and provides universities with a *choice* to continue utilizing TBR services or to undertake them at the campus level.

In January 2017, THEC will invite universities to express their intent to undertake FOCUS-designated responsibilities and begin a process to demonstrate institutional capacity to do so. Once seated, governing boards will be asked to evaluate capacity for independent management of these responsibilities and communicate their intentions to THEC. Requests may be presented as early as the summer 2017 THEC meeting, at which time THEC will approve or deny requests. *See Tenn. Code Ann § 49-8-101(a)(2)(C).*

The following pages provide the details and processes clarified to date, with understanding that specifics are continuing to develop, for:

- Academic Affairs
- Fiscal Policy
 - ◊ Budget Process
 - ◊ Capital Project Prioritization and Management
 - ◊ Procurement
- Data Policy
- Government Relations

Academic Affairs



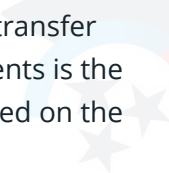
THEC is empowered to provide statewide leadership for the development, coordination and monitoring of academic planning. Central to these core functions is the State's emphasis on seamless transfer pathways and general education. As delineated in the FOCUS Act, THEC will engage directly with LGIs to oversee the following policies, guidelines, and activities.

Institution's Role

- **[NEW]** Submit annual institutional mission profiles for review and approval. Mission profiles should characterize distinctiveness in degree offerings by level, focus, and student characteristics. The mission profile should also address institutional accountability for the quality of instruction, student learning, research, and public service. *See Tenn. Code Ann § 49-8-101(d).*
- Ensure compliance with transfer and articulation provisions. *See Tenn. Code Ann § § 49-7-202 and 49-8-203(e).*
- **[NEW]** Submit an annual report on academic program terminations. *See Tenn. Code Ann § 49-8-203(l).*
- Promulgate tenure policy for faculty, which shall ensure academic freedom and provide sufficient professional security to attract the best qualified faculty. *See Tenn. Code Ann § 49-8-301(a).*
- **[MODIFIED]** Develop procedures for the termination of faculty for adequate cause by the institution, following a hearing that ensures due process. *See Tenn. Code Ann § 49-8-303.*

THEC's Role

- **[NEW]** Coordinate and administer an orientation training, as well as an ongoing continuing education program for governing board members. The Division of Academic Affairs will assist in providing training in the following areas: roles and responsibilities of governing boards; the board's role in upholding academic standards; intellectual diversity; academic freedom; and the role of higher education in K-12 collaboration. *See Tenn. Code Ann § 49-8-201(f)(7)(A).*
- **[NEW]** Convene representatives of the institutions and governing boards to ensure a cohesive and coordinated system of higher education public policy. *See Tenn. Code Ann § 49-7-202(p).*
- Study on a continuing basis the use of public funds for higher education and analyze programs and needs in the field of higher education. *See Tenn. Code Ann § 49-7-202(a).*
- Ensure postsecondary institutions cooperatively provide for an integrated system of postsecondary education. THEC shall guard against inappropriate and unnecessary conflict and duplication by promoting transferability of credits and easy access of information among institutions. *See Tenn. Code Ann § 49-7-202(b).*
- **[MODIFIED]** Review and approve or deny all proposals for new degree programs and new academic departments or divisions. *See Tenn. Code Ann § 49-7-202(q)(2)(A).*
- Review and approve or deny an institution's request to establish a physical presence at any location other than its main campus or to extend an existing location. *See Tenn. Code Ann § 49-7-202(q)(3).*

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- **[MODIFIED]** Involve higher education institutions in the collaboration and development of transfer pathways for at least the fifty (50) undergraduate majors for which the demand from students is the highest and in those fields for which the development of a transfer pathway is feasible based on the nature of the field of study. *See Tenn. Code Ann § 49-7-202(r)(1).*
 - **[NEW]** Review and approve proposed and existing forty-one (41) hour general education core common to state institutions to ensure full transferability as a block. *See Tenn. Code Ann § 49-7-202(r)(2)(C).*
 - **[NEW]** Consult with the governing boards of all postsecondary institutions to implement a common course numbering system and identify courses offerings that are not university parallel. *See Tenn. Code Ann § 49-7-202(r)(3)(A).*
 - Develop policies under which a person who satisfies the admissions requirements of a two-year institution and a four-year institution may be admitted to both institutions. THEC will identify those institutions for which dual admission is appropriate, based on geographic or programmatic considerations. *See Tenn. Code Ann § 49-7-202(s).*
 - **[MODIFIED]** Develop processes to review academic program nominations for inclusion in the Academic Common Market.
 - **[MODIFIED]** Develop process to maintain an accurate Academic Program Inventory that includes the notification of academic program name changes, concentrations, and other academic program actions.
 - Continue to develop, evaluate, and incentivize of the Quality Assurance Funding program to promote academic excellence and institutional improvement.

Fiscal Policy



THEC has long been responsible for higher education finance policy by proposing the annual budget for state financial aid, recommending tuition ranges, executing the outcomes-based funding formula, and preparing a prioritized list of capital outlay projects. The FOCUS Act augments and enhances the role of THEC in these areas.

Budget Process

THEC will continue to formulate an annual budget, which includes the execution of the outcomes-based funding formula and a recommendation for state appropriations for tuition, state financial aid, and capital projects. The FOCUS Act does not alter the outcomes-based funding formula, other than including representation of the LGIs in the Formula Review Committee, which meets annually to review the model. The new members participated in the 2016 formula review process, and no changes were recommended to the model for 2017-18.

Of the finance components, the most significant change for 2017-18 will be that THEC will begin to issue *binding* tuition ranges. See *Tenn. Code Ann § 49-7-202(n)*. Binding ranges will apply to resident, undergraduate students on the tuition (maintenance fee) rate, as well as the sum total maintenance and mandatory fee change. For example, THEC could issue a binding range of 2 to 4 percent for the resident, undergraduate tuition rate and a 3 to 6 percent range for total tuition and mandatory fees. THEC will not issue binding recommendations on graduate, out-of-state tuition, or other fee rates. During the budget request process each fall, THEC will provide initial tuition guidance, though final tuition ranges will not be set until later in the fiscal year as the budget moves through the Office of the Governor and the General Assembly.

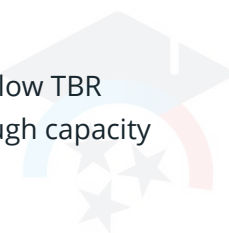
Capital Project Prioritization and Management

THEC will revise capital outlay and maintenance policies in order to synthesize requests from eight boards (UT, TBR, and six LGIs) in the 2018-19 budget cycle. THEC will continue to seek input from institutions, state government representatives, and other experts to determine the criteria by which capital projects will be prioritized, which are anticipated to be implemented in early 2017.

TBR has historically managed capital projects and interfaced with the State Building Commission (SBC), the Tennessee State School Bond Authority (TSSBA), vendors, and other actors on all aspects of project design and management. Institutions may choose to continue utilizing TBR services or transition to campus level management as outlined below.

Institution's Role

Universities may express their intent to assume capital project management responsibilities as early as January 2017. Once expressed, institutional personnel are asked to demonstrate capacity by participating alongside TBR staff in all aspects of project management and state oversight for several months. The process is intended to allow SBC, the Office of the State Architect, THEC, and institutional administrators the ability to assess their readiness to assume management responsibilities. Universities, based on action from their new governing boards, may formally request institutional management as early as the summer 2017 THEC meeting, with those approved assuming responsibility on December 1, 2017. For universities requesting and



receiving approval for severance at a later point in time, effective dates will be deferred so as to allow TBR time to transition specific roles and responsibilities. We anticipate the process, from petition through capacity demonstration to evaluation, will take 8-10 months.

THEC's Role

The FOCUS Act directs THEC to approve or deny each institution's request for capital project management. The decision, however, will reflect the input of state and institutional personnel as outlined above.

Procurement

TBR's involvement with procurement activity includes managing extensive reporting requirements and vendor relationships, reviewing projects of more than \$250,000 for compliance, and administering large, system-wide contracts. There are currently about 100 master contracts managed centrally, some of which include UT institutions and span state government agencies. Institutions, however, coordinate the vast majority of procurement locally, encompassing numerous projects and activities. Thus, transitions regarding procurement will first be predicated on the ability of an institution to meet reporting responsibilities and will secondarily develop on a contract-by-contract basis with TBR. In keeping with other fiscal policy options, institutions may indicate their intent to sever from TBR for the purposes of procurement in January 2017 and request THEC approval as early as summer 2017.

Institution's Role

Independence for procurement means that institutions may enter bilateral contracts with vendors, but does not prohibit master or group contracts through TBR, consortia, or partnerships. Beyond management of vendor relationships, institutions will need to undertake full responsibility for all contract and data reporting requirements, including annual reporting to the Senate Finance, Ways and Means Committee and quarterly reporting to Fiscal Review and the Governor's Office of Diversity Business Enterprise.

If not already in practice, institutions are encouraged to review and evaluate existing contracts for cost, performance, and benefits that accrue from participation in master or group contracts. Institutions may then sever from TBR on a case-by-case basis, as current contracts expire after November 30, 2017. Institutions, however, are asked to honor all existing contracts, including those that expire after independent procurement is permitted, so as not to impair other institution or system agreements.

THEC's Role

THEC will review the following factors when evaluating institutional capacity to manage procurement activities:

- Demonstrated ability to meet all state reporting requirements;
- Commitment to fulfill and maintain existing contracts; and
- Management of vendor relationships.

Data Policy



Accurate, comprehensive, and integrated student unit record data systems are critical to Tennessee's ability to identify needed performance improvements, develop policy, implement interventions, and evaluate results. Further, these data systems drive two critical resource allocation mechanisms: the outcomes-based funding formula and the Quality Assurance funding program. The FOCUS Act grants universities the option to alter the flow of student data by submitting it directly to THEC, with the expectation that data exchange will be uninterrupted, standardized, accurate, and timely. The six universities will continue to route their end-of-term and annual data submissions through TBR until June 30, 2018, in order to support current operations and preserve data quality without making a change in the middle of a reporting cycle.

Explicit in the FOCUS Act is the requirement that all system and institutional operating systems be **interoperable**. See *Tenn. Code Ann § 49-8-203(k)*. In data standards literature, interoperability within an information ecosystem requires that data from one entity be transmitted without requiring further transformation or interpretation by the receiver. To this end, THEC intends to create or adapt a common data repository for all public institutions statewide, operated in a manner that respects the self-governance of LGIs and other public postsecondary systems.

Institution's Role

LGIs wishing to separate from TBR for data submission on July 1, 2018, are required to participate in parallel data submission processes, submitting the same data to both TBR and THEC, for the fall 2017 and spring 2018 end-of-term reporting periods and the 2017-18 Annual Report of Graduates. The dual processes will allow THEC to assess data quality and system integrity in accordance with the Act's interoperability requirement.

THEC's Role

THEC will approve requests for severance from TBR for data submission upon institutional demonstration of standard, accurate, and timely transmission during the parallel submission periods. Moving forward, THEC will continue to explore more effective and efficient means of data collection by convening a Data Transitions Working Group of campus, system, and Commission personnel. The purposes of the group will be to:

- Work through a single data submission process for all public higher education institutions, systems, and sectors;
- Establish definitions and timelines for new data elements;
- Identify and eradicate primary data errors and discrepancies; and
- Create a long-range data plan inclusive of independent institutions.

Government Relations



In recognition of their new autonomy, universities will be called upon to assume responsibility for representing their respective boards and campuses during the legislative session. This shift in governance creates a more direct relationship between campus leadership and members and staff of the Tennessee General Assembly. This heightened engagement includes exposure to, and responsibility for, numerous technical processes previously managed by TBR, such as contract reviews, sunset proceedings, and administrative rule promulgation, among others. Highlighted below are some of the new responsibilities for LGIs and THEC.

Institution's Role

- Follow and review filed legislation as it proceeds through the General Assembly.
- Promulgate administrative rules, as applicable, for review by the Government Operations Committee.
- Develop engagement and communication strategies encompassing both the university's legislative delegation as well as the broader membership.
- Maintain a presence in Nashville during the legislative session and establish a government relations representative as a contact and resource for resolving constituent issues year-round.
- Submit timely fiscal support notes for proposed legislation when requested by the legislature's Fiscal Review staff.
- Represent the university on contract matters before the Fiscal Review Committee.
- Participate and testify in sunset hearings before the Government Operations Committees.
- Appear before the State Building Commission for projects requiring approval.
- Upon request, appear before the respective legislative committees for official comments on policies impacting the campus.

THEC's Role

- Support universities in legislative engagement activities and facilitate communication across all institutions and systems, when appropriate.
- Convene meetings/conference calls before and during the legislative session with government relations representatives for coordination and aligned responses to proposed bills and filed amendments.
- Collaborate and assist in the coordination of higher education legislative proposals.



FOCUS Act Timeline



Mission & Institution Policies



Fiscal









Data



Boards



Academic Affairs

	Governor's Office	Legislature	THEC	Universities	Systems
2016					
September 2016					
				Institutions transmit Substantive Change Review proposals to SACS 	
					TBR and UT appropriation request forms are due to THEC 
			Capital Outlay First Look meetings 		TBR and UT present their capital outlay projects at THEC to members of the Capital Task Force 
					TBR and UT submit additional data required to complete the appropriation (e.g. equipment inventory, research and service data, and additional nonformula units information) to THEC  



Mission & Institution Policies



Fiscal











Data



Boards



Academic Affairs

	Governor's Office	Legislature	THEC	Universities	Systems
Fall 2016					
	Board appointments announced 			Faculty senates develop process for faculty member selection 	
			Begin mission profile process with universities		
October 2016					
					Systems submit all outcome data to THEC Systems submit capital outlay, maintenance and disclosed projects to THEC  
15				Institutions transmit addenda to Substantive Change Review proposals to SACS (including board dossiers, bylaws, policies) 	
17			THEC sends final outcome data to systems (carbon copying presidents/CFOs of the LGIs) for review 		
End of month				All comments from institutions and systems regarding final outcome data are due to THEC 	



Mission & Institution Policies



Fiscal











Data



Boards



Academic Affairs

	Governor's Office	Legislature	THEC	Universities	Systems
2017					
November 2016					
16			Fall THEC Commission Meeting: <ul style="list-style-type: none">THEC staff present appropriation, capital, and non-binding tuition recommendations to Commission for approval 		
December 2016					
	Higher Education Budget Hearing 		THEC staff present all recommendations to the Governor at the Higher Education Budget Hearing 		FY 16-17 revised operating budgets due to THEC 
January 2017					
			THEC solicits intent from universities to assume responsibility for data, capital, and procurement processes Winter THEC Commission Meeting: <ul style="list-style-type: none">Revised operating budgets, revised academic policies, and revised capital policies presented for action   		
February 2017					
				Submit fall End of Term data 	



Mission & Institution Policies



Fiscal












Data



Boards



Academic Affairs

	Governor's Office	Legislature	THEC	Universities	Systems
Spring 2017					
		Board member confirmation by General Assembly 	THEC presents and reviews appropriation, capital, and tuition recommendations to legislative committees 	Eight governing boards work with THEC to understand campus revenue needs and prepare binding tuition recommendations  	
March 2017					
			Initial orientation of FOCUS board members delivered on campuses		
April 2017					
				First called meetings of FOCUS boards 	
May 2017					
			Spring THEC Commission Meeting: <ul style="list-style-type: none">• THEC staff present binding maintenance fee ranges and binding maintenance and mandatory fee ranges to the Commission for approval• THEC staff present revised academic policies for approval• University mission profiles presented for affirmation   		



Mission & Institution Policies



Fiscal








Data



Boards



Academic Affairs

	Governor's Office	Legislature	THEC	Universities	Systems
July 2017					
			Summer THEC Commission Meeting: <ul style="list-style-type: none">• FY18 Proposed Operating Budgets presented to Commission for action• Finalized tuition and fee rates as set by the TBR and UT systems and the new LGI boards reported to the Commission• Commission considers LGI severance requests 		
August 2017					
			Statewide professional development event for board members 		
December 2017					
1			Universities may assume control over FOCUS-designated responsibilities  		
July 2018					
1			Universities may assume control over final data responsibilities 		



Mission & Institution Policies



Fiscal



Data



Boards



Academic Affairs