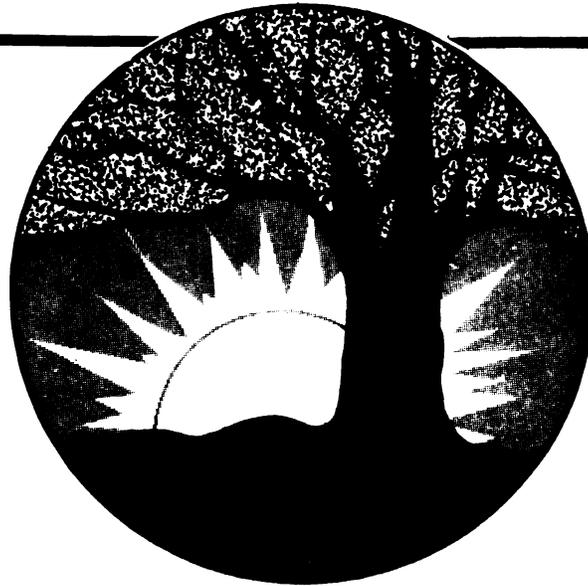


# PERFORMANCE AUDIT

Tennessee Board of Regents  
January 2014



Justin P. Wilson  
Comptroller of the Treasury



State of Tennessee  
Comptroller of the Treasury  
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January 23, 2014

The Honorable Ron Ramsey  
Speaker of the Senate  
The Honorable Beth Harwell  
Speaker of the House of Representatives  
The Honorable Mike Bell, Chair  
Senate Committee on Government Operations  
The Honorable Judd Matheny, Chair  
House Committee on Government Operations  
and  
Members of the General Assembly  
State Capitol  
Nashville, Tennessee 37243  
and  
Chancellor John Morgan  
Tennessee Board of Regents  
Suite 350, 1415 Murfreesboro Road  
Nashville, Tennessee 37217

Ladies and Gentlemen:

Transmitted herewith is the performance audit of Tennessee Board of Regents. This audit was conducted pursuant to the requirements of Section 4-29-111, *Tennessee Code Annotated*, the Tennessee Governmental Entity Review Law.

This report is intended to aid the Joint Government Operations Committee in its review to determine whether the board should be continued, restructured, or terminated.

Sincerely,

Deborah V. Loveless, CPA  
Director

DVL/dww  
13023

State of Tennessee

# Audit Highlights

Comptroller of the Treasury

Division of State Audit

Performance Audit  
**Tennessee Board of Regents**  
January 2014

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## AUDIT OBJECTIVES

The objectives of the audit were to determine the controls (i.e., a system of audits) the Tennessee Board of Regents' (TBR) central office has to determine if funding formula data required by the Complete College Tennessee Act is accurately submitted by TBR institutions; to determine what system(s) are in place to constantly monitor whether the transfer of course credit occurs smoothly among public higher education institutions in Tennessee; to determine if a system is in place to ensure and/or measure the security and integrity of online courses in regards to the identity of students taking the coursework, including the proctoring of examinations; to follow up on the May 2012 performance audit *Implementation of the Complete College Tennessee Act of 2010*; to determine if foundations are financially and operationally independent from the institutions they represent; to determine if TBR institutions are implementing adequate methods to increase retention and graduation rates; to evaluate the effectiveness of efforts to improve the outcomes of students taking remedial and developmental courses so they smoothly transition to college-level courses (rather than dropping out of school); to review the progress of implementation of the "comprehensive statewide community college system of coordinated programs and services" required by Section 49-8-101(c), *Tennessee Code Annotated*; to obtain information on the extent to which differential tuition is charged to cover the higher costs of educating science, technology, engineering, mathematics (STEM), and other majors; to determine whether campus safety plans involving measures to deal with natural disasters, terrorism, and crime have been adequately developed and implemented; to determine compliance with Section 49-7-149, *Tennessee Code Annotated*, which requires background checks for employees of student housing; and to gather and report Title VI information, staff demographic information, and performance measures data.

## FINDINGS

### **The Office of System-wide Internal Audit has not conducted audits of funding formula data submitted by Tennessee Board of Regents institutions**

The May 2012 Performance audit, *Implementation of the Complete College Tennessee Act of 2010*, found that Tennessee Board of Regents needed to conduct full audits on student outcome data provided by its institutions. The Director of the System-wide Internal Audit stated that Tennessee Higher Education Commission issued an operational data dictionary in July 2013 (page 8).

### **Tennessee Board of Regents universities need to develop monitoring systems to ensure that transfer students obtain all allowable college credit for all transferable courses**

We interviewed staff that are responsible for evaluating transferred courses at the six Tennessee Board of Regents universities to determine whether they monitor problems students had transferring courses for college credit. We also communicated with Tennessee Higher Education Commission (THEC) officials to determine whether THEC also performs such monitoring. Neither the universities nor THEC have such monitoring systems (page 9).

### **Not all Tennessee Transfer Pathways have been put in place, as required by the Complete College Tennessee Act of 2010**

The Complete College Tennessee Act of 2010 requires every major offered at Tennessee public universities to have a “university tract program” whose courses “shall transfer and apply toward the requirements for graduation with a bachelor’s degree at all public universities,” allowing community college students a smooth transfer of college course credits to public universities. The May 2012 performance audit *Implementation of the Complete College Tennessee Act of 2010* found that there may be some majors (e.g., some performance arts and/or music performance) for which creating a pathway may not be reasonable due to the nature of the program. This is still an issue. The May 2012 performance audit also found that Tennessee Board of Regents and University of Tennessee Board of Trustees institutional representatives did not agree on the economics/liberal arts pathway. This impasse has still not been resolved. The Tennessee Transfer Pathways website did not offer an explanation on the advantages and disadvantages of an Associate of Arts versus an Associate of Science for the ten pathways that offer both types of degrees (page 12).

### **Tennessee Board of Regents institutions need to improve how they publicize the Tennessee Transfer Pathways on their websites**

The Complete College Tennessee Act of 2010 requires all Tennessee public community colleges and universities to clearly inform community college students and prospective students which courses transfer to Tennessee Board of Regents (TBR) and University of Tennessee system universities. The May 2012 performance audit *Implementation of the Complete College Tennessee Act of 2010* found that several schools did not provide any links to the Tennessee Transfer Pathways website, or the links they did provide to the website were not easily identified and/or clear. We found that the websites of only 2 of the 6 TBR universities and 7 of the 13 community colleges provided adequate information about the pathways (page 18).

**Not all required dual-admission agreements between universities and community colleges are in place**

The Complete College Tennessee Act of 2010 requires each university and community college to have dual-admission agreements with each other. Of the 78 possible dual-admission agreements, only 31 agreements (40%) between universities and community colleges had been signed as of August 2013 (page 21).

**Tennessee Board of Regents universities and community colleges have not included General Counsel recommended provisions in foundation agreements**

Affiliation agreements that define the relationship between the Tennessee Board of Regents (TBR) universities and community colleges and their respective foundations do not incorporate TBR Office of System-wide Internal Audit findings concerning TBR General Counsel recommended agreement provisions (page 23).

**The foundations affiliated with the Tennessee Board of Regents universities and community colleges failed to disclose in-kind services provided by those institutions**

In 2004, the Tennessee Board of Regents (TBR) General Counsel recommended that foundations should ideally provide their own staff and pay their own rent, but if it was not feasible, the affiliation agreements with their institutions should stipulate exactly what services the institution is providing to the foundation and what the foundation should report in its financial statements. The vast majority (95%) of the affiliation agreements require the university or community college to supply staff to its foundation. However, no agreements contain the requirement suggested by TBR General Counsel to appropriately disclose in the financial statements in-kind services provided by the institution (page 25).

*Special Section on Campus Safety*

**Tennessee Board of Regents institutions have emergency preparedness plans, but additional steps should be taken to ensure campus community safety**

In response to a Tennessee Board of Regents guideline, the institutions have prepared, tested, and revised emergency preparedness plans. However, due to the varied geographical locations and accessibility of their campuses, the wide range of hazards (e.g., severe weather, health-related emergencies, and campus crime), and the complexity of emergency management, additional steps should be taken to ensure campus community safety, assist the institutions with emergency preparedness, and comply with federal law regarding annual drills. The Tennessee Board of Regents should take additional steps to oversee emergency planning at the institutions (page 51).

**Because the background checks for housing staff applicants conducted by the Tennessee Board of Regents universities are not based on fingerprint submissions and fingerprint procedures are not consistent with statute, the General Assembly may wish to consider amending the statute to clarify the type of background check and fingerprint procedures the universities should require**

Section 49-7-149, *Tennessee Code Annotated*, effective July 1, 2011, requires anyone applying for a job at housing facilities owned or operated by a public university and anyone who will have access to student rooms or apartments (including resident assistants), prior to being hired, to

supply a fingerprint sample and submit to a criminal history records check “to be conducted by the Tennessee Bureau of Investigation (TBI) and the Federal Bureau of Investigation (FBI) or other vendor contracted for the same purposes.” Statute is not clear as to whether the legislature intended a TBI background check or a vendor name-based check. One university is obtaining thumbprints instead of fingerprints as required by statute (page 59).

### **OBSERVATIONS AND COMMENTS**

The audit also discusses the following issues: the Tennessee Board of Regents is still in the process of improving college graduation rates; the Office of Community Colleges should continue to implement the comprehensive community college system; the Tennessee Board of Regents needs to strengthen controls regarding student attendance for online courses; Tennessee Board of Regents universities and community colleges, with the board’s approval, charge additional course fees; the processes for evaluating and eliminating low-producing programs and avoiding duplicated programs appear to be adequate; Tennessee Board of Regents foundations affiliated with universities and community colleges lack financial and operational independence from the entities they represent; and the Tennessee Board of Regents should take steps regarding its membership to comply with state law on female representation (page 26).

### **ISSUES FOR LEGISLATIVE CONSIDERATION**

The General Assembly may wish to consider whether transfer pathways should be created for all majors currently offered in Tennessee public higher education institutions as required by Section 49-7-202, *Tennessee Code Annotated*, or whether it wishes to revise this section to allow a narrow exception for majors in those fields that, by their nature, are not consistent with transfer pathways.

The General Assembly may wish to consider amending Section 49-7-202, *Tennessee Code Annotated*, to require only those dual-admission agreements between community colleges and universities in close geographic proximity.

The General Assembly may wish to consider statutory changes to clarify and/or better define its expectations for the type of background check the universities should conduct and the use of the fingerprints obtained from housing staff applicants (i.e., whether the General Assembly intended for universities to simply take the fingerprints and file them, not use them for a background check).

# Performance Audit Tennessee Board of Regents

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# Performance Audit Tennessee Board of Regents

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## INTRODUCTION

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### PURPOSE AND AUTHORITY FOR THE AUDIT

This performance audit of the Tennessee Board of Regents was conducted pursuant to the Tennessee Governmental Entity Review Law, *Tennessee Code Annotated*, Title 4, Chapter 29. Under Section 4-29-235, the board is scheduled to terminate June 30, 2014. The Comptroller of the Treasury is authorized under Section 4-29-111 to conduct a limited program review audit of the agency and to report to the Joint Government Operations Committee of the General Assembly. The audit is intended to aid the committee in determining whether the Tennessee Board of Regents should be continued, restructured, or terminated.

### OBJECTIVES OF THE AUDIT

The objectives of the audit were to

1. determine the controls the Tennessee Board of Regents' (TBR) central office uses to ensure that TBR institutions accurately submit funding formula data required by the Complete College Tennessee Act of 2010;
2. determine the system or systems in place to monitor whether the transfer of course credit occurs smoothly among public higher education institutions in Tennessee;
3. determine if a system is in place to ensure and/or measure the security and integrity of online courses in regard to the identity of students taking the coursework, including the proctoring of examinations;
4. follow up on the May 2012 performance audit, *Implementation of the Complete College Tennessee Act of 2010*;
5. determine if foundations are financially and operationally independent from the institutions they represent;
6. determine if TBR institutions are implementing adequate methods to increase the retention and graduation rates of their students;
7. evaluate the effectiveness of efforts to help students taking remedial and developmental courses smoothly transition to college-level courses rather than dropping out of school;

8. review the progress of implementation of the “comprehensive statewide community college system of coordinated programs and services” required by Section 49-8-101(c), *Tennessee Code Annotated*;
9. obtain information on the extent to which differential tuition is charged to cover the higher costs of educating science, technology, engineering, mathematics (STEM), and other majors;
10. determine whether campus safety plans involving measures to deal with natural disasters, terrorism, and crime have been adequately developed and implemented;
11. determine compliance with Section 49-7-149, *Tennessee Code Annotated*, which requires background checks for employees of student housing; and
12. gather and report Title VI information, staff demographic information, and performance measures data.

## **SCOPE AND METHODOLOGY OF THE AUDIT**

The activities of the Tennessee Board of Regents (TBR) were reviewed for the period September 2012 to August 2013. We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. Methods used included

1. review of applicable legislation and policies and procedures;
2. examination of the entity’s records, reports, and information summaries;
3. a review of prior performance audits, financial and compliance audit reports, audit reports from other states, and federal audits; and
4. interviews with board staff and staff at the central office and institutions.

For our sample design, we used nonstatistical audit sampling, which was the most appropriate and cost-effective method for concluding on our audit objectives. Based on our professional judgment, review of authoritative sampling guidance, and careful consideration of underlying statistical concepts, we believe that nonstatistical sampling provides sufficient, appropriate audit evidence to support the conclusions in our report. We present more detailed information about our methodologies in the individual report sections.

## **HISTORY AND STATUTORY RESPONSIBILITIES**

The Tennessee Board of Regents (TBR) was created in 1972 by the General Assembly as the governing body of the State University and Community College System of Tennessee. At that time, the member institutions of the system were the state universities and community colleges formerly governed by the Tennessee Board of Education. In 1983, the General Assembly transferred the technical institutions and area vocational schools (now called Tennessee Colleges of Applied Technology) to the TBR.

The composition and powers of the board are set forth in Sections 49-8-201 through 49-8-203, *Tennessee Code Annotated*. The board consists of 18 members, including 4 ex-officio members, who are the Governor, the Commissioners of Education and Agriculture, and the Executive Director of the Tennessee Higher Education Commission (a non-voting member). The Governor appoints 12 members, one from each congressional district and three at-large from different areas of the state. The board also includes one faculty and one student member, both of whom serve a one-year term.

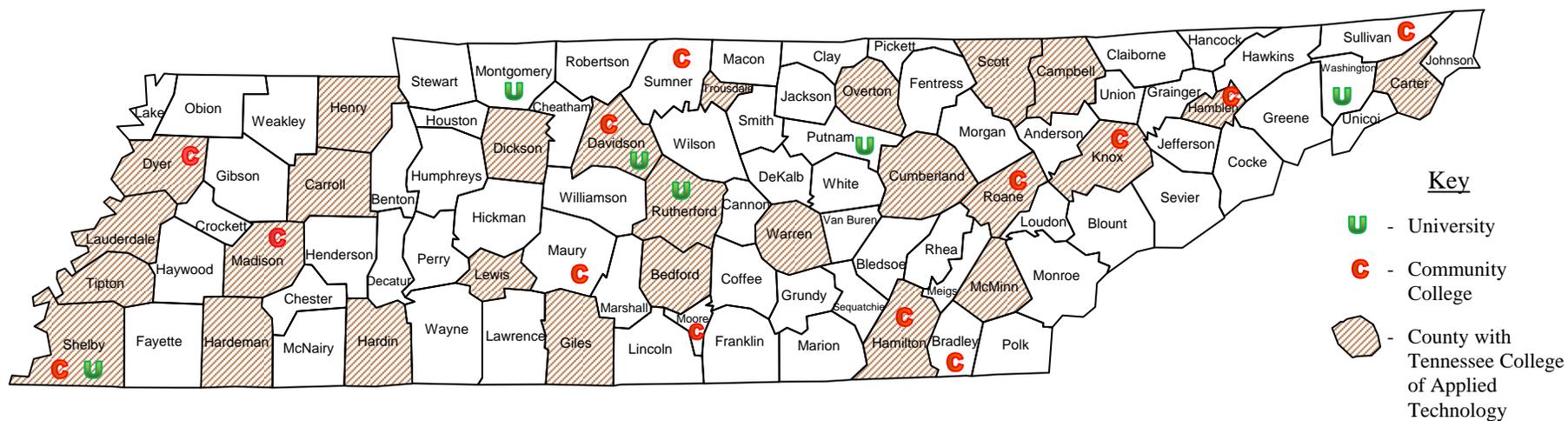
## **ORGANIZATION**

The Tennessee Board of Regents (TBR) is responsible for assuring lay and public direction in postsecondary education. (See the board's organization chart on page 6.) Members serve without compensation and meet at least four times a year in regular session; called sessions are convened occasionally for special purposes. As a legislative entity, the purpose of the board is to govern and manage the system, which includes 6 universities, 13 two-year colleges, and 27 colleges of applied technology (formerly technology centers). It is empowered to employ the system chancellor and define his duties; to select and employ presidents of the institutions; to confer tenure and approve promotion in rank of system faculty; to prescribe curricula and requirements for diplomas and degrees; to approve the operating and capital budgets of each institution and otherwise set policies for their fiscal affairs; to establish policies and regulations regarding the campus life of the institutions; and assume general responsibility for the operations of the institutions while delegating specifically to the presidents such powers and duties as are necessary and appropriate for the efficient administration of their respective institutions and programs. See Table 1 for each university and community college governed by the Tennessee Board of Regents (along with acronyms used in the report), and see the map on page 5 for the location of TBR institutions.

**Table 1**  
**Names and Abbreviations of TBR Universities and Community Colleges**

<b>Institution</b>	
APSU	Austin Peay State University
ETSU	East Tennessee State University
MTSU	Middle Tennessee State University
TSU	Tennessee State University
TTU	Tennessee Technological University
UoM	University of Memphis
ChSCC	Chattanooga State Community College
CISCC	Cleveland State Community College
CoSCC	Columbia State Community College
DSCC	Dyersburg State Community College
JSCC	Jackson State Community College
MSCC	Motlow State Community College
NSCC	Nashville State Community College
NeSCC	Northeast State Community College
PSCC	Pellissippi State Community College
RSCC	Roane State Community College
STCC	Southwest Tennessee Community College
VSCC	Volunteer State Community College
WSCC	Walters State Community College

## Tennessee Board of Regents Institutions



### Key

- U - University
- C - Community College
- County with Tennessee College of Applied Technology

### Universities

- Austin Peay State University
- East Tennessee State University
- Middle Tennessee State University
- Tennessee State University
- Tennessee Technological University
- University of Memphis

### County Location

- Montgomery
- Washington
- Rutherford
- Davidson
- Putnam
- Shelby

### TN Colleges of Applied Technology

- Athens
- Chattanooga
- Covington
- Crossville
- Crump
- Dickson
- Elizabethton
- Harriman
- Hartsville
- Hohenwald
- Jacksboro
- Jackson
- Knoxville
- Livingston
- McKenzie
- McMinnville
- Memphis
- Morristown
- Murfreesboro
- Nashville
- Newbern

### County Location

- McMinn
- Hamilton
- Tipton
- Cumberland
- Hardin
- Dickson
- Carter
- Roane
- Trousdale
- Lewis
- Campbell
- Madison
- Knox
- Overton
- Carroll
- Warren
- Shelby
- Hamblen
- Rutherford
- Davidson
- Dyer

### TN Colleges of Applied Technology

- Oneida
- Paris
- Pulaski
- Ripley
- Shelbyville
- Whiteville

### County Location

- Scott
- Henry
- Giles
- Lauderdale
- Bedford
- Hardeman

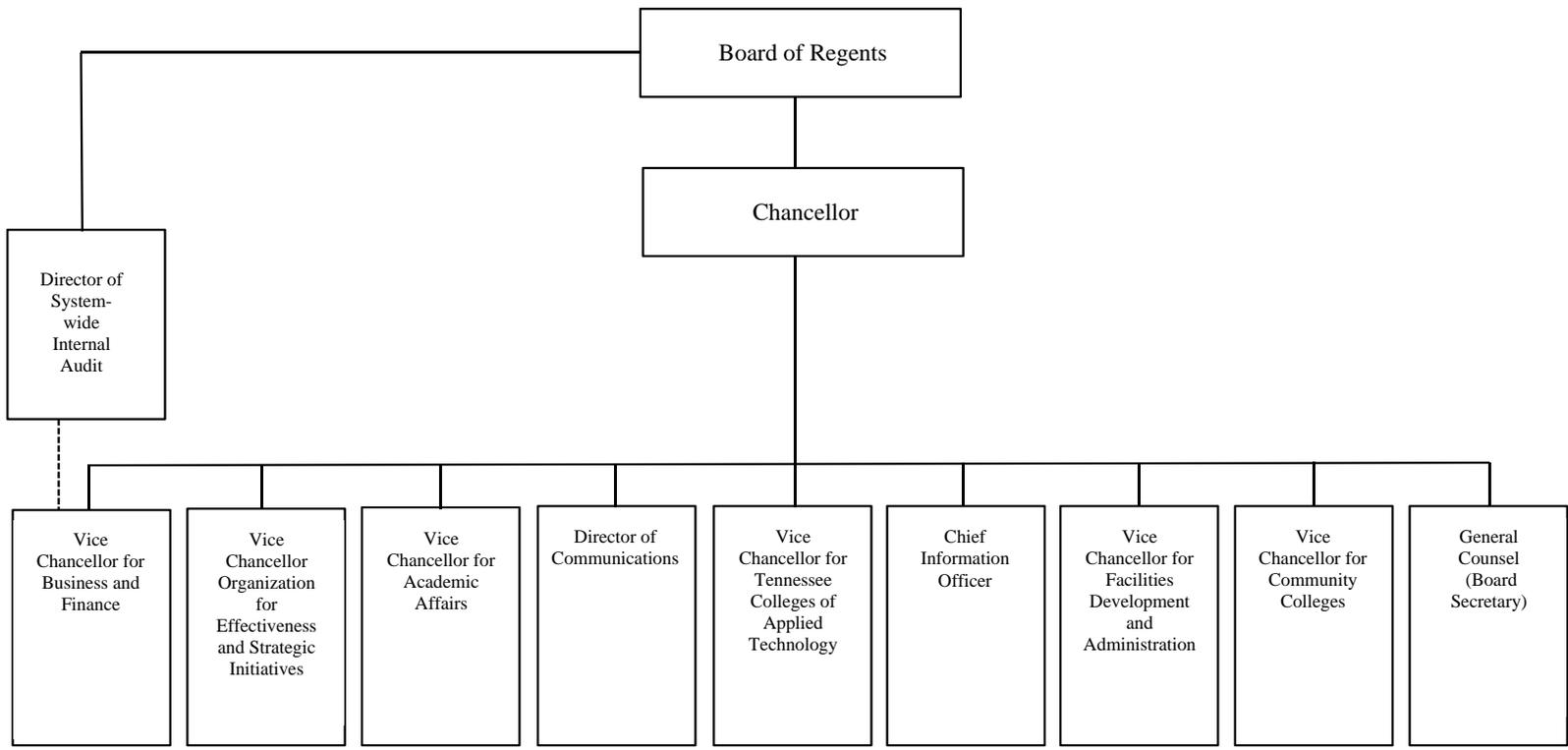
### Community Colleges

- Chattanooga State Community College
- Cleveland State Community College
- Columbia State Community College
- Dyersburg State Community College
- Jackson State Community College
- Motlow State Community College
- Nashville State Community College
- Northeast State Community College
- Pellissippi State Community College
- Roane State Community College
- Southwest Tennessee Community College
- Volunteer State Community College
- Walters State Community College

### County Location

- Hamilton
- Bradley
- Maury
- Dyer
- Madison
- Moore
- Davidson
- Sullivan
- Knox
- Roane
- Shelby
- Sumner
- Hamblen

**Tennessee Board of Regents  
State University and Community College System of Tennessee  
Organizational Chart (as of August 2013)**



## REVENUES AND EXPENDITURES

### Actual Revenues by Source Fiscal Year Ending June 30, 2012

Source	Amount	Percent of Total
State	\$605,885,100	32%
Federal	\$17,418,500	1%
Other*	\$285,235,100	15%
Tuition/Fees	\$1,009,026,600	53%
<b>Total Revenue</b>	<b>\$1,917,565,300</b>	<b>100%**</b>

\* Includes state grants and contracts; local grants and contracts; private grants; private gifts; sales and services of educational activities; sales and services of other activities; investment income; and miscellaneous sources of revenue.

\*\* Does not total to 100% as a result of rounding.

Source: *The Budget* for fiscal year 2014.

### Actual Expenditures for Staffing and Operational Costs Fiscal Year Ending June 30, 2012

Account	Amount	Percent of Total
Tennessee Board of Regents	\$31,529,000	2%
Austin Peay State University	\$111,367,300	6%
East Tennessee State University	\$254,778,900	13%
Middle Tennessee State University	\$308,213,600	16%
Tennessee State University	\$132,517,600	7%
Tennessee Technological University	\$137,083,500	7%
University of Memphis	\$356,952,100	19%
Tennessee Community Colleges	\$496,318,200	26%
Tennessee Technology Centers	\$88,805,100	5%
<b>Total Expenditures</b>	<b>\$1,917,565,300</b>	<b>100%*</b>

\* Does not total to 100% as a result of rounding.

Source: *The Budget* for fiscal year 2014.

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## FINDINGS AND RECOMMENDATIONS

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### **1. The Office of System-wide Internal Audit has not conducted audits of funding formula data submitted by Tennessee Board of Regents institutions**

#### **Finding**

The May 2012 performance audit *Implementation of the Complete College Tennessee Act of 2010* found that the Tennessee Board of Regents (TBR) needed to conduct full audits on student outcome data provided by its institutions. As the May 2012 audit stated, one of the act's most significant reforms was the mandate to develop a completely new higher education funding allocation approach based on outcomes, rather than the prior approach's emphasis on enrollment. Specifically, Section 49-7-202(c)(4), *Tennessee Code Annotated*, directs the Tennessee Higher Education Commission (THEC) to

develop, after consultation with the board of regents and the University of Tennessee board of trustees, policies and formulae or guidelines for fair and equitable distribution and use of public funds among the state's institutions of higher learning that are consistent with and further the goals of the statewide master plan. The policies and formulae or guidelines shall result in an outcomes-based model. In developing an outcomes-based model, the commission shall consider factors unique to community colleges. This model shall emphasize outcomes across a range of variables that shall be weighted to reinforce each institution's mission and provide incentives for productivity improvements consistent with the state's higher education master plan. These outcomes shall include end of term enrollment for each term, student retention, timely progress toward degree completion and degree production and may also include, but not necessarily be limited to, student transfer activity, research and student success, as well as compliance with transfer and articulation principles. . .

The May 2012 audit found that one of the impediments to conducting outcome data audits was the lack of a data dictionary to provide the institutions and governing boards with sufficient detail outlining which specific data to extract from their systems to provide to THEC. The Director of System-wide Internal Audit stated that THEC issued an operational data dictionary in July 2013. The director said that her office, along with campus internal audit directors, planned to initially audit student outcome information in three stages: 1) progression of hours completed, 2) completion rates, and 3) transfer data, among other information. See a similar observation in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.

Without a full range of student outcome data audits, THEC and TBR cannot ensure that outcome data reported by TBR institutions is accurate, complete, and meets the requirements of the act. Accurate outcome information is needed to ensure equitable funding of TBR institutions based on student outcomes.

## Recommendation

The Tennessee Board of Regents (TBR) needs to use the operational data dictionary issued by THEC in July 2013 to conduct the full range of outcome data audits required by the Complete College Tennessee Act of 2010. The TBR should conduct such audits as soon as possible.

## Management's Comment

We concur. The TBR institutions' internal audit plans for fiscal year 2013 included audits of the funding formula data, but these audits were later canceled because the data dictionary was not yet completed. Audits of the funding formula were rescheduled for fiscal year 2014, and system internal auditors developed an approach to complete audits of the various data elements in three cycles over a one-year period. The first cycle of audits, encompassing the progression and dual-enrollment elements of the funding formula, began in November and December 2013 on most of the TBR campuses and is scheduled to be completed by the end of February 2014. A second cycle of audits to review the completion data elements of the formula is scheduled to begin in spring 2014, with expected completion in July 2014. The third and final cycle is planned for fall 2014, with expected completion by December 2014, and will include an audit of other data included in the formula (e.g. transfers and remedial and developmental success). After the three cycles are completed, the audit process will be re-evaluated to determine the approach for continuing audits of the funding formula elements.

---

## 2. Tennessee Board of Regents universities need to develop monitoring systems to ensure that transfer students obtain all allowable college credit for all transferable courses

### Finding

The Tennessee Higher Education Commission (THEC), in its report *Articulation and Transfer Report 2012* issued in October 2012, defined a transfer student as “a person who enrolled as an undergraduate at the receiving institution for the first time (that is, was not a returning or readmitted student) and brought in credits received at another postsecondary institution.” The report stated that there were 9,388 transfers among Tennessee public institutions of higher education in fall 2011, around half of which involved transfers from community colleges to universities. (This report contained THEC's most up-to-date transfer data, as of August 2013.) Two-thirds of these students (from community colleges or other Tennessee public universities) transferred to universities. (Table 2 provides more detailed information on these transfers.) An additional 5,629 students transferred from out of state, while 1,468 students transferred from Tennessee private nonprofit institutions.

**Table 2**  
**Student Transfers Between Tennessee Public Institutions of Higher Education**  
**Fall 2011**

<b>Transfer Type</b>	<b>Number</b>	<b>Percent</b>
Community college to university	4,689	50%
University to community college	2,154	23%
University to university	1,353	14%
Community college to community college	1,192	13%
<b>Total</b>	<b>9,388</b>	<b>100%</b>

Source: *Articulation and Transfer Report 2012*, Tennessee Higher Education Commission.

The report stated that Tennessee Board of Regents (TBR) universities had the highest percentage of undergraduate transfer students enrolled, among all public universities. (See Table 3.) In addition, the report contained the following information showing the importance of transfer students in the production of bachelor's degrees by Tennessee public universities:

- Among 2010-11 baccalaureate graduates, 53% had changed schools at least once during their academic career.
- Among 2010-11 baccalaureate graduates, 49% were previously enrolled at a two-year institution, and 45% previously attended a Tennessee community college.

**Table 3**  
**Transfer Students as Percent of Undergraduate Enrollment**  
**Tennessee Public Universities**  
**Fall 2011**

<b>University</b>	<b>Percent Transfer Students*</b>
Austin Peay State University	10%
East Tennessee State University	10%
Middle Tennessee State University	9%
Tennessee State University	9%
Tennessee Technological University	8%
University of Memphis	9%
Tennessee Board of Regents system	9%
University of Tennessee, Chattanooga	9%
University of Tennessee, Knoxville	5%
University of Tennessee, Martin	7%
University of Tennessee system	6%
All Tennessee public universities	8%

\* Students transferring in Fall 2011, not previous transfers.

Source: *Articulation and Transfer Report 2012*, Tennessee Higher Education Commission.

We interviewed staff who are responsible for evaluating transferred courses at the six TBR universities to determine whether they monitor problems students had transferring courses for college credit. We also asked THEC officials whether THEC monitors credit hours being rejected; complaints by students and resolution of these complaints; and trends in credit transfer denial (e.g., by a certain academic department or professor). Neither the universities nor THEC has such monitoring systems. See a similar finding in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.

If there is not a systematic monitoring process, the universities are not capable of identifying and reporting whether students encounter problems transferring courses for credit. Determining whether all eligible college credit is smoothly transferred is important considering the crucial role transfer students play in the production of bachelor's degrees by these universities.

### **Recommendation**

Tennessee Board of Regents universities should develop monitoring systems that are capable of determining and reporting (on a semester or academic year basis) transferred courses that are evaluated for college credit transfer and the results of the evaluation. Monitoring reports should document courses and credit hours that are accepted and not accepted for transfer, either as requirements for college majors or electives. These reports should include the reasons transfer requests are rejected and should detect trends that may indicate systemic problems (e.g., specific academic departments or professors refusing to accept college credits).

University officials and central office board staff should use monitoring data to determine, resolve, and prevent problems students may encounter when transferring courses for credit. This information should be submitted to the Tennessee Higher Education Commission to use in preparing system-wide and statewide reports concerning difficulties that students encounter in transferring college credits at all Tennessee public universities. In addition to reports, the monitoring systems should be able to flag transfer problems that have not been resolved in a timely manner. Universities should develop related policies and procedures to quickly resolve any flagged problems.

### **Management's Comment**

We concur. We will explore the feasibility and costs associated with implementing mechanisms to monitor system-wide college course transfer. This review is expected to be completed by July 2014.

### **3. Not all Tennessee Transfer Pathways have been put in place, as required by the Complete College Tennessee Act of 2010**

#### **Finding**

The Complete College Tennessee Act of 2010 requires every major offered at Tennessee public universities to have a “university tract program,” whose courses “shall transfer and apply toward the requirements for graduation with a bachelor’s degree at all public universities,” allowing community college students a smooth transfer of college course credits to public universities. Specifically, Section 49-7-202, *Tennessee Code Annotated*, requires the Tennessee Higher Education Commission to

develop a university tract program within the University of Tennessee and the Tennessee board of regents systems consisting of sixty (60) hours of instruction that can be transferred and applied toward the requirements for a bachelor's degree at the public universities. The tract shall consist of forty-one (41) hours of general education courses instruction and nineteen (19) hours of pre-major courses instruction, or elective courses instruction that count toward a major, as prescribed by the commission, which shall consider the views of chief academic officers and faculty senates of the respective campuses. Courses in the university tract program shall transfer and apply toward the requirements for graduation with a bachelor's degree at all public universities.

The Tennessee Board of Regents (TBR) and the University of Tennessee (UT) Board of Trustees have played a leading role in developing such university tracts, called Tennessee Transfer Pathways. These pathways allow students to complete an Associate of Arts (A.A.), Associate of Science (A.S.), or Associate of Fine Arts (A.F.A.) degree and have a guaranteed transfer of all college course credit to a Tennessee public university for completion of a bachelor’s degree in the same major. Section 49-7-202 clarifies, however, that admission to the University of Tennessee, Knoxville remains competitive. Section 49-7-202 requires that all pathways “be fully implemented no later than the fall 2011 semester.” There were pathways for 39 majors as of July 2013. (See Table 4.)

**Table 4**  
**Tennessee Transfer Pathways by Major**  
**As of July 2013**

<b>Major</b>	<b>Degree Type: Associate of Arts (A.A.) or Associate of Science (A.S.)</b>
Accounting	A.S.
Agriculture: Agricultural Business	A.S.
Agriculture: Animal Science	A.S.
Agriculture: Plant and Soil Science	A.S.
Art (Studio)	A.A.
Biology	A.S.
Business Administration	A.S.
Chemistry	A.S.
Civil Engineering	A.S.
Computer Science	A.S.
Criminal Justice	A.A. and A.S.
Economics: for transfer to colleges of business	A.S.
Economics: for transfer to Middle Tennessee State University (College of Liberal Arts) and University of Tennessee, Chattanooga (College of Arts and Sciences)	A.S.
Economics: East Tennessee State University (College of Business and Technology)	A.A.
Economics: University of Memphis (College of Arts and Sciences)	A.A.
Economics: University of Tennessee, Knoxville (College of Arts and Sciences)	A.A.
Electrical Engineering	A.S.
English	A.A.
Exercise Science	A.S.
Exercise Science: Kinesiology (University of Tennessee, Knoxville only)	A.S.
Foreign Language	A.A.
Geography	A.A. and A.S.
History	A.A. and A.S.
Information Systems	A.S.
Mass Communication	A.A. and A.S.
Mathematics	A.S.
Mechanical Engineering	A.S.
Music	A.F.A.*
Physics	A.S.
Political Science	A.A. and A.S.
Pre-nursing	One-year curriculum
Pre-Professional (health): Dentistry, Medicine, Optometry, Pharmacy, Veterinary Medicine	A.S.
Pre-Professional (health): Occupational Therapy	A.S.
Pre-Professional (health): Physical Therapy	A.S.
Psychology	A.A. and A.S.
Social Work	A.A. and A.S.

<b>Major</b>	<b>Degree Type: Associate of Arts (A.A.) or Associate of Science (A.S.)</b>
Sociology	A.A. and A.S.
Speech Communication	A.A. and A.S.
Theatre Arts	A.A. and A.S.

\* Associate of Fine Arts.

Source: Tennessee Board of Regents.

The May 2012 performance audit *Implementation of the Complete College Tennessee Act of 2010* found that there may be some majors for which creating a pathway may not be reasonable due to the nature of the program. For example, some performance arts and/or music performance majors in bachelor's degree programs work with a coach over their entire college career and, therefore, need to start working with that coach and completing major-related coursework in their first years. This is still an issue. The Interim Vice Chancellor for Academic Affairs also gave concrete management, a major offered at Middle Tennessee State University, as another example of such a major during our fieldwork. He stated that no community college would be able to offer that particular major because of the complex technology involved. (See similar findings in the January 2014 sunset performance audits of both the UT Board of Trustees and the Tennessee Higher Education Commission.)

The May 2012 audit also found that TBR and UT Board institutional representatives did not agree on the economics/liberal arts pathway. This impasse has still not been resolved. The Interim Vice Chancellor for Academic Affairs said the major reason for this impasse is conflicting requirements between business schools and arts and science departments. As a result, instead of the one economics pathway required by the act, there are five pathways. (See Table 5.) The geography pathway, although accepted by eight universities, was not offered by any community college, according to the Tennessee Transfer Pathways website as of July 2013. All other pathways were offered by community colleges.

**Table 5**  
**Course Requirement Differences Between Economics Pathways**  
**As of July 2013**

Economics Pathway Transferring to Colleges of Business	Economics Pathway Transferring to Middle Tennessee State University and University of Tennessee, Chattanooga	Economics Pathway Transferring to East Tennessee State University	Economics Pathway Transferring to University of Memphis	Economics Pathway Transferring to University of Tennessee, Knoxville
<p><u>Description:</u> This pathway is designed for transfer as an economics major, B.S., B.B.A., or B.S.B.A. degrees, in colleges or schools of business at any public university in Tennessee.</p>	<p><u>Description:</u> This pathway is designed for transfer as an economics major, B.S. degree, in the College of Liberal Arts at Middle Tennessee State University and the College of Arts and Sciences at the University of Tennessee, Chattanooga.</p>	<p><u>Description:</u> This pathway is designed for transfer as an economics major, B.A. degree, in the College of Business and Technology at East Tennessee State University.</p>	<p><u>Description:</u> This pathway is designed for transfer as an economics major, B.A. degree, in the College of Arts and Sciences at the University of Memphis.</p>	<p><u>Description:</u> This pathway is designed for transfer as an economics major, B.A. degree, in the College of Arts and Sciences at the University of Tennessee, Knoxville.</p>
<p><u>Degree Type:</u> Associate of Science</p>	<p><u>Degree Type:</u> Associate of Science</p>	<p><u>Degree Type:</u> Associate of Arts</p>	<p><u>Degree Type:</u> Associate of Arts</p>	<p><u>Degree Type:</u> Associate of Arts</p>
<p><u>General Education Requirements:</u></p> <p><b>Communication: 9 hours</b>  <i>English 1010</i> - Composition I (3 hours)  <i>English 1020</i> - Composition II (3 hours)  <i>Speech 1010</i> - Fundamentals of Speech Communication or other approved speech/communication course (3 hours)</p> <p><b>Humanities and/or Fine Arts (at least one course in literature): 9 hours</b></p> <p><b>Social/Behavioral Sciences: 6 hours</b>  <i>Economics 2010</i> - Macroeconomics (3 hours)  <i>Economics 2020</i> - Microeconomics (3 hours)</p>	<p><u>General Education Requirements:</u></p> <p><b>Communication: 9 hours</b>  <i>English 1010</i> - Composition I (3 hours)  <i>English 1020</i> - Composition II (3 hours)  <i>Speech 1010</i> - Fundamentals of Speech Communication or other approved speech/communication course (3 hours)</p> <p><b>Humanities and/or Fine Arts (at least one course in literature): 9 hours</b></p> <p><b>Social/Behavioral Sciences: 6 hours</b>  <i>Economics 2010</i> - Macroeconomics (3 hours)  <i>Economics 2020</i> - Microeconomics (3 hours)</p> <p><b>History: 6 hours</b></p>	<p><u>General Education Requirements:</u></p> <p><b>Communication: 9 hours</b>  <i>English 1010</i> - Composition I (3 hours)  <i>English 1020</i> - Composition II (3 hours)  <i>Speech 1010</i> - Fundamentals of Speech Communication or other approved speech/communication course (3 hours)</p> <p><b>Humanities and/or Fine Arts (at least one course in literature): 9 hours</b></p> <p><b>Social/Behavioral Sciences: 6 hours</b>  <i>Economics 2010</i> - Macroeconomics (3 hours)  <i>Economics 2020</i> - Microeconomics (3 hours)</p> <p><b>History: 6 hours</b></p> <p><b>Natural Sciences: 8 hours</b></p>	<p><u>General Education Requirements:</u></p> <p><b>Communication: 9 hours</b>  <i>English 1010</i> - Composition I (3 hours)  <i>English 1020</i> - Composition II (3 hours)  <i>Speech 1010</i> - Fundamentals of Speech Communication or other approved speech/communication course (3 hours)</p> <p><b>Humanities and/or Fine Arts (at least one course in literature): 9 hours</b></p> <p><b>Social/Behavioral Sciences: 6 hours</b>  <i>Economics 2010</i> - Macroeconomics (3 hours)  <i>Economics 2020</i> - Microeconomics (3 hours)</p> <p><b>History: 6 hours</b></p> <p><b>Natural Sciences: 8 hours</b></p>	<p><u>General Education Requirements:</u></p> <p><b>Communication: 9 hours</b>  <i>English 1010</i> - Composition I (3 hours)  <i>English 1020</i> - Composition II (3 hours)  <i>Speech 1010</i> - Fundamentals of Speech Communication or other approved speech/communication course (3 hours)</p> <p><b>Humanities and/or Fine Arts (at least one course in literature): 9 hours</b></p> <p><b>Social/Behavioral Sciences: 6 hours</b>  <i>Economics 2010</i> - Macroeconomics (3 hours)  <i>Economics 2020</i> - Microeconomics (3 hours)</p> <p><b>History: 6 hours</b></p> <p><b>Natural Sciences: 8 hours</b></p>

Economics Pathway Transferring to Colleges of Business	Economics Pathway Transferring to Middle Tennessee State University and University of Tennessee, Chattanooga	Economics Pathway Transferring to East Tennessee State University	Economics Pathway Transferring to University of Memphis	Economics Pathway Transferring to University of Tennessee, Knoxville
<p><b>History: 6 hours</b></p> <p><b>Natural Sciences: 8 hours</b></p> <p><b>Mathematics: 3 hours</b> <i>Math 1630 - Finite Mathematics</i> (3 hours)</p> <p><b>Total General Education hours: 41</b></p>	<p><b>Natural Sciences: 8 hours</b></p> <p><b>Mathematics: 3 hours</b> <i>Math 1630 - Finite Mathematics</i> (3 hours)</p> <p><b>Total General Education hours: 41</b></p>	<p><b>Mathematics: 3 hours</b> <i>Math 1530 - Introduction to Probability and Statistics</i> (3 hours)</p> <p><b>Total General Education hours: 41</b></p>	<p><b>Mathematics: 3 hours</b> <i>Math 1630 - Finite Mathematics</i> (3 hours)</p> <p><b>Total General Education hours: 41</b></p>	<p><b>Mathematics: 3 hours</b> <i>Math 2050 - Calculus-based Probability and Statistics</i> (3 hours)</p> <p><b>Total General Education hours: 41</b></p>
<p><b>Area of Emphasis Requirements:</b></p> <p><i>Accounting 1010 - Principles of Accounting I</i> (3 hours) <i>Accounting 1020 - Principles of Accounting II</i> (3 hours) <i>Math 1530 - Introduction to Probability and Statistics*</i> (3 hours) <i>Math 1830 - Calculus</i> (3 hours) <i>Computer Applications</i> (3 hours) <i>Electives (guided)</i> (4 hours)</p> <p><b>Total Area of Emphasis hours: 19</b></p>	<p><b>Area of Emphasis Requirements:</b></p> <p><i>Math 1530 - Introduction to Probability and Statistics</i> (3 hours) <i>Math 1830 - Calculus</i> (3 hours) <i>Information Systems 1010 - Computer Applications</i> (3 hours) <i>General electives</i> (10 hours)</p> <p><b>Total Area of Emphasis hours: 19</b></p>	<p><b>Area of Emphasis Requirements:</b></p> <p><i>Math 1830 - Calculus</i> (3 hours) <i>Foreign language (one-year sequence in a single language)</i> (6 hours) <i>General electives</i> (10 hours)</p> <p><b>Total Area of Emphasis hours: 19</b></p>	<p><b>Area of Emphasis Requirements:</b></p> <p><i>Mathematics or natural science -approved course</i> (3-4 hours) <i>Fine arts - approved course</i> (3 hours) <i>Social science - approved course</i> (3 hours) <i>Foreign Language (one-year sequence in a single language)</i> (6 hours) <i>General electives</i> (3-4 hours)</p> <p><b>Total Area of Emphasis hours: 19</b></p>	<p><b>Area of Emphasis Requirements:</b></p> <p><i>Math 1830 - Calculus</i> (3 hours) <i>Natural science - approved course</i> (4 hours) <i>Social science - two approved courses</i> (6 hours) <i>Foreign Language (one-year sequence in a single language)</i> (6 hours)</p> <p><b>Total Area of Emphasis hours: 19</b></p>
<p><b>Pathway total hours: 60</b></p>	<p><b>Pathway total hours: 60</b></p>	<p><b>Pathway total hours: 60</b></p>	<p><b>Pathway total hours: 60</b></p>	<p><b>Pathway total hours: 60</b></p>
<p>* Students who plan to transfer to UT Knoxville, College of Business, must complete <i>Math 2050 - Calculus-based Probability and Statistics</i>.</p>				

Note: Yellow highlighted information indicates differences between the various pathways.  
Source: Tennessee Board of Regents.

Both an Associate of Arts (A.A.) and an Associate of Science degree (A.S.) are offered for 10 of the pathways. The only difference in requirements between an A.A. and an A.S. for these majors is the six-hour foreign language requirement for the A.A. degree. The Tennessee Transfer Pathways website did not explain the advantages and disadvantages of each associate degree type (e.g., which university would prefer which type of associate's degree). However, the website did provide general information on what a prospective and current student needed to do in choosing and pursuing a pathway, in addition to providing contacts at all community colleges and universities involved in the Tennessee Transfer Pathways program.

### **Recommendation**

The Tennessee General Assembly may wish to consider whether transfer pathways should be created for all majors currently offered in Tennessee public higher education institutions as required by Section 49-7-202, *Tennessee Code Annotated*, or whether it wishes to revise this section to allow a narrow exception for majors in those fields that, by their nature, are not consistent with transfer pathways. Regardless of the General Assembly's decision, the Tennessee Board of Regents, along with the University of Tennessee (UT) Board of Trustees and the Tennessee Higher Education Commission (THEC), should ensure that all transfer pathways required by the Complete College Tennessee Act of 2010 are developed as soon as possible, given that they were required by fall 2011.

The Tennessee Board of Regents, in cooperation with the University of Tennessee Board of Trustees, should make efforts to resolve the issue of several transfer pathways for the field of economics, without compromising the quality of the bachelor's degree in this field. The two university systems should also determine and implement a plan to offer the geography pathway at community colleges. In addition, both university systems should agree to common descriptions for the Tennessee Transfer Pathways website on the advantages and disadvantages of Associate of Arts and Associate of Science degrees for those pathways offering both types of associate's degree.

### **Management's Comment**

We concur. We will work with the General Assembly, the UT system, and THEC to develop a process to identify majors and programs that are not consistent with transfer pathways. We will also collaborate with the UT system to resolve existing issues to the transfer pathways in economics and geography. This process is expected to be completed by July 2014.

#### **4. Tennessee Board of Regents institutions need to improve how they publicize the Tennessee Transfer Pathways on their websites**

##### **Finding**

The Complete College Tennessee Act of 2010 requires all Tennessee public community colleges and universities to clearly inform community college students and prospective students which courses transfer to Tennessee Board of Regents (TBR) and University of Tennessee system universities. Specifically, Section 49-7-202, *Tennessee Code Annotated*, requires “that community college students who wish to earn baccalaureate degrees in the state’s public higher education system be provided with clear and effective information and directions that specify curricular paths to a degree” and have access to listings “of course offerings that clearly identify courses that are not university parallel courses and therefore not designed to be transferable.”

The May 2012 performance audit of the Complete College Tennessee Act of 2010 found that several schools did not provide any links to the main Tennessee Transfer Pathways website, or the links they did provide to the website were not easily identified and/or clear. In response, TBR administration, who manages the website, directed all of its institutions (including all of the state’s public community colleges) to prominently feature links to the Tennessee Transfer Pathways website on their home webpages. We used the following four criteria during our fieldwork to determine if TBR has resolved this problem:

- whether transfer information can be obtained within three webpages (two clicks of the mouse) from the homepage of the school’s website;
- whether the transfer information on the website provides current or prospective students contact information to enable them to call or email someone if they have questions regarding the transfer process or the pathways;
- whether the school’s website explains the Tennessee Transfer Pathways program easily and understandably; and
- whether the school’s website provides a link to the Tennessee Transfer Pathways website.

We found that the websites of only 2 of the 6 TBR universities and 7 of the 13 community colleges met all four criteria. (See Table 6.) Both community college and university officials stated that students do contact them to get information about the pathways, so there appears to be demand for information beyond the information provided by school websites on the transfer process. The Tennessee Transfer Pathways website assists in this area by providing contact information for all institutions participating in the transfer program. This assumes, however, that current and prospective students are aware of the website and are encouraged to access it. (See a similar finding in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

**Table 6**  
**Clarity of Community College and University Website Information Concerning**  
**Tennessee Transfer Pathways (TTP)**  
**Tennessee Board of Regents**  
**April 2013**

<b>Institution</b>	<b>Criteria Used to Determine Clarity of Tennessee Transfer Pathways Website Information</b>			
	Transfer information can be obtained within three webpages from the school's homepage	The school's website provides a telephone or email contact	The school's website explains the TTP program easily and understandably	The school's website provides a link to the TTP website
Austin Peay State University				
East Tennessee State University				
Middle Tennessee State University				
Tennessee State University				
Tennessee Technological University				
University of Memphis				
Chattanooga State Community College				
Cleveland State Community College				
Columbia State Community College				
Dyersburg State Community College				
Jackson State Community College				
Motlow State Community College				
Nashville State Community College				
Northeast State Community College				
Pellissippi State Community College				
Roane State Community College				
Southwest Tennessee Community College				
Volunteer State Community College				
Walters State Community College				

Source: Tennessee Board of Regents.

Community college and university officials described two weaknesses regarding how the Tennessee Transfer Pathways are publicized. One weakness is the lack of specific TBR requirements concerning how to advertise the program on school websites. It appears providing the link to the Tennessee Transfer Pathways website, without a brief explanation of the advantages of the program and without specific contact information, meets current TBR requirements. The other weakness is not clearly explaining to students and prospective students that some of the pathway courses may have prerequisites, resulting in more than the required 60 hours the program is advertising. The Tennessee Transfer Pathways website mentions the need to take into consideration any course prerequisites but does not mention that any need to take

such courses would increase the number of hours required to graduate with an associate's degree. This lack of clarity could lead to individuals becoming confused and frustrated.

### **Recommendation**

The Tennessee Board of Regents should ensure that all its institutions and campuses give significant attention to the Tennessee Transfer Pathways information on their home websites, including clearly and explicitly linking to the statewide Tennessee Transfer Pathways website. Transfer pathway information on these home websites should include easily accessible, brief, and clear descriptions of Tennessee Transfer Pathways' advantages. In addition, these websites should have easily accessible contact information for current and prospective students to use to obtain more detailed descriptions of the program's requirements. The statewide Tennessee Transfer Pathways website should provide information that any required prerequisite courses, including remedial and developmental coursework, would cause the total hours for an associate's degree to exceed 60 hours.

### **Management's Comment**

We concur in part. While each Tennessee Board of Regents university and community college was asked to place a link to the TNTransferPathways.org website on its homepage, detailed instructions as to how the information should be written and included in the Admissions and/or Transfer Students sections of each campus' website were not provided. A pre-written text announcement explaining the Tennessee Transfer Pathways (TTPs) was provided to each institution leader to send to all employees on each campus. However, detailed instructions as to how that information should be used by campus admissions counselors or advisors were not provided.

We will develop specific written instructions and provide text for each campus to include and embed information about the TTPs in the appropriate section of the campus website. The text will include easily accessible, brief, and clear descriptions of the TTPs' advantages. We will direct the campuses to provide current contact information for a prospective student to use to obtain more detailed information about the program's requirements and to include any required prerequisite courses that would cause the total hours for an associate's degree to exceed 60 hours.

We will also conduct periodic reviews of each campus website beginning in June 2014 to ensure that the TTP information is included in the appropriate location.

We do not concur with the expectation that the campus homepage is the appropriate location for the TTP links to appear. The more appropriate location would be in the places where a prospective or current student might search for information related to transferring courses, such as the Admissions and/or Transfer Student sites, or something similar. All relevant information related to the requirements of a student to transfer to or from an institution should be included in the same location.

## 5. Not all required dual-admission agreements between universities and community colleges are in place

### Finding

The Complete College Tennessee Act of 2010 requires each university and community college to have dual-admission agreements with each other. Specifically, Section 49-7-202, *Tennessee Code Annotated*, states that the Tennessee Higher Education Commission (THEC)

in consultation with the board of regents and the University of Tennessee board of trustees, shall develop policies under which any person who satisfies the admission requirements of any two-year institution governed by the board of regents and any four-year institution governed by the board of regents or the University of Tennessee board of trustees may be admitted to both such institutions. These policies shall be adopted and implemented by the board of regents and the University of Tennessee board of trustees no later than July 1, 2010.

The May 2012 performance audit, *Implementation of the Complete College Tennessee Act of 2010*, found that not all required dual-admission agreements had been completed. In response, THEC issued Policy A5.0, *Dual Admissions*, in July 2012 requiring both university systems to implement policies mandating the establishment of all necessary dual-admission agreements in order to offer “students a structured, guaranteed pathway for attaining a Bachelor’s degree.” The policy notes the following advantages of dual-admission agreements for community college students:

- students are guaranteed acceptance to a Tennessee Board of Regents (TBR) university rather than to a particular college or major (admission to a major requires following the requirements designated by that major);
- students can save money by enrolling for their first two years at a community college with lower tuition and fees;
- students will become familiar with university staff and academic advisers, which should facilitate the transition process;
- students will be able to view their entire degree plans at the onset of their college career;
- students will receive academic advising from both institutions, including early advisement from the receiving university; and
- students will be able to register during the priority registration period at the receiving university during the semester of graduation from a TBR community college.

Of the 78 possible dual-admission agreements, only 31 agreements (40%) had been signed between universities and community colleges as of August 2013. Those that are in place seem to be focused on geographic proximity. (See Table 7 for dual-admission agreements currently in place.) An example is Middle Tennessee State University and Nashville State

Community College, both located in the Middle Tennessee area. (See a similar finding in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

**Table 7**  
**Dual-Admission Agreements Between Two-Year and Four-Year TBR Institutions**  
**August 2013**

Community Colleges	Universities					
	APSU	ETSU	MTSU	TSU	TTU	UM
Chattanooga State						
Cleveland State						
Columbia State						
Dyersburg State						
Jackson State						
Motlow State						
Nashville State						
Northeast State						
Pellissippi State						
Roane State						
Southwest Tennessee						
Volunteer State						
Walters State						
<b>Total Per University</b>	4	7	6	3	7	4

Note: Partnership Enrollment Program agreements are considered equivalent to dual-admission agreements by the University of Memphis.

Source: Tennessee Board of Regents.

The Vice Chancellor for Community Colleges stated that dual-admission agreements between institutions that are located close together make more sense because students need to be close to counselors and advisors at both institutions. The Interim Vice Chancellor for Academic Affairs (referring to TBR, THEC, and University of Tennessee responses to the May 2012 audit) also considers geographic proximity important as students need the services of both institutions, including seamless academic and financial aid advising; access to both institutions' libraries; and

the ability to participate in activities outside the classroom, such as speaker series, clubs, athletic events, and concerts. Without all required dual-admission agreements, especially between TBR universities and community colleges within close geographic proximity, community college students cannot benefit from the advantages these agreements provide.

### **Recommendation**

The Tennessee Board of Regents universities and community colleges should complete all dual-admission agreements, as required by Section 49-7-202, *Tennessee Code Annotated*. Alternatively, the General Assembly may wish to consider amending Section 49-7-202, *Tennessee Code Annotated*, to require only those dual-admission agreements between community colleges and universities in close geographic proximity.

### **Management's Comment**

We concur. TBR staff will, in consultation with THEC and the UT system, pursue legislation to more clearly articulate that dual-admission agreements should be undertaken in those circumstances where there is likely to be a practical benefit for those students who are dually admitted (i.e., students admitted to institutions within a reasonable geographical vicinity). Legislation will be drafted by February 2014.

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## **6. Tennessee Board of Regents universities and community colleges have not included General Counsel recommended provisions in foundation agreements**

### **Finding**

Affiliation agreements that define the relationship between the Tennessee Board of Regents (TBR) universities and community colleges and their respective foundations do not incorporate TBR Office of System-wide Internal Audit (Internal Audit) findings concerning TBR General Counsel recommended agreement provisions.

Internal Audit, in its report *Analysis of Agreements Between TBR Institutions and Their Respective Foundations* issued in January 2011, compared agreement content to a list of 16 provisions recommended by the TBR General Counsel in June 2004 that should be included in the agreements. Using these provisions, Internal Audit developed 40 attributes to test whether the agreements met the General Counsel's recommendations. We reviewed the Internal Audit report and conducted our own testwork to confirm Internal Audit's results. Our review of these agreements determined that many agreements still lacked a number of these provisions.

For example, we found that all agreements lack a provision that in-kind contributions be disclosed during audits of the foundations. (See Finding 7.) Another Internal Audit review,

published in November 2010, involving only Northeast State Community College, stated that the community college's foundation had no employees, and therefore the college provided staffing for administration of grants. This supports Internal Audit's finding in *Analysis of Agreements Between TBR Institutions and Their Respective Foundations* that agreement provisions stating that no institutional funds will be transferred either directly or indirectly to the foundation or used for foundation operations appears in direct conflict with the provision that the institution may provide the use of employees, facilities, services, etc., at no cost (in other words, the work of college employees and provided facilities are forms of in-kind contribution).

As stated in the January 2011 Internal Audit report, not only should institutional funds not be directly or indirectly transferred to a foundation, but also the transfer of state funds should be prohibited. We found that 57% of university foundation affiliation agreements and 57% of community college agreements did not have provisions prohibiting the transfer of state funds to foundations. In addition, 57% of university agreements and community college agreements did not have provisions prohibiting the use of state or institutional funds for foundation operations. Without provisions disclosing in-kind contributions (e.g., institutions providing staff, office space, computers, supplies, telephones, etc.) and prohibiting the transfer of institutional and state funds from institutions to their foundations (the foundation's use of these funds), in-kind contributions and prohibited transfers and expenditures may not be disclosed.

University and community college affiliation agreements lacked other provisions recommended by the TBR General Counsel. We found that 70% of the agreements did not meet more than half of Internal Audit's 40 attributes. Of particular concern was the lack of indemnification clauses, which hold legally harmless a foundation's institution, its governing board, officers, employees, agents, and students in their official and individual capacities. We found that 71% of university agreements and 79% of community college agreements lacked such clauses.

Failure to include all legal requirements in foundation affiliation agreements, as recommended by the TBR General Counsel, may not only have an impact on the efficiency and effectiveness of foundations' operations and accountability to the public, but may also expose foundations, their institutions, and TBR to lawsuits (e.g., over alleged misuse of funds).

### **Recommendation**

Tennessee Board of Regents, institution, and foundation staff should ensure that all required legal language, as recommended by the board's General Counsel, is in foundation affiliation agreements with institutions, and that institutions and foundations adhere to those provisions.

## Management's Comment

We concur. The TBR Office of Business and Finance and the Office of General Counsel are working with all system institutions to ensure that their foundation agreements include the recommended provisions by September 2014.

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### **7. The foundations affiliated with Tennessee Board of Regents universities and community colleges failed to disclose in-kind services provided by those institutions**

#### **Finding**

Statement 958-605-25-16 of the Financial Accounting Standards Board, Accounting Standards Codification (ASC), states that contributions “of services shall be recognized if services received meet any” of the criteria listed below:

- they create or enhance nonfinancial assets; or
- they require specialized skills, are provided by individuals possessing those skills, and would typically need to be purchased if not provided by donation. Services requiring specialized skills are provided by accountants, architects, carpenters, doctors, electricians, lawyers, nurses, plumbers, teachers, and other professionals and craftsmen.

The Tennessee Board of Regents (TBR) General Counsel recommended in 2004 that foundations should ideally provide their own staff and pay their own rent, but that if it was not feasible, the affiliation agreements with their institutions should stipulate exactly what services the institution is providing to the foundation and what the foundation should report in its financial statements. The vast majority (95%) of the affiliation agreements require the university or community college to supply staff to its foundation. However, no agreements contain the requirement suggested by TBR's General Counsel to appropriately disclose in the financial statements in-kind services provided by the institution. (See Finding 6.) Staff, telephones, computers, and office space are contributions that if not provided by the institution, the foundation would have to purchase, so the foundation should disclose such contributions to satisfy the requirement of ASC 958-605-25-16. Such disclosure would reveal the total value of the institution's donations.

Based on a review of the most recent audited financial statements of the TBR universities and community colleges (mostly for fiscal 2012), we determined that in-kind services provided by these institutions to their foundations are not disclosed. Since these foundations rely on the affiliated university or community college for financial support (see observation on TBR foundations) and indirectly receive state funds through the use of staff, the foundations should disclose any non-cash contributions. (See a similar finding in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

### **Recommendation**

Tennessee Board of Regents university and community college financial officers, foundations, and their associated boards should disclose the value of all contributed services in compliance with financial standards. Universities and community colleges should follow General Counsel's recommendation to explain in affiliation agreements all services provided to the foundations.

### **Management's Comment**

We concur. The TBR staff will engage in the process of updating board policies, guidelines, and agreements that govern the relationship between institutions and their related foundations. As part of that process, staff will address issues related to financial reporting and affiliation agreements. We intend to complete this review process by September 2014.

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## OBSERVATIONS AND COMMENTS

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The topics discussed below did not warrant a finding but are included in this report because of their effect on the operations of the Board of Regents and on the citizens of Tennessee.

### **The Tennessee Board of Regents is still in the process of improving college graduation rates, as required by the Complete College Tennessee Act of 2010**

The Complete College Tennessee Act of 2010 was enacted to increase the number of college graduates in Tennessee and to increase Tennessee's economic competitiveness and future preparedness. Specifically, Section 49-7-202, *Tennessee Code Annotated*, requires the Tennessee Higher Education Commission (THEC) to "construct a statewide master plan that directs higher education to be accountable for increasing the educational attainment levels of Tennesseans" with input from the Tennessee Board of Regents (TBR) and the University of Tennessee Board of Trustees. Section 49-7-202 requires the plan to ensure "increased degree production within the state's capacity to support higher education."

THEC developed *The Public Agenda for Tennessee Higher Education 2010-2015* to meet the act's requirements. In developing the plan, THEC obtained input from various sources, including the two higher education systems; the chairs of the House and Senate Education Committees; and three nonprofit organizations involved in improving higher education, Complete College America, the Lumina Foundation, and the National Center for Higher Education Management Systems. One of the major goals of the plan is to

increase the number of degrees awarded 3.5 percent annually so that undergraduate degree production (associate's and bachelor's degrees) grows by 26,000 by 2015 and 210,000 by 2025, bringing Tennessee to the national average for undergraduate degree attainment by 2025.

Tables 8 through 10 provide information on student graduation and retention rates for TBR community colleges and universities for academic years 2009-2010 through 2011-2012. (Information for academic year 2012-2013 will not become available until January 2014.)

**Table 8**  
**Persistence to Graduation Rates After Six Years From Enrollment**  
**Tennessee Board of Regents Universities**  
**Academic Years 2009-2010 Through 2011-2012**

University	Academic Year				
	2009-2010	2010-2011	Percent Change	2011-2012	Percent Change
Austin Peay State University	37.6%	41.1%	9%	42.7%	4%
East Tennessee State University	45.1%	49.2%	9%	48.5%	-1%
Middle Tennessee State University	52.1%	50.6%	-3%	51.6%	2%
Tennessee State University	36.8%	36.6%	-1%	38.4%	5%
Tennessee Technological University	54.2%	54.5%	1%	55.6%	2%
University of Memphis	40.3%	43.0%	7%	44.1%	3%
All universities	45.6%	46.6%	2%	47.7%	2%

Source: Tennessee Board of Regents.

**Table 9**  
**Student Retention From Freshman to Sophomore Years**  
**Tennessee Board of Regents Universities**  
**Academic Years 2009-2010 Through 2011-2012**

University	Academic Year				
	2009-2010	2010-2011	Percent Change	2011-2012	Percent Change
Austin Peay State University	74.7%	76.4%	2%	72.6%	-5%
East Tennessee State University	80.2%	79.1%	-1%	75.3%	-5%
Middle Tennessee State University	82.3%	79.3%	-4%	78.1%	-2%
Tennessee State University	71.2%	73.7%	4%	65.6%	-11%
Tennessee Technological University	86.2%	83.7%	-3%	81.3%	-3%
University of Memphis	83.5%	82.9%	-1%	81.1%	-2%
All universities	80.7%	79.7%	-1%	76.9%	-4%

Source: Tennessee Board of Regents.



## Advisor Caseload

The National Academic Advising Association, a nonprofit organization involved in academic advising, provides a description of the complexity of student advising in its article *Advisor Load*, issued in 2013. The article states that there is no ideal or recommended advisor caseload appropriate for all situations, that

meaningful case load comparisons remain elusive because too many factors affect advising delivery. In other words, there is no objective recommended case load for advisors because of [several] factors... Direct comparisons of advisor case loads in institutions of the same type (e.g., 2-year colleges; 4-year, public, bachelor-degree granting universities; 4-year, private, bachelor-degree granting colleges) with similar student populations, programs, or geographical area are complicated by differences in campus climate, politics, institutional mission and goals, and other factors.

*Advisor Load* describes several specific factors to consider when determining appropriate advisor caseloads, not only at the institutional level, but also within specific academic departments. Factors include

- other responsibilities of academic advisors (e.g., teaching or committee work);
- delivery mode (e.g., one-on-one in-person advising, group advising, or using technologies such as websites and email);
- type of advising (e.g., prescriptive advising, where a student is given specific instructions, like which classes to take; versus developmental advising, like helping a student choose a major, which is more time consuming);
- student profiles (e.g., year of study, adult, minority, international, former military, or those students with emotional or mental health challenges); and
- frequency of advising (e.g., once or several times a semester).

The article emphasizes the need for an “agreement on the elements” of advising for a particular program or institution. In order to formulate this agreement, a specific mission statement and identified goals and objectives are required. *Advisor Load* quotes the Council for the Advancement of Standards concerning the need for academic advising caseloads to “be consistent with the time required for the effective performance of this activity.” In order to accurately determine this need, the article recommends a continuous assessment to “measure the achievement of process and delivery as well as student learning outcomes for advising.”

We interviewed officials at TBR community colleges and universities to determine their opinions concerning whether advisor caseloads allow for adequate student counseling. (Advising is performed by a mix of full-time professional and faculty advisors.) Officials at a majority of community colleges considered the number of advisors inadequate (and thus caseloads too high). On the other hand, officials at a majority of universities considered their advisor caseloads adequate. TBR institutions should continuously assess advisor caseloads,

including caseloads for specific programs, using specific missions and goals in order to increase graduation rates.

Advising Full-Time Status

Full-time status greatly increases a student’s chances to graduate. In fact, a student’s chances of completing a bachelor’s or associate’s degree double when studying full time, according to Complete College America. The Vice Chancellor for Community Colleges stated that research has shown that the longer it takes a student to take necessary courses for graduation, the less likely that student will graduate. He explained that “too many things get in the way” of graduation (new family obligations and crises, financial pressures, etc.). Complete College America, in *Time is the Enemy* issued in September 2011, provides statistical data on the effects of part-time status on student completion in Tennessee for both associate’s and bachelor’s degrees. (See Tables 11 and 12.) Full-time status also improves student retention rates. (See Tables 13 and 14.)

**Table 11**  
**Graduation Rates for Associate’s Degrees**  
**Tennessee Board of Regents Community Colleges**  
**Full-Time Versus Part-Time Status**  
**Fall 2004 Entry Cohort**

Status	Time Taken to Graduate		
	Two Years	Three Years	Four Years
Full-Time	6.0 %	18.0%	22.3%
Part-Time	0.9 %	7.5%	10.9%

Source: Complete College America.

**Table 12**  
**Graduation Rates for Bachelor’s Degrees**  
**Tennessee Board of Regents Public Universities**  
**Full-Time Versus Part-Time Status**  
**Fall 2002 Entry Cohort**

Status	Time Taken to Graduate		
	Four Years	Six Years	Eight Years
Full-Time	31.9 %	56.9%	61.7%
Part-Time	6.3%	24.8%	32.7%

Source: Complete College America.

**Table 13**  
**Retention Rates at Tennessee Board of Regents Community Colleges**  
**Full-Time Versus Part-Time Status**  
**Cohort Starting 2004-2005 Academic Year**

<b>Status</b>	<b>Start</b>	<b>Year Two</b>	<b>Year Three</b>
Full-Time	100%	54.0%	32.1%
Part-Time	100%	42.2%	27.9%

Source: Complete College America.

**Table 14**  
**Retention Rates at Tennessee Public Universities**  
**Full-Time Versus Part-Time Status**  
**Cohort Starting 2002-2003 Academic Year**

<b>Status</b>	<b>Start</b>	<b>Year Two</b>	<b>Year Three</b>	<b>Year Four</b>
Full-Time	100%	80.2%	71.7%	65.8%
Part-Time	100%	39.8%	34.4%	27.4%

Source: Complete College America.

Most community college and university officials we interviewed stated that full-time status was emphasized as part of student advisement, including orientation, but no institution appeared to have programs that are dedicated to emphasizing the importance of full-time status in improving college completion. TBR institutions should take steps to inform students about the importance of full-time status in increasing chances of graduation, including providing information on related costs so students can make well-informed decisions on whether they can afford to go to school full-time.

### Early Warning Systems

Both Complete College America (in *Guided Pathways to Success: Boosting College Completion*, issued in winter 2013) and the Lumina Foundation (in *Four Steps in Finishing First in Higher Education*, issued in August 2011) emphasize the importance of early warning systems to detect students with a strong likelihood of dropping out. TBR Guideline A-100, *Learning Support*, requires that if a student fails learning support requirements twice, “the student will be placed on a learning support alert.” According to Complete College America,

early warning systems make it easy for institutions to track student performance in required courses and target interventions when and where they are most needed. For example, systems can automatically place a student on administrative hold and require a meeting with an advisor if a key milestone course in the student’s major is not completed on schedule.

While all TBR universities appear to have implemented early warning systems, not all community colleges have. The Office of Academic Affairs, with the assistance of the Office of Community Colleges, should ensure that all TBR institutions have formal early alert systems that

are continuously evaluated to determine their effectiveness in increasing college completion. TBR should develop and implement related policies and procedures.

### Learning Support

During the June 2008 TBR performance audit, the Associate Vice Chancellor of Academic Affairs stated that the existing method of providing remedial and developmental courses needed to be revamped. These courses were for students not ready to take college credit classes. She stated that the existing remedial and developmental courses were dated and did not meet the needs of current students. For example, while 66% of first-time community college students in fall 2006 enrolled in such courses, only 48% of these students completed the courses.

Since the 2008 audit, all remedial and developmental education has been transferred to the community colleges, as required by Section 49-7-147, *Tennessee Code Annotated*, and is now called Learning Support. TBR approved Guideline A-100, *Learning Support*, in August 2010 to meet the requirements of the Complete College Tennessee Act. The guideline requires each institution to deliver Learning Support “based on proven methods of integrating technology and learner-centered pedagogy and . . . address the desired learning competencies” while allowing “students to be able to move progressively and consistently through the learning support interventions without having to repeat interventions related to competencies for which mastery learning has been demonstrated.”

The guideline requires each institution to continuously evaluate its Learning Support services by establishing “benchmarks and subsequent annual performance indicators to demonstrate progress of students who are placed in learning support.” Universities can only provide learning support in conjunction with college credit courses, in keeping with requirements of Section 49-7-147. The TBR system and its institutions must fully implement Guideline A-100 by fall 2013.

The Associate Vice Chancellor for Academic Affairs stated that developmental education is now provided through “competencies,” not courses, in keeping with guideline requirements. These competencies (identified by faculty subject experts) are future oriented; they focus on what is needed to succeed in college-level courses, rather than require the student to learn whatever was missed or forgotten from high school. A student’s placement in Learning Support is determined by ACT subject scores or the equivalent.

Those students placed in Learning Support, using a further diagnostic assessment, are prescribed customized plans with “interventions” to enable them to attain the developmental competencies in one semester, as required by Guideline A-100. Learning Support students are instructed using individualized tutoring via computers. Self-paced, these computer-designed courses of study also have faculty members standing nearby to assist these students.

A major issue nationwide is whether developmental education should be embedded in college credit classes. Complete College America, in *Remediation: Higher Education’s Bridge to Nowhere* issued in April 2012, states that stand-alone developmental classes tend to demoralize students as they are “wasting valuable time and money in remedial classes for no

credit.” The sooner students start getting into regular college courses, the better, as the students “are twice as likely to graduate if they complete at least three courses in their chosen programs of study in their first year on campus.”

The Associate Vice Chancellor stated that all TBR universities have “embedded” remediation for students who need additional support to aid them through their initial college courses, especially math and English. Students have access to Learning Support through supplemental instruction provided through non-credit interventions. She said that most, if not all, of the community colleges have either piloted or are in early discussions to plan an embedded approach to remediation. The officials we interviewed at the community colleges confirmed what the Associate Vice Chancellor stated. (We focused on community colleges because all Learning Support has been moved to those institutions.)

Guideline A-100 requires that evaluation of “the learning support services must be a continuous process.” The Associate Vice Chancellor said that the TBR system will begin monitoring system-wide data from the full implementation of the redesigned approach beginning with the first-time freshmen cohort for fall semester 2013. As required by Guideline A-100, both the TBR’s central office and its institutions should continue to monitor Learning Support’s effectiveness, including efforts to embed supplemental instructional support in college credit classes, so more students can achieve graduation in a more timely manner.

### Structured Learning

In an effort to increase college completion, the Act, as part of creating a “comprehensive statewide community college system,” requires TBR to use structured learning. Specifically, as part of a plan to create this system, Section 49-8-101, *Tennessee Code Annotated*, requires

the use of block scheduling and cohort programming as a means of delivering educational programs within the Tennessee community college system. Programs . . . shall be developed in a manner that results in the opportunity for more rapid and significantly higher rates of program completion through structured degree programs that incorporate fixed course offerings that meet the requirements for the degree being offered on a predetermined schedule.

Block scheduling involves students taking a block of classes (as opposed to choosing individual classes), while cohort scheduling involves a group, or cohort, of students taking classes together. Both approaches can be combined. The purpose of such structured learning is to avoid students getting confused with the complexities of an academic environment, resulting in their taking too many or unnecessary courses, with a greater likelihood of dropping out.

Complete College America, in its policy brief *Boosting College Completion at Community Colleges: Time, Choice, Structure and the Significant Role of States* issued in August 2010, mentions how Northwestern University education researcher Dr. James Rosenbaum and his colleagues have found that students at community colleges, who now make up nearly half of all college students in the country, often lack the knowledge to direct their own

progress to college completion. Dr. Rosenbaum and his fellow researchers, among other conclusions, found that

although students are assumed to possess well-developed plans, we found many students whose plans are vague or unrealistic. Although students are assumed to be highly motivated, we found that student efforts often depend on external incentives . . . We find that many students have poor information about remedial courses, course requirements, realistic timetables, degree options, and job payoffs. Finally, although students are assumed to possess the social skills and job-search skills to get appropriate jobs, many students do not.

In 2010, TBR applied for and received a three-year, \$975,000 Lumina Foundation grant to support a statewide approach and adoption of block and cohort scheduled programs across all the community colleges. The grant ended in July 2013. The Lumina Grant Director stated that such programs are for all students, not just those academically at risk. She said that there are no formal plans or attempts to use block or cohort scheduling to target students who are likely to get into academic trouble.

*Year Three External Evaluation of the Lumina Grant*, issued in June 2013 by JBL Associates, Inc., an education research company, determined that these programs had made improvements in areas such as graduation and continuing education, grade point average, retention, and completion of attempted classes. The officials at all the community colleges stated that their institutions had implemented such programs. The JBL Associates, Inc., report mentions several obstacles in implementing structured learning programs, including increased expenses (i.e., added cost of adding a parallel program to the existing traditional program); no obvious advantage to students (i.e., these programs limit their options and reduce flexibility); no obvious advantage to faculty and staff members (i.e., not fully understanding the advantage that cohort pathways might provide to them and their students); the lack of a strategic plan; and limited data to measure student progress.

The Office of Community Colleges should review and take steps to overcome any obstacles to implementing structured learning programs, especially those targeted to students at risk of dropping out. The office should continuously assess the effectiveness of these programs, using the criteria discussed above to measure student progress toward college completion.

### Reverse Articulation Agreements

Section 49-7-150, *Tennessee Code Annotated*, states that “universities of the board of regents and the University of Tennessee systems are authorized and encouraged to enter into reverse articulation or reverse transfer agreements with the community colleges of the board of regents system.” In July 2012, a taskforce was convened to develop and implement a reverse articulation/reverse transfer process in Tennessee. The original taskforce included members from TBR, the Tennessee Higher Education Commission, the Tennessee Independent Colleges and Universities Association, and the University of Tennessee system. The taskforce defined the process as

a credit review of students who transfer from a community college to a four year institution prior to receipt of the associate's degree to determine if and when the students complete the associate's degree requirements and, if so, to award them an associate's degree.

The community college that would award the associate's degree would be responsible for the course credit review. A statewide reverse articulation process had not been implemented as of August 2013. Most TBR universities have not entered into reverse articulation agreements with community colleges on their own initiative, according to university officials. In addition to providing a student an academic credential if he or she does not complete a bachelor's degree, other benefits of reverse articulation may include improving chances of completing a bachelor's degree and having a credential to enter the workforce while completing a bachelor's degree. The TBR's central office should, along with other Tennessee higher education agencies, continue its efforts to implement a statewide system of reverse articulation in a timely manner.

**The Office of Community Colleges should continue to implement the comprehensive community college system required by the Complete College Tennessee Act of 2010**

Section 49-8-101, *Tennessee Code Annotated*, requires the Tennessee Board of Regents (TBR), in consultation with the Tennessee Higher Education Commission, to “establish a comprehensive statewide community college system of coordinated programs and services to be known as the Tennessee community college system.” This section directs TBR to perform the following steps in implementing the system:

- operate a unified system with individual campuses, teaching centers, and teaching sites as necessary to maximize the effectiveness of the system in enhancing student success and increasing the number of college degrees held by Tennesseans;
- develop a plan to transition from the existing system of 13 independently managed institutions to a comprehensive statewide community college system managed as a unified system;
- as part of the transition plan, identify and implement consolidation of services among institutions and standardization of processes between institutions in order to improve efficiency and effectiveness in all functional areas, including, but not limited to, student services, academic support, and institutional support;
- as also part of the transition plan, incorporate the use of block scheduling and cohort programming as a means of delivering educational programs within the Tennessee community college system (programs should be developed in a manner that results in the opportunity for more rapid and significantly higher rates of program completion through structured degree programs that incorporate fixed course offerings that meet the requirements for the degree being offered on a predetermined schedule); and
- have the community college system pursue strategies to create mutually beneficial relationships with technology centers such that certificate programs may be offered at

community college sites and community college courses may be offered at technology centers.

Section 49-8-101 requires that the comprehensive community college system be “fully implemented no later than July 1, 2012.” The Vice Chancellor for Community Colleges stated that the system’s implementation was “well under way” as of June 2013. He stated that resource constraints and the need for sequential, often incremental, steps to avoid “the risk of disrupting existing services and operations for our students” were major reasons for lack of full implementation. The Vice Chancellor provided documentation on TBR’s actions to implement Section 49-8-101’s five implementation steps mentioned above. (See Tables 15 through Table 19.)

**Table 15**  
**Unified System to Maximize Effectiveness and Increase Number of Degrees**  
**Section 49-8-101(c)(1), *Tennessee Code Annotated***

Operate a unified system with individual campuses, teaching centers, and teaching sites as necessary to maximize the effectiveness of the system in enhancing student success and increasing the number of college degrees held by Tennesseans.
Action: Policies created to standardize enrollment, transfer, and completion rules across institutions.
Action: The Tennessee Transfer Pathways developed for articulation and transfer of community college students to universities.
Action: Statewide approach to delivering learning support (remedial and developmental courses) through policy and the Learning Support Delivery Plan.
Action: Statewide approach for accepting credits for prior learning partly implemented.
Action: Middle Tennessee Regional Skills Panel established as part of an effort to address the state’s workforce needs in the areas of advanced manufacturing, information technology, and healthcare.
Action: Curriculum alignment initiative started to standardize the Associate of Applied Science (A.A.S) degree curriculum across all 13 community colleges.

Source: Office of Community Colleges, Tennessee Board of Regents.

**Table 16**  
**Transition Plan to Comprehensive Statewide Community College System**  
**Section 49-8-101(c)(2), *Tennessee Code Annotated***

Develop a plan to transition from the existing system of 13 independently managed institutions to a comprehensive statewide community college system managed as a unified system.
Action: Plan developed in 2010 by the National Center for Higher Education Management Systems (NCHEMS) for TBR to implement the comprehensive statewide community college system. (See section below.)

Source: Office of Community Colleges, Tennessee Board of Regents.

**Table 17**  
**Consolidation of Services and Standardization of Processes**  
**Section 49-8-101(c)(3), *Tennessee Code Annotated***

As part of the transition plan, identify and implement consolidation of services among institutions and standardization of processes between institutions in order to improve efficiency and effectiveness in all functional areas, including, but not limited to, student services, academic support, and institutional support.
Action: As part of continuing process to consolidate services, common procurement software package implemented to handle all purchasing, which allows for centralized administration.

Source: Office of Community Colleges, Tennessee Board of Regents.

**Table 18**  
**Use of Block Scheduling and Cohort Programming**  
**Section 49-8-101(c)(4), *Tennessee Code Annotated***

As part of the transition plan, incorporate the use of block scheduling and cohort programming as a means of delivering educational programs within the Tennessee community college system.
Action: Community colleges incorporating block/cohort scheduling through the Finish Faster structured program initiative. Finish Faster, depending on the particular community college, offers <ul style="list-style-type: none"> <li>• accelerated, condensed classes that allow students to finish a degree or certificate program in as little as a year;</li> <li>• cohort groups, allowing students to move through their studies as a member of a learning community, which acts as a valuable support network; and</li> <li>• block scheduling, where programs offer classes in consistent blocks of time (e.g., every Monday, Wednesday, and Friday from 9 a.m. to 2 p.m.), providing students a steady schedule to plan work or family responsibilities around.</li> </ul>

Source: Office of Community Colleges, Tennessee Board of Regents.

**Table 19**  
**Technology Centers, Certificate Programs Offered at Community Colleges and**  
**Community College Courses Offered at Technology Centers**  
**Section 49-8-101(c)(5), *Tennessee Code Annotated***

Have the community college system pursue strategies to create mutually beneficial relationships with technology centers such that certificate programs may be offered at community college sites and community college courses may be offered at technology centers.
Action: The Business Process Model Project seeks to improve consistency between technology centers and lead community colleges in human resource and payroll processing needs and schedules.
Action: The Tennessee Technology Centers will work with the Office of Facilities to increase physical capacity at the centers in order to contribute significantly to TBR’s overall Completion Agenda goal of 43,202 post-secondary credentials awarded in 2025.
Action: Middle Tennessee Regional Skills Panel having members from community colleges and technology centers.

Source: Office of Community Colleges, Tennessee Board of Regents.

National Center for Higher Education Management Systems’ *Tennessee Community College Paper*

As stated above, Section 49-8-101(c)(2), *Tennessee Code Annotated* requires TBR to “develop a plan to transition from the existing system of thirteen (13) independently managed institutions to a comprehensive statewide community college system managed as a unified system.” The National Center for Higher Education Management Systems (NCHEMS) developed the transition plan, the *Tennessee Community College Paper*, which TBR approved in June 2010. NCHEMS stated that the purpose of the plan is to provide a framework “for the TBR and the colleges to map current roles, responsibilities, and functions at the system and campus levels in order identify the priority actions necessary to meet the expectations of the new legislation,” in addition to providing “a means for on-going evaluation to identify additional actions needed to implement fully the transition to a unified comprehensive community college system.” NCHEMS stated in the plan that Tennessee’s community colleges already functioned as a “system” in many ways and that the task now was to significantly improve “performance and cost-effectiveness.”

The *Tennessee Community College Paper* lists the following principles for allocating responsibilities between campuses and the system in a comprehensive community college system:

- The system is created to respond to high priority needs of Tennessee and its citizens and is organized in furthering the achievement of common purposes.
- The system’s role is to maximize the benefits of unity without compromising the need for differentiation and local/regional responsiveness. This role includes providing

services that yield economies of scale while not degrading client services; advocating for, marketing, and providing a common voice in dealing with students, external entities, and the general public; and improving each institution's capacity to function more efficiently and effectively.

- The system must have enhanced capacity to respond to different client needs in different parts of the state. Tailored responsiveness should be a priority.
- Functions should remain at the campus level except where collective action results in better client services or substantial cost savings.
- The collective set of institutions should respond to needs in a way not possible through independent action.
- Policy tools should align with common purpose. The system and each individual campus have distinct but coordinated responsibilities for strategic planning, strategic resource allocation, and accountability. The system's role is to maintain focus on statewide priorities, and not focus on the management of individual institutions.
- Of central importance at the system level is development of a finance system or model that allows for cost-effective delivery of service and maintains affordability.
- The effectiveness of the system is determined by the extent to which needed services are delivered to all parts of the state in the most cost-effective manner.

The transition plan has seven major steps in implementing a comprehensive community college system, which are listed in Table 20. The Vice Chancellor for Community Colleges stated that of the seven steps, five have been implemented or are in the process of implementation, as of June 2013. TBR should continue to implement the comprehensive community college system mandated by the Complete College Tennessee Act of 2010, completing this implementation as soon as possible and taking into consideration resource constraints like staff and funding.

**Table 20**  
**Implementation of *Tennessee Community College Paper* Major Steps**  
**June 2013**

Step	Implementation Initiated? (Yes/No)
Hiring a Vice Chancellor for Community Colleges	Yes
Initiating a marketing plan	Yes
Creating a data warehouse to enhance decision making at both system and campus levels	Yes
Creating a finance and resource allocation methodology	Yes
Working with THEC to revise program approval process to delegate new community college program approval to TBR	Yes
Developing strategic plan for the community college system	No
Developing an IT infrastructure	No

Source: Office of Community Colleges, Tennessee Board of Regents.

**The Tennessee Board of Regents needs to strengthen controls regarding student attendance for online courses**

In order to offer more flexible and accessible education options for Tennesseans, the Tennessee Board of Regents (TBR) in 2001 established a collaborative effort among its community colleges, universities, and technology centers to offer a full range of graduate and undergraduate degrees, certificates, and diplomas online through Regents Online Degree Programs (RODP) and Regents Online Continuing Education and Workforce Development. More than 38,000 students annually took TBR online classes by January 2013. In addition to providing more convenient class options, these online courses avoid the direct and indirect costs of online course duplication among TBR institutions.

We determined controls TBR has in place to verify student attendance for RODP courses, as there is a national trend toward increased use of online courses in higher education. Our major concern was the ease in which a student can give any secure login/user id and password to another individual to complete the course assignments and examinations for him or her, degrading the quality of the degree awarded to that student. (See a similar observation in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

## Student Attendance Controls for Online Courses

The federal Higher Education Opportunity Act requires that higher education institutions verify the identity of those individuals taking online courses. Specifically, Section 496(a)(4)(B) mandates that a higher education accrediting agency

requires an institution that offers distance education or correspondence education to have processes through which the institution establishes that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit.

Federal regulations implementing this statute (Title 35, *Code of Federal Regulations*, Section 602.17) require accrediting agencies to direct

institutions to verify the identity of a student who participates in class or coursework by using, at the option of the institution, methods such as—(i) A secure login and pass code; (ii) Proctored examinations; and (iii) New or other technologies and practices that are effective in verifying student identity.

The accrediting agency for TBR community colleges and universities, the Southern Association of Colleges and Schools (SACS), mirrors these student authentication requirements in its *Principles of Accreditation*. The Executive Director of Programs for Regents Online Campus Collaborative stated that SACS reviews these controls when it reaccredits institutions, not by evaluating RODP. The Executive Director said that there are no requirements that RODP courses be proctored (e.g., during examinations) to verify student identity, but that such a requirement depends on a course's developer. Otherwise, whether a course required proctoring depended on the faculty member teaching the course.

We interviewed officials at the six TBR universities and a random sample of six community colleges to determine their institutions' proctoring requirements for online courses. Although federal regulations and SACS requirements allow for "new or other technologies and practices that are effective in verifying student identification," these officials did not require such new technologies, such as web cameras, to monitor students during examinations (although officials at six institutions were considering their use). The officials also did not require traditional face-to-face monitoring during examinations, leaving such monitoring to the instructor's discretion, depending on the institution.

## University of North Carolina System Use of Remote Proctoring

During the fall 2012 semester, the University of North Carolina system, which consists of 17 universities, introduced a remote proctoring service that enables its students to take online course examinations at any location. Provided by a private company, the service allows students to have the option for a fee and requires (in addition to a computer) a reliable Internet connection, a web camera, and a microphone. The proctoring system allows the student to set up

an appointment with a live online proctor, who will supervise the administration of the examination via streaming video and audio.

The proctoring process has three steps. First, the proctor asks the student to produce a form of identification. Then, using available public records, the proctor quizzes the student to authenticate who he or she is. The final step is the actual proctoring of the examination, where the proctor watches the student (including eye movements), the computer itself, and the computer screen.

The Tennessee Board of Regents should strengthen controls regarding student attendance for online courses, including developing and implementing a policy requiring the proctoring of online courses, focusing on major examinations. Such proctoring should involve visual identification and observation of the student taking the examination. In addition, such a policy should include cost-effective options for students, which may include in-person proctoring in their locations of residence or work and online proctoring using live video and audio streaming.

**Tennessee Board of Regents universities and community colleges, with the board's approval, charge additional course fees to offset the cost of programs that are more expensive to operate**

Section 49-8-203, *Tennessee Code Annotated*, gives the Tennessee Board of Regents (TBR) the power to approve “the operating and capital budgets of each of the institutions and schools under its control and otherwise set policies for their fiscal affairs.” Tennessee Higher Education Commission (THEC) fiscal staff stated that THEC makes recommendations on additional fees beyond regular tuition to cover expenses of more expensive academic programs, but that university system boards make their own decisions regarding such fees.

TBR Guideline B-060 allows each institution to establish specialized academic fees, with the board's approval. According to the guideline,

certain academic programs require expensive maintenance/updating of equipment and software and the employment of highly qualified staff. The high costs of instruction for these programs can be offset by establishing specialized academic fees, with the Board's approval.

Program faculty must meet the following Guideline B-060 criteria in order for TBR to approve these extra fees:

- high cost of instruction: programs qualifying for charging specialized academic fees must demonstrate that they are more costly than other programs offered by the institution;
- high demand: the number of students enrolled in the program and the student credit hours generated are sufficient to justify additional fees;

- high cost of updating/maintaining equipment and software: programs qualifying for charging specialized academic fees are expected to be those that require extensive maintenance and regular updating of equipment and/or software, all of which are very expensive;
- accreditation: meeting standards of specific accrediting agencies may also qualify a specialized program for charging specialized academic fees;
- high recognition and quality: the programs approved for specialized academic fees are expected to be distinctive and with a regional or national reputation;
- high value to Tennessee: the program must demonstrate that it is a good investment for the State of Tennessee to justify charging extra fees to the student; and
- impact on affected students: through surveys, questionnaires, or other suitable means, the program must demonstrate that the charging of additional fees will not diminish enrollment.

The Vice Chancellors for Academic Affairs, Business and Finance, and Community Colleges stated that without providing a higher value (i.e., more money) in the funding formula for certain costly academic programs, institutions are forced to charge students more for these programs. Such programs include science, technology, engineering, and mathematics (STEM) programs. Otherwise, students engaged in less costly academic programs indirectly subsidize those in high-cost programs.

Below is an example of some of the additional course fees at Austin Peay State University. (See Table 21.) According to the Vice Chancellor for Business and Finance, while all these fees fall under Guideline B-060, not all are specialized academic fees. All institutions except Northeast State Community College charge students extra for specific programs or courses. (See Appendix 1 for examples of additional course fees for all TBR institutions for the 2013-2014 academic year.)

**Table 21**  
**Examples of Additional Course Fees**  
**2013-2014 Academic Year**

Austin Peay State University	
\$28/credit hour	Undergraduate online course fee per credit hour (non RODP)**
\$45/credit hour	Graduate online course fee per credit hour (non RODP)**
\$30/credit hour	Business course fee for upper division and graduate (per credit hour)
\$90/semester	Nursing clinical skills fee**
\$15/lab	Science consumables fee (per lab)**
\$25/credit hour	Nursing differential maintenance fee

\$25/credit hour	Education Ready2Teach fee for upper division and graduate education courses
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\* Regents Online Degree Programs. Non-RODP courses provided by the institution.

\*\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).

Source: Austin Peay State University.

Our review of TBR university and community college websites revealed that it would be difficult for a student majoring in a program with additional course fees to determine total tuition costs. Although these fees are cited in these websites, they are not combined with regular tuition to provide students or prospective students with information on total tuition charges for specific majors. TBR universities and community colleges should display total tuition costs per academic program in their websites so students or prospective students can properly plan how to finance their college careers. (See a similar observation in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

**The processes for evaluating and eliminating low-producing programs and avoiding duplicated programs appear to be adequate, although the Tennessee Higher Education Commission needs to issue policies and procedures regarding low-producing programs**

Section 49-7-202(c)(5), *Tennessee Code Annotated*, requires the Tennessee Higher Education Commission (THEC) to review

the need for particular programs, departments, academic divisions, branch operations, extension services, adult education activities, public service activities and work programs of the various institutions of higher learning, with a particular view to their cost and relevance and to make recommendations to the respective governing boards of the various institutions for the purpose of minimizing duplication and overlapping of functions and services and to foster cooperative programs among the various institutions.

The Complete College Tennessee Act of 2010 reinforces the need for this review by requiring THEC to use mission differentiation to improve efficiencies and avoid program duplication. Specifically, Section 49-7-202(c)(2), *Tennessee Code Annotated*, requires THEC to,

in consultation with the respective governing boards, approve institutional mission statements concurrent with the adoption of each revised statewide master plan. An institutional mission statement shall characterize the institution by stating its distinctiveness in degree offerings by level and focus and student characteristics, including, but not limited to, nontraditional students and part-time students, and shall address institutional accountability for the quality of instruction, student learning and, where applicable, research and public service to benefit Tennessee citizens. Nothing contained in this section shall prohibit any institution from pursuing research and related activities that are consistent with the institution's mission;

As a result, THEC directed all state community colleges and universities to develop new mission profiles, which have been implemented. Section 49-7-202(c)(6), *Tennessee Code Annotated*, provides THEC the authority to prevent duplicative academic programs through reviewing and approving or disapproving “all proposals for new degrees or degree programs or for the establishment of new academic departments or divisions within the various institutions of higher learning.” THEC reviews programs for duplication only when the institutions first propose them for approval. THEC delegated the approval of new academic programs at community colleges to the Tennessee Board of Regents (TBR) in 2011.

Low-Producing Programs

THEC does not have a formal policy on what criteria it uses to determine whether a program is low producing and thus a candidate for termination. THEC staff stated, however, that THEC does use informal criteria (requiring a minimum average number of annual graduates over a five-year period) which are consistent with what other states use. (See Table 22.)

**Table 22**  
**Minimum Annual Number of Graduates Required Over a Five-Year Period**  
**By Degree Type**

Type of Degree	Number of Graduates
Associate’s and Bachelor’s	10*
Master’s	5
Doctoral	3

\* Does not apply to programs that are deemed necessary to the general education curriculum or that support other degrees (e.g., mathematics and physics).

Source: Tennessee Higher Education Commission.

Although these informal standards require a five-year average for associate’s degrees, THEC actually uses a three-year average for these programs. THEC, in cooperation with TBR and the University of Tennessee Board of Trustees (UT Board), should adopt formal standards for evaluating academic programs for low numbers of graduates to avoid inconsistencies between informal criteria and actual practices.

It appears, however, that THEC is using current standards to properly evaluate program productivity (i.e., measuring the average number of degrees for bachelor’s degrees and above over five years and measuring associate’s degrees over three years). THEC staff stated that prior to 2012, low-producing program reviews were conducted annually, but they determined that annual reviews did not allow for sufficient time to determine meaningful changes. A three-year review cycle was implemented in 2012. The last review, using data for the academic years 2005-2006 through 2009-2010 (academic years 2007-2008 through 2009-2010 for community colleges), was issued in November 2011. The next scheduled review is in November 2013, the first of the new three-year cycle.

THEC passes the results of the reviews concerning TBR academic programs to TBR, which determines whether to terminate a low-producing program. One option for a low-producing program, other than termination, is to provide additional resources to increase the

number of graduates. TBR terminated 21 programs (17 certificates, 2 associate's degrees, 1 bachelor's degree, and 1 master's degree) in 2012.

The May 2012 Complete College Tennessee Act of 2010 performance audit recommended that if it became clear in the future that the revised mature degree review process did not provide sufficient, meaningful results, the General Assembly might wish to consider whether THEC, rather than the TBR and the UT Board, should be given statutory authority to terminate programs. The vast majority of officials from all six TBR universities and a random sample of six community colleges did not find serious problems with the current evaluation system for academic program productivity, including how programs are terminated.

### Program Duplication

As stated above, THEC only addresses the issue of whether programs are duplicated when TBR institutions propose new programs (TBR does not conduct a formal independent review for duplication). According to THEC Policy A1.1 *New Academic Programs*,

No Unnecessary Duplication: Where other similar programs may serve the same potential student population, evidence should demonstrate that the proposed program is in accord with the institution's THEC-approved distinct mission, is sufficiently different from the existing programs or that access to the existing programs is sufficiently limited to warrant initiation of a new program. The proposal should explain why it is more cost effective or otherwise in the best interests of the State to initiate a new program rather than meet the demand through other arrangements (e.g., collaborative means with another institution, distance education technologies, Academic Common Market, and consortia).

The policy also requires that “during the first five years (three years for pre-baccalaureate programs) following approval, performance of the program, based on goals established in the proposal, will be evaluated annually.” After this period, THEC must evaluate the program to determine whether to recommend that TBR continue the program using a number of criteria, including

- enrollment and graduation numbers;
- program cost;
- progress toward accreditation;
- library acquisitions;
- student performance; and
- other goals set by the institution and agreed to by TBR and THEC staff.

THEC performed the duplication analysis and approval of five new TBR programs in fiscal year 2012, involving 17 institutions (including all 13 community colleges). (See Table 23.)

**Table 23**  
**Duplication Analysis of Approved Tennessee Board of Regents Programs**  
**Tennessee Higher Education Commission**  
**Fiscal Year 2012**

<b>Institution</b>	<b>Program</b>	<b>Credential</b>	<b>THEC Approval Date</b>
All Community Colleges	General Education Core	Certificate	July 2011
<u>Analysis:</u> The commonality of the core with its universal transfer gives coherence to the 41-hour requirement of the 60-hour Associate of Arts and Associate of Science degrees.			
<b>Institution</b>	<b>Program</b>	<b>Credential</b>	<b>THEC Approval Date</b>
Chattanooga State Community College	Process Technology	Certificate	July 2011
<u>Analysis:</u> Wacker Polysilicon, North America requested that Chattanooga State establish a program in Process Technology to support workforce needs. This certificate will provide students training to be competitive for employment with Wacker and other local manufacturers. At that time of THEC approval, no other community college offered a certificate or associate's degree program in Process Technology.			
<b>Institution</b>	<b>Program</b>	<b>Credential</b>	<b>THEC Approval Date</b>
East Tennessee State University	Geosciences	Master's Degree	July 2011
<u>Analysis:</u> Because of the nature and scope of the proposed degree and its association with a major fossil site and museum, it is not duplicated at either public or private institutions in the state. While other institutions have offerings in geology, earth science, and land-use history from an archaeological perspective, the proposed degree is singular in its paleontology and geospatial analysis construction.			
<b>Institution</b>	<b>Program</b>	<b>Credential</b>	<b>THEC Approval Date</b>
Tennessee Technological University	Environmental and Sustainability Studies	Bachelor's Degree	November 2011
<u>Analysis:</u> While four bachelor's degrees in the field of environmental studies and several concentrations in environmental studies within other degree majors are available at Tennessee universities, the proposed program at the university is singular in its interdisciplinary and sustainability focus with the availability of the Center of Excellence research and outreach resources behind it. Furthermore, the existing programs accentuate different missions of the sponsoring institutions (e.g., East Tennessee State University, Middle Tennessee State University, and the University of Tennessee, Knoxville). The university's science, technology, engineering, and mathematics (STEM) specialties frame the proposed program.			
<b>Institution</b>	<b>Program</b>	<b>Credential</b>	<b>THEC Approval Date</b>
University of Memphis	Epidemiology	Doctoral Degree	July 2011
<u>Analysis:</u> The proposed program will not duplicate existing access to doctoral epidemiology programs at state institutions. Within public higher education, East Tennessee State University offers a doctorate in public health with a concentration in epidemiology, which emphasizes rural public health. The University of Tennessee at Memphis offers a master's degree in epidemiology, a complement to the proposed University of Memphis doctorate. Vanderbilt University has recently established a Ph.D. program in epidemiology.			

Source: Tennessee Higher Education Commission.

As stated above, the Complete College Tennessee Act of 2010 gives institutional mission statements a major role in preventing program duplication. THEC staff stated during our fieldwork that an institution's proposal for a new program must include documentation that addresses how the program will fit into that institution's current mission statement. The vast majority of officials from the six TBR universities and the six community colleges we interviewed did not find serious problems with THEC's process of avoiding program duplication, including the use of mission statements.

**Tennessee Board of Regents foundations affiliated with universities and community colleges lack financial and operational independence of the entities they represent, despite separate tax-exempt corporate status**

The Tennessee Board Regents (TBR) Director of System-wide Internal Audit stated that foundations affiliated with TBR universities and community colleges are legally separate from the supported institutions (as required by TBR policy), and are established under IRS Code 501(c)(3) as nonprofit organizations. However, the foundations appear neither financially nor operationally independent of the institutions they represent.

The director also stated that "as they exist to support the affiliated institution, the financial and operational responsibilities are mostly handled by institutional staff," including financial transactions. Most financial records are kept on the institutions' accounting system, though "in separate accounts." Based on a review of foundation directors, we determined that the vast majority (84%) of the foundation directors are employed by the institutions they represent.

With the leadership of foundations and financial transaction management part of the represented institutions (and funded by these institutions), it is impossible to maintain complete financial and operational independence. The Association of Governing Boards and Colleges stated, in *Creating a Successful Affiliated Foundation* issued in 1999, that the level of institutional funding appears directly correlated to a foundation's independence, where foundations heavily reliant on institutional funding often carry out functions on behalf of their institutions.

TBR, institution, and foundation staff, in consultation with the board's General Counsel, should clearly define and document the independence foundations have from their respective institutions. The General Assembly may want to review the issues of foundation independence and determine if it is amenable to foundation staff using state dollars for institutional fundraising.

**The Tennessee Board of Regents should take steps regarding its membership to comply with state law on female representation**

Section 49-8-201, *Tennessee Code Annotated*, requires that every other appointment to the Tennessee Board of Regents (TBR) since 1995 be a female until the membership of the board reflects the percentage of females in the state’s population. The board consisted of 18 members in August 2013, with one vacancy. Excluding the four ex-officio members (the Governor, the Commissioners of Education and Agriculture, and the Tennessee Higher Education Commission Executive Director), the remaining 14 members were appointed by the Governor. Of these appointed members, 9 (64%) were male and 5 (36%) were female. The U.S. Census Bureau estimated that the female population was 51% of the total Tennessee population in 2012. (See a similar observation in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

The Governor and the TBR should work together to comply with Section 49-8-201 and increase female representation on the board to accurately reflect the population.

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**RESULTS OF OTHER WORK**

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**Information System Reliability – Funding Formula Data Elements**

State Audit Information Systems auditors conducted a review of the control environment and information technology infrastructure of the Student Module in the Banner system to determine whether there were adequate controls over TBR-submitted funding formula data required by the Complete College Tennessee Act of 2010 to ensure reliability. Based on inquiry, observation, testwork performed, and discussion with university management, it appears information system controls and procedures at the university are in place and are effective.

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**SPECIAL SECTION ON CAMPUS SAFETY**

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**FINDINGS**

Our review of campus safety focused on three issues—emergency management planning; compliance with Section 49-7-149, *Tennessee Code Annotated*, (the Kristen Azevedo Act); and methods to submit timely emergency warnings to the campus community as required by the federal Clery Act.

## **8. Tennessee Board of Regents institutions have emergency preparedness plans, but additional steps should be taken to ensure campus community safety**

### **Finding**

Safety of the campus community is a concern for the employees, students, and parents of students of each institution. In response to a Tennessee Board of Regents (TBR) guideline, the institutions have prepared, tested, and revised emergency preparedness plans. However, due to the varied geographical locations and accessibility of their campuses; the wide range of hazards (e.g., severe weather, health-related emergencies, and campus crime); and the complexity of emergency management, additional steps should be taken to ensure campus community safety, assist the institutions with emergency preparedness, and comply with federal law regarding annual drills. The TBR should take additional steps to oversee emergency planning at the institutions. (See a similar report of work done in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

#### Emergency Management Planning

##### *Guideline for Institutional Emergency Preparedness Plan*

On February 12, 2008, the Tennessee Board of Regents approved TBR Guideline B-100: *Institutional Emergency Preparedness Plan*. The guideline requires each institution to have a written plan that addresses procedures for emergencies arising from

- tornadoes,
- earthquakes,
- biological hazards,
- hostile intruders/violent persons, and
- terrorist attacks.

The guideline is 49 pages with information on minor and major emergencies, disasters, and evacuations, and includes 18 procedures for the plan, 24 appendices with lists of information and contacts, and other needed information.

Senior administrators at TBR institutions are responsible for ensuring that their institution has an institutional emergency preparedness plan to address matters related to preparation for emergencies and response plans in the event of an emergency. The guideline requires the plan to be reviewed and revised, as necessary, on at least an annual basis by senior administrators in conjunction with the institutional emergency response management team. Also, aspects of the plan must be tested in annual training exercises and drills. The institutions are not required to submit their plans to the TBR's central office for review, and TBR does not have a central office staff position responsible for institution emergency planning.

## Emergency Management Plans and Tests

Each institution's emergency management plan identifies potential hazards, with planned responses for threats of violence, weather, health emergencies, and transportation accidents. In addition to the guidance issued by TBR, the institutions reported that they consulted a variety of emergency management planning standards and/or plans of other universities. The majority of the universities and the community colleges have not had their plan reviewed by an emergency planning authority or accrediting organization. In July 2013, Tennessee Technological University's plan was reviewed by the Preparedness-Technology, Analysis, and Coordination Center of the Federal Emergency Management Agency, National Preparedness Directorate. The review identified areas of improvement, such as adding probability and risk of hazard impact; geographic areas likely to be affected by particular hazards; and the jurisdiction's population and location.

Auditors evaluated the university and community college plans using criteria in resources available for emergency management planning, including the U.S. Department of Homeland Security's National Incident Management System (NIMS). NIMS provides a systematic guide to help "prevent, protect against, respond to, recover from, and mitigate the effects of incidents." (See Appendix 2 for a list of emergency planning resources available for institutions to use.) NIMS is comprehensive and includes chapters with concepts and principles on preparedness; communications and information management; resource management; command management; and ongoing management and maintenance. Other emergency management planning resources are similar in content—comprehensive and detailed. The recommended criteria include

- declaring an emergency and activating the emergency plan;
- having an emergency operations center;
- designating a Command Post;
- creating an emergency response team;
- addressing communications needs;
- having evacuation procedures;
- providing emergency response plan training;
- having tornado procedures;
- having fire procedures;
- having hazardous materials procedures; and
- having earthquake procedures.

The university plans reviewed (APSU, ETSU, MTSU, TTU, and UoM) contained the selected criteria, with the exception of ETSU and MTSU. Those plans did not include earthquake emergency planning procedures.

The community college plans contained the selected criteria, with the exception of Pellissippi State Community College. Pellissippi provided us with their Emergency Quick Reference Guide, which contained five of the criteria. Pellissippi plans to hire a contractor to make recommendations to improve its emergency plan. The Colleges of Applied Technology have plans with some hazard-specific procedures; however, the College of Applied Technology at Newbern’s plan only had one procedure—Emergency Notification Campus Lockdown—and the College of Applied Technology at Murfreesboro did not have any procedures.

Although the majority of the plans reviewed contained the selected criteria, because of the broad framework and comprehensive guidelines for plans, with the variety of potential hazards and the continual modifications in emergency planning criteria, it is important that TBR ensure that campuses have taken steps to mitigate exposure to potential emergencies and to access all resources available.

Emergency Management Plan Revisions and Exercises

Emergency management exercises allow institutions to assess the level of their preparedness and determine areas for improvement. NIMS standards recommend that conducting emergency management exercises improves the ability of responders to work together and to optimize the use of resources during an actual emergency. The federal Clery Act requires institutions to conduct at least one yearly drill designed to assess and evaluate emergency response and evacuation procedures.

There are three types of exercises, summarized in Table 24.

**Table 24**  
**Types of Emergency Exercises**

Tabletop Exercises	Discussions about a scenario and how the campus will prepare for, respond to, or recover from an emergency. Participants (faculty, staff, campus administrators, and emergency planners) discuss potential challenges and identify solutions.
Functional Exercises	Similar to drills. Participants react to simulated events (e.g., a bomb in a residence hall and an intruder with a gun in a classroom). Command staff actions are real, but movement of response personnel and equipment is simulated.
Full-scale Exercises	The most time-consuming exercise. All resources are deployed. Tests collaboration among participants with actual implementation and execution during a simulated scenario. This includes the actual mobilization of resources, response personnel, and command staff.

Source: U.S. Department of Education, *Action Guide for Emergency Management at Institutions of Higher Education*, 2010.

The institutions reported that they revise their plans and conduct emergency management exercises and drills as required by TBR’s guideline. Emergencies for which universities conducted exercises included severe weather events, active shooter incidents, and medical emergencies. However, based on our review of information submitted by the schools, the exercises conducted by the schools may not comply with the annual drill required by the federal Clery Act. In addition, the plan reviews and revisions may not be consistently thorough or well-documented. Schools described processes of committees updating plans, and one reported that it

will “amend as necessary.” Results of emergency exercises are documented in writing or using software. It is not clear from the responses that there is consistency or oversight to ensure compliance with Clery Act requirements. See Tables 25 and 26.

**Table 25**  
**University Emergency Plan Tests**  
 July 1, 2012, Through May 31, 2013

	University Response					
	Austin Peay	East Tennessee	Middle Tennessee	Tennessee State	Tennessee Tech	University of Memphis
<b>Information Requested</b>						
Plan testing for July 1, 2012, through May 31, 2013.	Housing and Resident Life conducted a full-scale fire drill once a semester for the resident halls and the housing office and retain the results of the evacuation drill on file. The Campus Police Department participated in a tabletop exercise in December 2012 on a severe winter storm. An active shooter tabletop exercise was held in March 2013.	One tabletop exercise was held during the period of July 1, 2012, through May 31, 2013, regarding tornado and damage to a resident hall.	Tornado siren tests monthly. Sirens are located at the main campus and at the Tennessee Miller Coliseum. Announced by public safety prior to the day of the drill. Each residence hall conducts a minimum of two fire exit drills each semester, one announced with notice given to all building staff and residents, and one unannounced. Additional fire exit drills are conducted each year in five non-residential buildings.	None.	Annually, through the Local Emergency Planning Committee. Tabletop exercise with the committee in July 2013 regarding an active shooter and hostage situation.	October 2012; tabletop exercise - explosive device on campus scenario. November 2012, tabletop exercise (Lambuth Campus) - bomb threat scenario. April 2013, functional exercise - medical emergency scenario. June 2013, tabletop exercise - earthquake scenario.
Incidents for calendar year 2012 that required the emergency preparedness plan to be implemented.	None.	One event in calendar year 2012 - armed subject possibly entered a residence hall. An alert was sent to the campus community, and local law enforcement was involved.	Bomb threat occurred on December 20, 2012.	Bomb threat occurred on April 17, 2013. Required response of local law enforcement, bomb squad and the Federal Bureau of Investigation.	None.	None.

**Table 26**  
**Community College Emergency Plan Tests**  
 July 1, 2012 Through May 31, 2013

Information Requested	Community College Response					
	Chattanooga	Cleveland	Columbia	Dyersburg	Jackson	Motlow
Plan testing.	We test the plan as often as practical, ideally at least every quarter with various components of the college. (2012, tabletop: pedestrian hit by car; crowd management; observation of UTC EOC exercise regarding a natural gas explosion; nuclear plant incident scenario) (2012, Risk Assessment) (2013, awareness training; building evacuation; shooter; fire situations; tabletop planning; flood.)	At least two times a year, we have fire drills by individual buildings for the entire campus and included alarms/sirens, evacuation. April 2013 - tornado preparedness drill. October and November 2012 - fire drills.	Annually. Drills are announced. For example, each tornado drill includes the entire campus, while fire drills are building specific.	There are several different levels of testing, from actual lockdowns to hostage, fire, and tornado drills.	We test our emergency plan each semester of the school year. Tornado drill - February 2013. Fire/evacuation drill - March 2013. Lockdown drill - April 2013.	October and November 2012 - Bomb threat drills across all campuses. March and April 2013 drills for active shooter/intruder threat.
Incidents for calendar year 2012 that required the emergency preparedness plan to be implemented.	None.	None.	Tornado warning at a satellite campus. Police were not required to respond.	Armed gunman (not on campus) – March 2013. Campus under secure lockdown.	None.	Two events requiring the implementation of the plan for bomb threats. Law enforcement responded to both events.

**Table 26**  
**Community College Emergency Plan Tests (cont.)**  
 July 1, 2012 Through May 31, 2013

Information Requested	Community College Response						
	Nashville	Northeast	Pellissippi	Roane	Southwest	Volunteer	Walters
Plan testing for July 1, 2012, through May 31, 2013.	Various fire and severe weather drills throughout the school year.	An annual test of the emergency preparedness plan. Full-scale drills such as shelter-in-place or evacuation are practiced at each campus site. During the 2012-13 school year, Northeast State conducted an evacuation type drill at all locations and a tabletop exercise. Blountville (Main Campus Daytime and Evening) – both tests in October 2012. Gray Campus - November 2012. Elizabethton Campus – October 2012. Kingsport Academic Village - November 2012. Tabletop exercise – May 2012.	One full-scale drill, college-wide, on an annual basis. Tornado drill February 2013 at all campuses.	At the start of every semester, active drills are performed with all students, faculty, and staff. Emergency Public Address/fire notification is monthly. September 2012 – two lockdown drills, two tornado drills, and a fire drill.	Monthly fire drills for the child care centers. Evacuation drill for child care centers in June 2013. Annual fire alarm test in October 2012. Campus emergency phone drill and emergency warning siren, weekly test.	At a minimum, annually. evacuation/fire drills – Springfield April 3, 2013. Main campus April 10, 2013 and Livingston April 17, 2013. Tornado drills – Main Campus October 24, 2013, and Livingston December 4, 2012. Fire drill – Springfield July 27, 2013.	A text messaging system was implemented in August 2012. Testing was done among committee members prior to the beginning of fall semester 2012.
Incidents for calendar year 2012 that required the emergency preparedness plan to be implemented.	None.	None.	None.	None.	None.	No major incidents; only fire alarm activation and medical emergencies.	None.

Two universities (ETSU and MTSU) reported one incident in 2012 that resulted in plan activation. Two community colleges reported incidents that required plan activation—Dyersburg State Community College and Motlow State Community College.

### Collaboration With the University of Tennessee System

In April 2013, the University of Tennessee system and the Tennessee Board of Regents signed a *Memorandum of Understanding* and agreed to identify and share resources between campuses in the event of a natural or manmade disaster. Emergency planning staff from both the University of Tennessee system and the Tennessee Board of Regents met in April 2013 to discuss collaborating on emergency planning and instituting peer review programs among their institutions. The meeting included discussions of training exercises; emergency planning training classes; and software available for mapping and managing resources during emergencies. During that meeting, the Emergency Services Coordinator from the UT system stated that the Cleary Act requires an annual, full-scale evacuation of the campus, which would have significant impact.

### Conclusion

Based on our review of documentation, it appears that the TBR institutions have implemented Guidance B-100 and prepared Emergency Management Preparedness Plans. The plans include campus-specific risks such as tornados and earthquakes. One institution, Pellissippi State Community College, is in the process of hiring a consultant to improve its plan. Although the institutions reported that they are reviewing and updating plans, the thoroughness of that review is not well-documented.

Because of the complexity of emergency management and federal requirements to conduct annual drills, the Tennessee Board of Regents should take additional steps to implement oversight of the emergency planning at the institutions. While campus security may be able to confirm an active shooter threat, they will need input from other sources for infectious disease emergencies and weather emergencies. Campus security issues are often changed and updated. For example, guidelines for responses to active shooter emergencies recently changed and the reauthorization of the Violence Against Women Act will require college campuses to revise policies and procedures. In the event of an emergency, an approved plan that includes a standardized set of elements would allow multiple entities to work together to coordinate responses. Standardization of plans and training could result in cost-savings for some of the universities and community colleges whose risks might be similar. Providing consistency in the approach to emergency situations and training would permit the various campuses to implement emergency planning effectively and efficiently.

### **Recommendation**

The Tennessee Board of Regents (TBR) should take additional steps to oversee emergency planning at the institutions. TBR should consider designating a central point of authority responsible for monitoring emergency management programs at the institutions and

providing guidance for consistent and continuous emergency planning efforts. This includes periodically reviewing current standards and criteria for emergency planning; determining the frequency and types of testing of plan elements; and documenting test results to update the plans.

### **Management's Comment**

We concur. The Tennessee Board of Regents staff will engage in the process of reviewing existing Board policies and guidelines governing emergency planning and will consider the recommendations contained within this finding during that process. This review process should be completed by September 2014.

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- 9. Because the background checks for housing staff applicants conducted by the Tennessee Board of Regents universities are not based on fingerprint submissions and fingerprint procedures are not consistent with statute, the General Assembly may wish to consider amending the statute to clarify the type of background check and fingerprint procedures the universities should require**

### **Finding**

Section 49-7-149, *Tennessee Code Annotated*, effective July 1, 2011, requires anyone applying for a job at housing facilities owned or operated by a public university and who will have access to student rooms or apartments (including resident assistants), prior to being hired, to supply a fingerprint sample and submit to a criminal history records check “to be conducted by the Tennessee Bureau of Investigation (TBI) and the Federal Bureau of Investigation (FBI) or other vendor contracted for the same purposes.” The statute also prohibits anyone on a sex offender registry from being employed in a position where the person has access to students’ rooms and apartments. Statute is not clear as to whether the legislature intended a TBI background check or a vendor name-based check. The background checks conducted by the TBR universities may not provide the level of information that could be obtained with a TBI/FBI check, and one university is obtaining thumbprints instead of fingerprints as required by statute. (See a similar finding in the January 2014 sunset performance audit of the University of Tennessee Board of Trustees.)

In June 2011, the Board of Regents’ General Counsel sent a memorandum addressed to university presidents and legal counsel notifying them of the requirements in TCA 49-7-149 and providing procedures for the universities to use to implement the requirements using a vendor (TrueScreen) to perform a name-based background check. Per the memo, the procedures are to be applied to

- all students employed as resident directors and assistants who live in student housing and have key access to student rooms, and

- new employees in housekeeping and maintenance who have key access to student rooms or apartments.

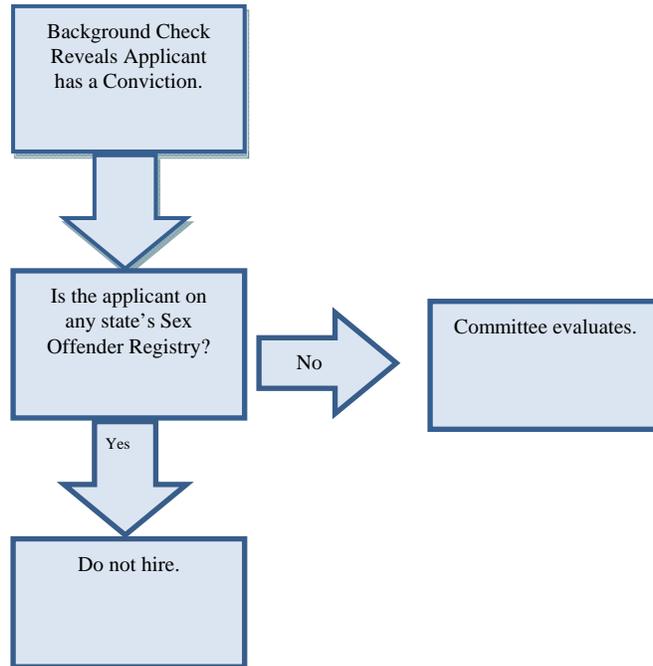
The General Counsel also recommended that the procedures be applied to employees of contracted maintenance or janitorial services (if they have key access to student rooms and apartments).

All job applicants in the categories described above are required to provide a fingerprint sample and submit to the vendor name-based criminal history records check that includes 1) a social security number trace and address locator, 2) a multijurisdictional criminal database, 3) a U.S. criminal records history, and 4) a national sex offender registry query. The results of the background check are kept on file in the Office of Human Resources. If the applicant's name is on any state's sex offender registry, he or she cannot be hired. Because the vendor background checks are not fingerprint-based, the background checks may not provide the TBR universities with the level of information that could be obtained with a TBI/FBI check. According to a TBI fingerprint specialist, fingerprints are a unique identifier and cannot be altered, unlike name and social security number.

The universities obtain fingerprints (MTSU obtains only a thumbprint) and keep them on file at each institution's Office of Human Resources. The prints are not used to conduct background checks.

If the applicant has convictions but is not on a sex offender registry, a committee reviews the results and makes the final determination to hire or not to hire. The General Counsel suggested committee members be the Director of Human Resources; the Director of Campus Safety and Risk Management; and the Director of Campus Security or the Institutional Legal Counsel. The hiring determination is to be based on the type and severity of conviction, as well as the time that has elapsed since the conviction.

## Process to Determine Eligibility for Hiring



The memo also states that current resident assistants, resident directors, housing staff, or custodial staff with access to student rooms or apartments must report any arrest, citation, charge, conviction, or plea of no contest to their Department of Human Resources immediately upon arrest or conviction.

The following table is a summary of additional information obtained from each institution regarding their compliance with statute.

**Table 27**  
**University Responses to Questions on**  
**Compliance with TCA 49-7-149**  
**May – July 2013**

Question	Responses					
	APSU	ETSU	MTSU	TSU	TTU	UM
Date institution implemented fingerprinting and criminal history background checks for student housing job applicants.	July 2011	July 1, 2011, was the effective date. The first employees to actually be fingerprinted were those who started work in August 2011.	Employment decisions for the fall 2011 semester had already been made and put in place prior to the statute's effective date of July 1, 2011. Began conducting background checks and obtaining fingerprint samples on Housing staff in October 2011 for spring 2012 applicants. At that time it was determined to also run checks and collect fingerprints from those individuals hired prior to July 1, 2011.	TSU Police Department commenced obtaining fingerprint samples from current students and appropriate student housing personnel on July 25, 2013.	The Human Resources Department has been conducting background checks for seven years. Campus police began fingerprinting in November 2011.	Began collecting fingerprinting cards of new hires effective July 1, 2011.
Department responsible for administering background checks and fingerprinting.	Office of Housing/ Residence Life	For full-time positions, the Office of Human Resources performs the background checks through a vendor; fingerprinting is completed by the university's Department of Public Safety.  For student employees, the Department of Housing requests background checks through vendor, and the Department of Public Safety fingerprints the staff.	The Human Resource Services Department – Employment Group is responsible for administering the background checks. Housing & Residential Life obtains the fingerprints.	Office of Human Resources handles background checks. The TSU Police Department handles fingerprinting services.	Human Resources administers background checks. Campus police handle the fingerprint samples.	The Department of Human Resources coordinates the background checks with a vendor. Fingerprinting is managed by the university's Police Services Department.
Number of background checks performed since statute implemented; number of applicants deemed ineligible for hire.	113, 0	Full time: 73, 0  Student: 168, 1	583, 4	TSU did not provide the number of background checks performed but said that no employees have been denied employment based upon criminal background checks.	195, 0	77, 1

<p>Background check results that deem an applicant ineligible for employment, other than listed on Sex Offender Registry.</p>	<p>Felony and misdemeanor</p>	<p>In determining an applicant's suitability for employment where the applicant has criminal convictions on his/her record, consideration will be given to the specific duties of the position, the number of offenses and circumstances of each, the age of the conviction(s), and the accuracy of the explanation on the application. In all instances where information is obtained that may disqualify the candidate for hire, the file will be forwarded to the Background Screening Committee to make the final determination and appropriate notifications.</p>	<p>Deem an applicant ineligible for employment if the candidate had any felony convictions or any conviction (felony or misdemeanor) related to violence or sexual offenses. Misdemeanors that are not related to violence or sexual offenses are considered on a case-by-case basis and considerations would include the length of time elapsed since conviction, the type of misdemeanor, and the type of position that the candidate is applying for.</p>	<p>Look at convictions, length of time since conviction, types as related to specific positions, minor vs. adult convictions, etc.</p>	<p>In the event that something was to come up on a criminal background check, the department would decide on a case by case basis whether to hire the individual. Crimes such as theft, assault, and sexual charges would indicate the individual would not be hired.</p>	<p>Review charges based on an internally developed matrix of offenses.</p>
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To determine compliance with statute, we obtained a list of all housing personnel with access to student rooms or apartments hired between January 1, 2013, and August 31, 2013. In addition, we also looked at Tennessee State University's hires in 2011 and 2012 who were required to be fingerprinted and have a criminal history check. We selected the number of files to review from each campus in proportion to the number of hires at each campus with a sample size not to be less than 4 and increasing the sample size if the hire dates were out of the range requested. Thus, our judgmental sample of 42 people ranged from 10% to 20% of the total hires reported by each campus. For each hire chosen, we reviewed background check and fingerprint documentation. The results, in Table 28, cannot be projected to the general population of hired housing employees.

**Table 28**  
**TBR**  
**Housing Employees Fingerprint and Background Check Testwork Results (4)**  
**As of September 2013**

	Institution											
	APSU		ETSU		MTSU		TSU		TTU		UoM	
	Reviewed	Results	Reviewed	Results	Reviewed	Results	Reviewed	Results	Reviewed	Results	Reviewed	Results
Criminal History Check Completed Prior to Hire Date	8	8	4	4	8	5	8	1	10	10	4	3
Applicant Determined Eligible	8	8	4	4	8	8 (5)	8	7 (1)(2)	10	10	4	4
Fingerprints Taken Prior to Hire Date	8	8	4	4	8	6	8	0 (3)	10	8	4	3

- (1) Two of the six background checks were designated by the vendor as “a la carte” and did not include a check of the sex offender registry. Four background checks were designated Package L and included a check of the national sex offender registry. Therefore, it is not clear whether the two employees with “a la carte” checks would have been cleared to work.
- (2) One of the seven employees did not have a background check. That employee was hired in February 2012, and according to TSU, this was prior to any background checks being conducted. However, three of the employees in the sample hired prior to February 2012 had a background check.
- (3) According to TSU, one of the eight employees in the sample does not have access to rooms and is not required to have a background check or submit fingerprints.
- (4) The judgmental sample is from a list of housing employees hired between January 1, 2013, and August 31, 2013.
- (5) According to the housing director, employees are not scheduled to work until “their background check is returned clean or there has been discussion surrounding anything that appears on the background check.”

MTSU, TSU, and UoM did not comply with the requirement to complete background checks prior to hiring. The number of days after hire that background checks were completed ranged from 8 to 37 for MTSU; 16 to 260 for TSU; and 10 for UoM.

MTSU, TSU, TTU, and UoM did not obtain fingerprints from applicants prior to hiring. APSU, ETSU, TSU, TTU, and UoM have applicants submit fingerprints on a card, while MTSU has applicants submit a thumbprint on a disclosure form. The number of days after hire that fingerprints/thumbprints were obtained ranged from 2 to 33 for MTSU; 23 to 716 for TSU; 5 to 244 for TTU; and 2 for UoM.

Based on our review of documentation provided, the universities are not completing criminal background checks and/or obtaining fingerprint submissions prior to hiring housing employees. One university, Tennessee State University, completed a background check for two employees that did not include a check of the sex offender registry.

### **Recommendation**

The Tennessee Board of Regents' (TBR) Office of General Counsel should work with housing staff at the universities to ensure the schools are correctly interpreting and applying the requirements of Section 49-7-149, *Tennessee Code Annotated*. Procedures and forms should be standardized to ensure compliance and to aid the universities' implementation of the statutes. TBR's Office of General Counsel should consult with the Tennessee Bureau of Investigation to determine if the background checks the vendor conducts are providing the level of information needed to determine if applicants should be hired.

The General Assembly may wish to consider statutory changes to clarify its expectations for the type of background check the universities should conduct—a TBI background check or a vendor name-based check. The General Assembly may wish to consider statutory changes to clarify the intended use of the fingerprints obtained from applicants (i.e., whether the General Assembly intended for universities to simply take the fingerprints and file them, not use them for a background check).

### **Management's Comment**

We concur in part. To the extent that universities are not following the guidance issued by the Office of General Counsel on June 10, 2011, the TBR Department of Human Resources and the Office of General Counsel will work with the universities to ensure they understand the requirements of Section 49-7-149, *Tennessee Code Annotated*, and comply with those requirements in a timely manner. This will be completed by July 2014.

Management does not agree that TBR's interpretation of Section 49-7-149, *Tennessee Code Annotated*, as contained in the General's Counsel's memo of June 10, 2011, is incorrect. This interpretation is based upon discussions between TBR and the sponsors of the legislation

regarding the challenges of obtaining a TBI- or FBI-conducted background check from fingerprints and the bill's amendment addressing those concerns.

## **Results of Other Audit Work**

### Federal Law Requires Timely Emergency Warnings to Campus Community

Postsecondary educational institutions that participate in federal student aid programs are required by the Clery Act to create an annual security report disclosing certain campus crime statistics; campus security policies about timely emergency warnings and reporting crime; and fire safety information. (See Appendix 3 for crime statistics for the TBR universities.) Each institution must distribute its annual security report and a fire safety report to all enrolled students and current employees by October 1 of each year. An institution can fulfill this requirement by posting a copy of the annual security report to its website and notifying students and employees of its location, or through direct mail. In 2008, amendments to the Higher Education Opportunity Act amended the Clery Act and created additional safety and security requirements for institutions. Additionally, each institution must notify prospective students and applicants for employment about its annual security report and, upon request, provide it. The report must contain statistics for the last three calendar years.

The Office of Postsecondary Education in the U.S. Department of Education published *The Handbook for Campus Crime Reporting* to provide guidance for meeting the Clery Act's requirements. According to the handbook, Clery Act compliance includes policy statements and information gathering from a variety of sources, as well as issuing alerts, disseminating information, and keeping records. The requirements are complex and can be time-consuming for institutions. (See a similar report of work done in the January 2014 Sunset performance audit of the University of Tennessee Board of Trustees.)

### *Methods Used to Transmit Safety Information and Types of Physical Security*

The TBR institutions use a variety of methods to report safety information and to provide physical security. Section 6, Evacuations and Relocations, of TBR Guideline B-100: *Institutional Emergency Preparedness Plan*, states that "notification of evacuation may be accomplished by phone, radio, loudspeaker, or by personal contacts. Institutions may develop a unique siren sound for evacuations and to notify the campus community of such siren." The institutions' notification methods include email, website postings, and text messaging. (See Table 29.) Dyersburg also has a desktop computer alert system that sends alerts to all computers in use on campus. Walters State uses voice-over Internet to audibly alert and/or evacuate building occupants in case of emergency. The institutions also have fire alarms, emergency call boxes, and security cameras to monitor the safety of the campus community. (See Table 30.)

**Table 29**  
**Methods Used to Transmit Safety Information to Campus Community**  
**September 2013**

<b>Method and Description</b>	<b>Universities</b>	<b>Community Colleges</b>
	<b>Email</b> – Send emails to registered students, campus community members, and other interested parties.	All
<b>Website</b> – Post emergency notifications on the institution’s website.	All	All but Columbia and Southwest
<b>Text Messaging</b> – Send text messages containing emergency information to a list of registered cell phones.	All	All but Cleveland, Columbia, and Nashville
<b>Fire Panel Boxes</b> – Announce messages through the fire alarm located in each building.	All	All but Cleveland, Motlow, Northeast, and Pellissippi
<b>Radios</b> – Officials communicate to incident response personnel through provided radio equipment.	All	All
<b>Public Address System</b> – Communicate information through loudspeakers located around campus.	All but TSU	All but Cleveland, Dyersburg, Motlow, and Walters
<b>Sirens</b> – Use sirens throughout campus to signal a threat or emergency.	All	All but Dyersburg, Nashville, Northeast, Roane, Volunteer, and Walters
<b>Flat Panel Monitors</b> – Communicate safety-related information through television screens located on campus.	All	All but Chattanooga, Jackson, Motlow, Northeast, Volunteer, and Walters
<b>Reverse 911</b> – Send emergency notifications by calling local phone lines in a specific geographic location.	APSU, TTU	Roane and Walters
<b>Broadcast message to instant messaging accounts</b> – Send safety messages to registered users of instant messaging accounts.	MTSU, TTU	All but Chattanooga, Cleveland, Dyersburg, Jackson, Motlow, Nashville, Southwest, and Volunteer
<b>Broadcast message to social network accounts</b> – Send messages to registered users of a social network site.	ETSU, MTSU, TTU, UoM	All but Jackson and Motlow

**Table 30**  
**Institutions' Physical Security Features**  
**September 2013**

Security Feature		
	Universities	Community Colleges
Card Access on Doors	All	Cleveland, Columbia, Nashville, Roane
Emergency Call Boxes	All but MTSU	All but Dyersburg, Jackson, Motlow, Pellissippi, Roane; Nashville adding by end of September 2013
Fire Alarms	All	All
Safety Escort Services	All but TSU	All but Cleveland
Security Cameras	All	All but Walters
Sprinkler Systems	All	All
Timed Door Locks	All but TTU	Nashville, Roane, Southwest, Volunteer

### *Clery Act Reviews by the U.S. Department of Education*

The U.S. Department of Education (DOE) conducts reviews to evaluate an institution's compliance with the Clery Act requirements. The review can be (1) part of a general program review of the institution's activities in the federal student aid programs or (2) focused strictly on campus security and be an on- or off-site examination. The department issues a report describing compliance concerns and providing the institution the opportunity to respond. After careful review of all the information received on the findings, the department makes a decision on whether a fine is appropriate, and if so, the amount of that fine.

In May 2010, the U.S. Department of Education/Federal Student Aid-School Participation Team completed a Clery Act review at the University of Memphis. According to DOE, the university "was randomly selected from a list of institutions of higher education in the State of Tennessee with sworn police departments and was not selected as a result of any specific complaint or allegation of non-compliance." In August 2011, the DOE issued a report with four findings. The findings, DOE-required remedial actions, the university's response, and the university's remedial actions are summarized in Table 31. As of August 2013, the university has not received a final determination regarding the review results.

In March 2005, the DOE conducted a review of Dyersburg State Community College. According to school staff, there was a finding, related to the institution's annual campus security report, that several statements of policy were omitted. School officials reported that no fines were levied, the institution took corrective action, and the DOE closed the review with no further action required. In January 2012, the DOE conducted a Clery Act review at Southwest Tennessee Community College, and, according to the school, it was in compliance.

**Table 31**  
**U.S. Department of Education’s DOE Clery Act Review of the University of Memphis**  
**Report Dated August 2011**

<b>Finding by DOE</b>	<b>DOE Required Remedial Action</b>	<b>University of Memphis Response</b>	<b>University of Memphis Remedial Actions</b>
Failure to Comply with the Timely Warning Issuance and Policy Provisions – The university failed to issue a timely warning in response to an incident that posed an on-going threat to the health and safety of students and employees.	The university must review and revise its timely warning and emergency notification policies to ensure that adequate procedures are in place to facilitate the timely issuance of warnings regarding crimes that may pose an ongoing threat to the campus community.	The issuing of a timely warning must be decided on a case by case basis in light of all the facts and circumstances surrounding the crime. The university was not obligated to provide a timely warning because there was no ongoing threat to the campus community and we communicated to the campus community within 30 minutes of our knowledge of a crime on campus, even though we also knew the remoteness of any ongoing threat to the campus. We believe that our actions were sufficient to meet the standard imposed under law.	Although the University disputes that it failed to issue a timely warning, we have reviewed our policy to ensure that it complies with the requirements. The University implemented an emergency notification system that is updated on an annual basis. Timely warnings are issued by the Director or Deputy Director of Police Services.
Annual Security Report (ASR) Not Prepared and Distributed as a Single Comprehensive Document – The university did not prepare and distribute a comprehensive annual security report by October 1, 2009.	The university must ensure that the 2010 ASR include all statistical disclosures and policy, procedure, and programmatic information required. The university must develop and implement procedures for preparing and distributing the ASR in accordance with federal regulations.	The university took vigorous steps to compile all requirements, and created a comprehensive Annual Security Report. The report was transmitted via email to all faculty, staff and students. The most recent ASR was sent to the entire campus community via a direct-email.	The information has been compiled for the past two years and is in one location.
Failure to Properly Classify and Disclose Crime Statistics – The university did not compile and publish accurate and complete crime statistics for calendar year 2008.	Correct all errors in crime statistics. Ensure the university has met all requirements for each separate campus including all buildings and properties owned and controlled by recognized student organizations. Verify that crime statistics for all reportable incidents were categorized and disclosed.	The university made corrections to the discrepancies within the database. The university community has been made aware that all crimes are to be reported to Police Services. The Police Department conducts training with all personnel on proper crime statistic classification.	The university has placed an emphasis on writing narratives to support the classifications.
Failure to Maintain an Accurate and Complete Daily Crime Log – The university did not maintain an accurate and complete crime log in accordance with federal regulations.	Review and revise policies, procedures, and internal controls to ensure that all incidents of crime reported as occurring within the patrol jurisdiction are entered on the daily crime log as required.	The software has been upgraded which has improved accuracy. Dispatcher initial entry picked up by the software and dispatchers trained to ask for the corrected report classification when the officer requests a report number.	The university has designated an officer whose duties include maintaining the daily crime log and online Daily Incident Log. This officer is also responsible for updating the dispositions.

Source: University of Memphis Office of Legal Counsel.

## Clery Act Reviews by the Board of Regents' Office of General Counsel

In July 2012, the TBR Office of General Counsel sent a memo to all institutions telling them that their Office of General Counsel representative would be contacting their school's campus security staff to perform a Clery Act review. This was in response to the Freeh Special Investigative Report of Pennsylvania State University. During 2012, the Office of General Counsel staff conducted on-site Clery Act compliance reviews of 8 of 13 community colleges. Chattanooga State Community College, Cleveland State Community College, Motlow State Community College, Nashville State Community College, and Volunteer State Community College were not reviewed. According to the Office of General Counsel, these five remaining community colleges will have compliance reviews soon. In 2012, Office of General Counsel staff also conducted an on-site review of one of the six universities—Tennessee Technological University.

In December 2013, in response to the Office of General Counsel's request about Clery Act compliance, four of the five remaining universities provided documentation related to compliance and reported that they have recently reviewed or are in the process of reviewing Clery Act compliance at their campuses. East Tennessee State University provided emergency plan documentation and information on timely warnings.

In 2013, the Office of General Counsel staff completed follow-up Clery Act reviews with Jackson State Community College, Columbia State Community College, and Southwest Tennessee Community College.

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## RECOMMENDATIONS

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### LEGISLATIVE

This performance audit identified areas in which the General Assembly may wish to consider statutory changes to improve the efficiency and effectiveness of the Tennessee Board of Regent's operations.

1. The General Assembly may wish to consider whether transfer pathways should be created for all majors currently offered in Tennessee public higher education institutions as required by Section 49-7-202, *Tennessee Code Annotated*, or whether it wishes to revise this section to allow a narrow exception for majors in those fields that, by their nature, are not consistent with transfer pathways.
2. The General Assembly may wish to consider amending Section 49-7-202, *Tennessee Code Annotated*, to require only those dual-admission agreements between community colleges and universities in close geographic proximity.
3. The General Assembly may wish to consider statutory changes to clarify its expectations for the type of background check the universities should conduct—a TBI background check or a vendor name-based check. The General Assembly may wish to consider statutory changes to clarify the intended use of the fingerprints obtained from applicants (i.e., whether the General Assembly intended for universities to simply take the fingerprints and file them, not use them for a background check).

### ADMINISTRATIVE

The Tennessee Board of Regents should address the following areas to improve the efficiency and effectiveness of its operations:

1. The Tennessee Board of Regents needs to use the operational data dictionary issued by the Tennessee Higher Education Commission (THEC) in July 2013 to conduct the full range of outcome data audits required by the Complete College Tennessee Act of 2010. The Tennessee Board of Regents should conduct such audits as soon as possible.
2. Tennessee Board of Regents universities should develop monitoring systems capable of determining and reporting (e.g., on a semester or academic year basis) transferred courses that are evaluated for college credit transfer and the results of the evaluation. Monitoring reports should document courses and credit hours that are accepted and not accepted for transfer, either as requirements for college majors or electives. These reports should include reasons transfer requests are rejected and should detect trends that may indicate systemic problems (e.g., specific academic departments or professors refusing to accept college credits).

3. University officials and central office board staff should utilize monitoring data to determine, resolve, and prevent problems students may encounter when transferring courses for credit. This information should be submitted to THEC to use in preparing system-wide and statewide reports concerning difficulties that students encounter in transferring college credits at all Tennessee public universities. In addition to reports, the monitoring systems should be able to flag transfer problems that have not been resolved in a timely manner. Universities should develop related policies and procedures to timely resolve any problems flagged.
4. The Tennessee Board of Regents, along with the University of Tennessee Board of Trustees and the Tennessee Higher Education Commission, should ensure that all transfer pathways required by the Complete College Tennessee Act of 2010 are developed as soon as possible, given that they were required by fall 2011.
5. The Tennessee Board of Regents, in cooperation with the University of Tennessee Board of Trustees, should make efforts to resolve the issue of several transfer pathways for the field of economics, without compromising the quality of the bachelor's degree in this field. The two university systems should also determine and implement a plan to offer the geography pathway at community colleges. In addition, both university systems should agree to common descriptions for the Tennessee Transfer Pathways website on the advantages and disadvantages of Associate of Arts and Associate of Science degrees for those pathways offering both types of associate's degree.
6. The Tennessee Board of Regents should ensure that all its institutions and campuses give significant attention to the Tennessee Transfer Pathways information on their home websites, including clearly and explicitly linking to the statewide Tennessee Transfer Pathways website. Transfer pathway information on these home websites should include easily accessible, brief, and clear descriptions of the Tennessee Transfer Pathways' advantages. In addition, these websites should have easily accessible contact information for current and prospective students to use to obtain more detailed descriptions of the program's requirements. The statewide Tennessee Transfer Pathways website should provide information that any required prerequisite courses, including remedial and developmental coursework, would cause the total hours for an associate's degree to exceed 60 hours.
7. The Tennessee Board of Regents universities and community colleges should complete all dual-admission agreements, as required by Section 49-7-202, *Tennessee Code Annotated*.
8. Tennessee Board of Regents, institution, and foundation staff should ensure that all required legal language, as recommended by the board's General Counsel, are in foundation affiliation agreements with institutions, and that institutions and foundations adhere to those provisions.

9. Tennessee Board of Regents university and community college financial officers, foundations, and their associated boards should disclose the value of all contributed services in compliance with financial standards. Universities and community colleges should follow the board General Counsel's recommendation to explain in affiliation agreements all services provided to the foundations.
10. The Tennessee Board of Regents should take additional steps to oversee emergency planning at the institutions. TBR should consider designating a central point of authority responsible for monitoring emergency management programs at the institutions and providing guidance for consistent and continuous emergency planning efforts. This includes periodically reviewing current standards and criteria for emergency planning as well as determining the frequency and types of testing of plan elements and documenting test results to update the plans.
11. The Tennessee Board of Regents' Office of General Counsel should work with housing staff at the universities to ensure the schools are correctly interpreting and applying the requirements of Section 49-7-149, *Tennessee Code Annotated*. Procedures and forms should be standardized to ensure compliance and aid the universities' implementation of the statutes. TBR's Office of General Counsel should consult with the TBI to determine if the background checks the vendor conducts are providing the level of information needed to determine if applicant should be hired.

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## APPENDICES

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### Appendix 1 Examples of Additional Course Fees 2013-2014 Academic Year

Austin Peay State University	
\$28/credit hour	Undergraduate online course fee per credit hour (non RODP)**
\$45/credit hour	Graduate online course fee per credit hour (non RODP)**
\$30/credit hour	Business course fee for upper division and graduate (per credit hour)
\$90/semester	Nursing clinical skills fee**
\$15/lab	Science consumables fee (per lab)**
\$25/credit hour	Nursing differential maintenance fee
\$25/credit hour	Education Ready2Teach fee for upper division and graduate education courses

\* Regents Online Degree Programs.

\*\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).

Source: Austin Peay State University.

East Tennessee State University	
<i>Anatomy &amp; Cell Biology/College of Medicine:</i>	
\$250 (flat)*	Cell and tissue biology
<i>Art Fees:</i>	
\$20/credit hour	Studio art courses*
\$15 (flat)*	Art history courses
<i>College of Business/Technology Courses:</i>	
\$25/credit hour	College of Business courses
\$100/credit hour	Digital media Fee
\$12 (flat)*	Computer and Information Science fee
<i>Surveying/Engineering Tech and Interior Design:</i>	
\$20/credit hour	Engineering Technology*
\$20/credit hour	Interior Design*
\$20/credit hour	Surveying and Mapping*
<i>Mass Communications: Radio &amp; Television:</i>	
\$50/credit hour	JOUR 2400, 3130, 3301, 3350*
\$50/credit hour	PUBR 2770, 3770, 4301, 5301*
\$50/credit hour	RTVF 2600, 2604, 3600 3602, 3640, 3651, 3661, 4401, 4600, 4604, 4661, 4680, 4690, 4700*
\$50/credit hour	MCOM 2400*

East Tennessee State University	
<i>Health-Related Professions:</i>	
\$6-8	Supply fee/gloves*
\$8	Instrument fee*
\$300	Personal instrument fee*
<i>Dental Hygiene:</i>	
\$450 (flat)*	DHYG2031, 2131, 4021
<i>Physical Therapy:</i>	
\$20 (flat)*	Community and Behavioral Health
\$30/credit hour	Physical Therapy (6000-7000 level courses)
<i>Academic Health Science Course Fees:</i>	
\$40/credit hour	Various courses.
<i>Social Work:</i>	
\$50 (flat)*	Social work course fee
<i>Physical Education &amp; Exercise Science:</i>	
\$30 (flat)*	PE Assessment Fee
\$30/credit hour	PHED 3085, 3095, 3850, 4001, 4007, 4250, 4700, 4717*
\$15 (flat)*	PEXS (Exercise Science) 4061
<i>Public Health:</i>	
\$20 (flat)*	CPR training
\$12 (flat)*	CPR re-training
<i>Science Lab Fees:</i>	
\$35 (flat)*	Biological Science fee
\$20 (flat)*	Physics fee
\$30 (flat)*	Chemistry fee
\$20 (flat)*	Astronomy Materials fee
\$35 (flat)*	Geosciences laboratory fee
<i>College of Education:</i>	
\$25/credit hour	All 3000-4000 level courses, and all 5000-7000 level courses that are part of initial licensure
<i>Online Courses:</i>	
\$25/credit hour	Undergraduate*
\$35/credit hour	Graduate*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: East Tennessee State University.

Middle Tennessee State University	
<i>College of Business:</i>	
\$25/credit hour	Various courses
<i>College of Education:</i>	

Middle Tennessee State University	
\$25/credit hour	All upper division education courses (3000-4000 level) and all 5000, 6000, and 7000 level courses in initial licensure programs
<i>Concrete Management:</i>	
\$135/course	Applies to CIM 3000 and CIM 3050*
<i>Distance Education:</i>	
\$10/credit hour	Undergraduate online courses (except RODP)*
\$15/credit hour	Graduate online courses (except RODP)*
<i>Nursing:</i>	
\$25/credit hour	Nursing 3000-6000 level courses
\$34/course	Testing fees: Nursing 3000, 3030, 3170, 3350, 3530, 3550, 3570, 4330, 4350, 4530, 4550, 4570*
<i>Air Traffic Control Lab Fee:</i>	
\$1800/course	AERO 3631, 3641, 4651, 4661*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Middle Tennessee State University.

Tennessee State University	
\$25/credit hour	All business courses (except Business Orientation, Principles of Economics and Intro to Statistical Analysis I)
\$25/credit hour	All engineering courses (except Engineering Orientation)
\$25/credit hour	All Associate Applied Science in Nursing and upper division and graduate nursing courses
\$75/lab	Health Information Management courses: 2030, 2350, 2400, 3010, 3300*
\$25/credit hour	Education courses
\$25/course	All Biology, Chemistry and Physics labs*
\$75/clinical course	All cardio-respiratory clinic classes*
\$75/clinical course	Dental Hygiene clinic classes*
\$30/course	Dental Hygiene laboratory fee: various courses *
\$50/pre-clinic lab	Rental fee for mannequins used by Dental Hygiene students*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Tennessee State University.

Tennessee Technological University	
\$30/credit hour	Engineering Specialized Academic Fee
\$25/credit hour	Business Specialized Academic Fee
\$30/credit hour	Nursing Specialized Academic Fee
\$25/credit hour	Education Specialized Academic Fee
\$10/credit hour	Art fee - selected art courses*
\$15/credit hour	Alternative Delivery Fee (undergraduate)*
\$30/credit hour	Alternative Delivery Fee (graduate)*
\$91/credit hour	Craft Center metals course*

Tennessee Technological University	
\$152/credit hour	Craft Center glass course*
\$80/credit hour	Craft Center clay course*
\$88/credit hour	Craft Center wood course*
\$72/credit hour	Craft Center fibers course*
\$41/credit hour	Craft Center photography course*
\$39/credit hour	Craft Center figure studies model fee*
\$254/course	Nursing upper division assessment testing (one-time fee)*
\$11.90/course	Nursing malpractice insurance*
\$80/kit	Nursing practice lab kit*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Tennessee Technological University.

University of Memphis	
\$30/credit hour	Broadcast and Film/video course fee
\$35/credit hour	Business course fee (3000+ level)
\$15/credit hour	Communication Sciences and Disorders graduate course fee
\$35/credit hour	Engineering course fee
\$30/credit hour	Fine Art course fee*
\$30/credit hour	Nursing course fee (upper division and graduate)
\$25/credit hour	Teacher Education course fee

\* Fee that does not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: University of Memphis.

Chattanooga State Community College	
\$20/course	Art fee (per designated course)*
\$75/credit hour	Music fee (per designated course)*
\$25/course	Online course fee*
\$25/course	Registered Nurse lab fee (per designated course)*
\$50/course	Respiratory Care fee (per designated course)*
\$50-65/course	MyLab Course fees (depending on the designated course)*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Chattanooga State Community College.

Cleveland State Community College	
\$35/course	Art*
\$55	CPR fee*
\$42.70	Emergency Medical Technician (EMT) malpractice fee (fall)*
\$28.19	EMT malpractice fee (spring)*
\$14.51	EMT malpractice fee (summer)*
\$75/course	Math*
\$30/course	Nursing course*
\$150	Police Academy*

Cleveland State Community College	
\$10.15	Malpractice fee (fall)*
\$6.71	Malpractice fee (spring)*
\$3.44	Malpractice fee (summer)*
\$45	Music lab (1 hour)*
\$75	Music lab (2 hour)*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Cleveland State Community College.

Columbia State Community College	
\$25/credit hour	Health Sciences academic course fee
\$35/credit hour	Internet course fee*

\* Fee that does not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Columbia State Community College.

Dyersburg State Community College	
\$60/credit hour	Applied Music fee*
\$34.75/credit hour	Online course fee (non RODP)*
\$25/credit hour	Nursing
\$40	Paramedic testing fee*
\$63	Health Information Technology medical insurance fee*
\$300	Health Information Technology 2250 testing fee*
\$20/lab	Biology lab fee*
\$15	Nursing liability insurance*
\$132	Nursing ATI testing fee*
\$50/course	Pearson MyMath Lab fee*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Dyersburg State Community College.

Jackson State Community College	
\$36	NUR 110; nursing exam fee*
\$102	NUR 140; nursing exam fee*
\$23	NUR 180; nursing exam fee*
\$95	RCT 249; respiratory care exam fee*
\$95	RCT 252; respiratory care exam fee*
\$35	PTA 270; physical therapy exam fee*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Jackson State Community College.

Motlow State Community College	
\$39/semester	Freshman Nursing competency test fee*
\$48.50/semester	Sophomore Nursing competency test fee*
\$25	Nursing lab fee*
\$15	Science consumables fee*
\$50	Nursing entrance exam fee*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Motlow State Community College.

Nashville State Community College	
\$25/credit hour	Special nursing course fee

Source: Nashville State Community College.

Pellissippi State Community College	
\$725/credit hour	Culinary Arts fee
\$25/credit hour	Nursing fee

Source: Pellissippi State Community College.

Roane State Community College	
\$18/credit hour	Distance Education fee (non RODP)*
\$40	Health Science preadmission test fee*
\$30	Licensed Practical Nurse (LPN) nursing test fee*
\$40	Nursing preadmission test fee*
\$15/course	Science lab fee*
\$25/credit hour	Specialized nursing course fee
\$25/credit hour	Specialized Allied Health Science fee

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Roane State Community College.

Southwest Tennessee Community College	
\$35/lab	Food Preparation*
\$15/lab	Foundations of Nursing*
\$15/lab	Adult Health Nursing I*
\$15/lab	Adult Health Nursing II*
\$40/lab	Quantity Cookery*
\$40/lab	Catering/Special Food Services*
<i>Nursing and Allied Health Program Fees:</i>	
\$20/credit hour	Nursing and Allied Health Program fees
\$70	National League for Nursing (NLN) Pre-Exam*
\$11	NLN Achievement Exam*
\$14.50	EMT malpractice insurance charge*
\$25	Health occupational test charge*

Southwest Tennessee Community College	
\$19	Health Education Systems, Inc. (HESI) comprehensive exit exam*
\$20	HESI Adult Health Nursing I customized exam*
\$14.50	Medical Laboratory Technician malpractice insurance*
\$25	Paramedic pre-exam*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Southwest Tennessee Community College.

Volunteer State Community College	
\$10/lab	Science lab fee (Anatomy and Physiology I)*
\$20/lab	Science lab fee (Anatomy and Physiology II)*

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Volunteer State Community College.

Walters State Community College	
\$25/credit hour	Allied Health fee
\$10/credit hour	Distance Education fee (non RODP)*
\$20/credit hour	Culinary Arts
\$45/credit hour	Music fee*
\$15/lab (flat)*	Natural Science material fee
\$30 (flat)*	Culinary Arts- CULN 2990
\$119 (flat)*	Basic Police Recruit School

\* Fees that do not fall under Section 8 of Guideline B-060 (Specialized Academic Fees).  
Source: Walters State Community College.

## **Appendix 2**

### **Emergency Planning Resources Available to Institutions**

There are a number of federal resources available for emergency management planning for universities (see Finding 8 in the Special Section on Campus Safety). Below is a summary of the existing federal programs:

- **U.S. Department of Homeland Security.** In March 2004, the U.S. Department of Homeland Security, through the Federal Emergency Management Agency (FEMA), published the *National Incident Management System Guide* that provides a standardized approach to incident management and response. With processes and procedures for the use of emergency responders, the National Incident Management system (NIMS) provides a standardized template that can be used to prevent, protect against, respond to, recover from, and mitigate the effects of incidents. According to the guide, a comprehensive emergency management program requires a continuous cycle of planning, organizing, equipping, exercising, evaluating, and taking corrective action. In September 2011, the *NIMS Training Program Guide* was published with a NIMS training curriculum. Adoption of NIMS is a condition for the receipt of federal preparedness funds, including grants, contracts, and other activities.
- **National Campus Safety and Security Project** is a joint endeavor between the National Association of College and University Business Officers and a consortium of leading professional organizations committed to campus safety and security. The goal is to document the current state of college and university emergency preparedness to inform the higher education community about the scope of campus safety and security. The project is intended to set a baseline picture of the state of campus security with the expectation that by detailing and conveying the information, colleges and universities will continue to improve their emergency preparedness.
- **U.S. Department of Education *Action Guide for Emergency Management at Institutions of Higher Education*** was developed to give higher education institutions a useful resource for emergency management. It is intended for community colleges; four-year colleges and universities; graduate schools; and research institutions associated with higher education entities, both public and private. It can be used as a starting point in researching emergency management; as a resource for an initiative to develop and implement an emergency management plan at a higher education institution; or as a reference and resource for colleges and universities looking to evaluate their emergency management programs to identify potential areas needing enhancement.
- **FEMA *Guide to Building a Disaster-Resistant University*** is a “how-to” guide that complements the FEMA State and Local Mitigation Planning how-to guides, which provide planning guidance for creating and implementing a hazard mitigation planning process. The guide provides basic information designed for institutions just getting started, as well as concrete ideas, suggestions, and practical experiences for institutions that have already begun to take steps to becoming more disaster-resistant.

- **FEMA *Comprehensive Preparedness Guide 101: Developing and Maintaining Emergency Operations Plans, Version 2.0*** provides guidance for developing emergency operations plans and promotes a common understanding of the fundamentals of risk-informed planning and decision making to help planners examine a hazard or threat and produce integrated, coordinated, and synchronized plans. The goal of the guide is to assist in making the planning process routine across all phases of emergency management and for all homeland security mission areas.
- **National Fire Protection Association/NFPA 1600: Standard on Disaster/Emergency Management and Business Continuity Programs (2013)** is the national preparedness standard used by public, not-for-profit, nongovernmental, and private entities on a local, regional, national, international, and global basis and has been adopted by the U.S. Department of Homeland Security as a voluntary standard for emergency preparedness. The provisions cover the development, implementation, assessment, and maintenance of programs for prevention, mitigation, preparedness, response, continuity, and recovery.
- **FEMA Emergency Management Institute Mission (EMI)** supports the Department of Homeland Security and FEMA's goals by improving the competencies of the U.S. officials in emergency management at all levels of government to prepare for, protect against, respond to, recover from, and mitigate the potential effects of all types of disasters and emergencies on the American people. EMI is the emergency management community's flagship training institution and provides training to federal, state, local, tribal, volunteer, public, and private-sector officials to strengthen emergency management core competencies for professional, career-long training. EMI directly supports the implementation of the National Incident Management System, the National Response Framework, the National Disaster Recovery Framework, and the National Preparedness Goal by conveying necessary knowledge and skills to improve the nation's capability. EMI trains more than two million students annually. Training delivery systems include residential on-site training; off-site delivery in partnership with emergency management training systems, colleges, and universities; and technology-based mediums to conduct individual training courses for emergency management personnel across the nation. EMI is located on the campus of the National Emergency Training Center in Emmitsburg, Maryland.
- **The International Association of Campus Law Enforcement Administrators (IACLEA)** advances public safety for educational institutions by providing education resources, advocacy, and professional development services. A major IACLEA member service is the Loaned Executive Management Assistance Program, which provides confidential assistance to improve the administration, management, or operations of a police, public safety, or security agency and may aid to implement improved practices and techniques. IACLEA also offers an online social networking and collaboration system that allows members to connect online with other members and share resources and a resource library.

- **IAEM-USA Universities and Colleges Caucus** represents the emergency management issues surrounding college and university campuses and provides emergency managers from higher education institutions a say on a national and international scale to ensure their needs are being addressed by government and industry officials.

**Appendix 3**  
**Crime Statistics for the Board of Regents Universities**

The table below contains the 2011 crime statistics reported to the United States Department of Education by the universities in the Tennessee Board of Regents system. Each campus is required to compile and report crime statistics for the categories below each calendar year. The statistics are required to be submitted to the department by October 1 of the following year.

**Tennessee Board of Regents**  
**2011 University Crime Statistics Reported to U.S. Department of Education**

2011	APSU	ETSU	MTSU	TSU	TTU	UM	TBR total
<b>Criminal Offenses</b>							
On campus	13	28	46	30	20	52	189
On-campus Student Housing Facilities	7	22	22	11	11	27	100
Noncampus	2	0	0	0	2	5	9
Public Property	2	1	0	2	1	6	12
<b>Hate Crimes</b>							
On campus	0	2	3	0	0	0	5
On-campus Student Housing Facilities	0	1	2	0	0	0	3
Noncampus	0	0	0	0	0	0	0
Public Property	0	0	0	0	0	0	0
<b>Arrests</b>							
On campus	7	98	141	99	9	23	377
On-campus Student Housing Facilities	7	71	47	70	3	16	214
Noncampus	0	3	0	4	1	1	9
Public Property	0	27	37	4	0	8	76
<b>Disciplinary Actions</b>							
On campus	46	0	97	0	27	42	212
On-campus Student Housing Facilities	44	0	91	0	21	42	198
Noncampus	2	0	0	0	0	0	2
Public Property	0	0	1	0	0	0	1
<b>Fire Statistics</b>							
Fires - Summary	0	3	1	0	0	3	7

## **Appendix 4**

### **Title VI and Gender and Ethnicity Information**

All programs or activities receiving federal financial assistance are prohibited by Title VI of the Civil Rights Act of 1964 from discriminating against participants or clients on the basis of race, color, or national origin. In a response to a request from members of the Government Operations Committee, the audit team compiled information concerning federal financial assistance received by the Tennessee Board of Regents (TBR) and the board's efforts to comply with Title VI requirements. The results of the information gathered are summarized below.

#### Tennessee Human Rights Act – Section 4-21-203, *Tennessee Code Annotated*

On June 23, 2009, Governor Phil Bredesen signed legislation transferring the duties of the Title VI Compliance Commission to the Tennessee Human Rights Commission, effective July 1, 2009. This legislation grants the commission the authority to verify that all state government entities comply with the requirements of Title VI. This responsibility includes the establishment and development of guidelines for a comprehensive statewide policy to ensure compliance by the executive branch of state government. Each executive-branch entity that receives federal financial assistance must submit a Title VI Implementation Plan to the Tennessee Human Rights Commission by October 1 annually. The TBR received \$17,418,500 from the federal government in fiscal year 2012.

#### Tennessee Title VI Compliance Program – Report to Governor and General Assembly

For the reporting period fiscal year 2013, TBR filed the annual implementation plan on September 28, 2012, which was considered timely by the Tennessee Human Rights Commission. The commission received and closed two complaints regarding TBR. The commission had one finding concerning TBR based on its review of implementation plans: complaint procedures were out of compliance with state statute and federal regulation (a repeat finding dating from the fiscal year 2011 reporting period). TBR responded that it will update its complaint procedures and include them in its Implementation Plan for fiscal year 2014. The commission approved the department's corrective action measure.

The following tables detail TBR staff by job title, gender, and ethnicity as of July 2013:

## Gender and Ethnicity Information

### Tennessee Board of Regents Staff by Title, Gender, and Ethnicity July 2013

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Account Clerk	13	179	192	0	1	51	0	139	1	192
Account Clerk Supervisor	0	7	7	0	0	1	0	6	0	7
Accountant	6	46	52	0	3	11	0	38	0	52
Accounts Payable Supervisor	0	1	1	0	0	0	0	1	0	1
Acquisitions Assistant	0	1	1	0	0	0	0	1	0	1
Administration & Records Specialist	0	3	3	0	0	0	0	3	0	3
Administrative Assistant	12	238	250	1	3	104	2	139	1	250
Administrative Associate	5	130	135	0	2	21	2	110	0	135
Administrative Coordinator	1	8	9	0	0	0	0	9	0	9
Administrative Exempt Employee	2	46	48	0	0	22	0	26	0	48
Administrative Secretary	4	68	72	1	2	26	2	41	0	72
Administrator	0	1	1	0	0	0	0	1	0	1
Admission & Records Lead Worker (TTCS)	0	1	1	0	0	0	0	1	0	1
Admissions Records Clerk	4	46	50	0	0	23	3	24	0	50
Admissions & Records Lead Work	0	18	18	0	0	11	0	7	0	18
Admissions & Records Supervisor	0	5	5	0	0	3	0	2	0	5
Admissions Records Clerk-TTC	0	1	1	0	0	1	0	0	0	1
Admissions Records Clerk (TTCU)	0	1	1	0	0	0	0	1	0	1
Admissions Specialist	0	5	5	0	0	0	0	5	0	5
Advisor	33	112	145	1	2	44	3	95	0	145
Air Condition Heating Mechanic	50	1	51	0	1	17	1	32	0	51
Analyst	21	33	54	0	1	14	1	38	0	54
Archivist	1	1	2	0	0	0	0	2	0	2
Arts Technician	2	0	2	0	0	0	0	2	0	2
Assistant General Counsel	1	1	2	0	0	0	0	2	0	2
Assistant Athletic Director	5	5	10	0	0	2	0	8	0	10
Assistant Athletic Trainer	6	5	11	0	0	3	0	8	0	11
Assistant Athletics Director-Compliance	0	1	1	0	0	1	0	0	0	1
Assistant Bursar	0	2	2	0	0	0	0	2	0	2
Assistant Business Manager	0	1	1	0	0	0	0	1	0	1
Assistant Coach	85	21	106	0	0	45	2	59	0	106
Assistant Coordinator	12	18	30	0	0	17	0	13	0	30
Assistant Dean	13	15	28	0	0	3	1	24	0	28
Assistant Director	74	116	190	0	3	43	1	143	0	190
Assistant Engineer	1	0	1	0	0	1	0	0	0	1
Assistant Equipment Manager	1	0	1	0	0	0	0	1	0	1
Assistant Farm Supervisor	1	0	1	0	0	0	0	1	0	1
Assistant Librarian 1	1	2	3	0	0	0	0	3	0	3

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Assistant Maintenance Supervisor	1	0	1	0	0	0	0	1	0	1
Assistant Manager	5	9	14	0	0	2	0	12	0	14
Assistant Professor	603	795	1,398	6	135	170	17	1,069	1	1,398
Assistant Provost	3	3	6	0	0	1	0	5	0	6
Assistant Registrar	1	9	10	0	0	2	0	8	0	10
Assistant Superintendent	1	0	1	0	0	1	0	0	0	1
Assistant Treasurer	0	1	1	0	0	0	0	1	0	1
Assistant University Counsel	1	0	1	0	0	0	0	1	0	1
Assistant Vice Chancellor	2	4	6	0	0	1	0	5	0	6
Assistant Vice President	27	29	56	1	0	11	1	43	0	56
Assistant Vice Provost	3	0	3	0	0	0	0	3	0	3
Assistant to Dean	0	3	3	0	0	0	0	3	0	3
Assistant to the President	2	3	5	0	0	2	0	3	0	5
Assistant	0	5	5	0	0	2	0	3	0	5
Associate Athletic Director	5	3	8	0	0	1	0	7	0	8
Associate Director	36	55	91	0	2	16	0	73	0	91
Associate Instructor	102	69	171	0	0	8	0	163	0	171
Associate Coach	5	0	5	0	0	0	0	5	0	5
Associate Counsel	2	1	3	0	0	0	0	3	0	3
Associate Dean	32	18	50	0	5	5	0	40	0	50
Associate Extension Agent	4	0	4	0	0	2	0	2	0	4
Associate Librarian	0	1	1	0	0	0	0	1	0	1
Associate Professor	870	852	1,722	2	96	187	25	1,412	0	1,722
Associate Provost	0	3	3	0	1	0	0	2	0	3
Associate Registrar	1	3	4	0	0	0	0	4	0	4
Associate Vice Chancellor	0	6	6	0	0	1	0	5	0	6
Associate Vice President	25	22	47	0	0	9	0	38	0	47
Assistant Dean-Dean of Student Life	0	1	1	0	0	0	0	1	0	1
Associate Director	21	33	54	0	1	7	2	44	0	54
Assistant Lab Animal Tech	0	4	4	0	0	0	0	4	0	4
Assistant Manager	4	5	9	0	0	0	0	9	0	9
Athletic Director	1	1	2	0	0	1	0	1	0	2
Athletic Trainer	4	4	8	0	0	1	0	7	0	8
Automotive Mechanic	7	0	7	0	0	2	0	5	0	7
Auxiliary Associate	6	1	7	0	0	3	0	4	0	7
Benefits Specialist	0	2	2	0	0	0	0	2	0	2
Billing/Collections Specialist	0	1	1	0	0	0	0	1	0	1
Bindery Technician	1	0	1	0	0	0	0	1	0	1
Boiler Mechanic	2	0	2	0	0	0	0	2	0	2
Boiler Operator	11	0	11	1	0	2	0	7	1	11
Building Activities Attendant	1	0	1	0	0	1	0	0	0	1
Building Activities Supervisor	0	1	1	0	0	0	0	1	0	1
Bursar	0	9	9	0	0	1	0	8	0	9
Bus Driver	15	4	19	0	0	6	0	13	0	19
Business & System Analyst	1	1	2	0	0	1	0	1	0	2
Business Director	0	1	1	0	0	0	0	1	0	1
Business Manager	4	19	23	0	1	1	0	21	0	23

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Buyer	1	6	7	0	0	0	0	7	0	7
Carpenter	19	0	19	0	0	4	0	15	0	19
Carpentry Shop Supervisor	3	0	3	0	0	0	0	3	0	3
Cashier	0	8	8	0	0	4	0	4	0	8
Central Shipping/Receiving Supervisor	4	0	4	0	0	1	0	3	0	4
Certification Analyst	1	13	14	0	0	1	0	13	0	14
Certified Medical Assistant	0	1	1	0	0	0	0	1	0	1
Chairperson	86	37	123	0	4	4	3	112	0	123
Chancellor	1	0	1	0	0	0	0	1	0	1
Chief Information Officer	2	0	2	0	0	0	0	2	0	2
Chief Mechanic	2	0	2	0	0	1	0	1	0	2
Child Care Aide	0	22	22	0	0	14	0	8	0	22
Child Care Specialist	0	35	35	0	0	8	0	27	0	35
Circulation Assistant	0	1	1	0	0	0	0	1	0	1
Clerk	5	44	49	0	0	14	1	34	0	49
Clinical Instructor	0	5	5	0	0	0	0	5	0	5
Clinical Reference Librarian	0	2	2	0	0	0	0	2	0	2
Coach Coordinator	7	2	9	0	0	0	0	9	0	9
Coach	6	1	7	0	0	1	0	6	0	7
College Safety Officer	1	0	1	0	0	1	0	0	0	1
Compensation Analyst	0	1	1	0	0	0	0	1	0	1
Comptroller	0	1	1	0	0	0	0	1	0	1
Computer Helpdesk Assistant	2	1	3	0	0	0	0	3	0	3
Computer Laboratory Technician	63	15	78	1	3	16	2	56	0	78
Computer Operations Coordinator	2	1	3	0	0	0	0	3	0	3
Computer Operations Specialist	9	3	12	0	0	3	0	9	0	12
Computer Operator	2	1	3	0	0	0	0	3	0	3
Computer Programmer	0	2	2	0	0	1	0	1	0	2
Computer Programmer Analyst	12	6	18	0	0	0	1	17	0	18
Computer Support Specialist	0	2	2	0	0	0	0	2	0	2
Computer Systems Analyst	1	1	2	0	0	0	0	2	0	2
Computer Technician	9	4	13	0	0	0	0	13	0	13
Construction Administrator	3	1	4	0	0	0	0	4	0	4
Consultant	1	7	8	0	0	3	0	5	0	8
Contract Compliance Assistant	1	1	2	0	0	1	0	1	0	2
Controller	1	2	3	0	0	0	0	3	0	3
Coordinator	1	1	2	0	0	1	0	1	0	2
Cook	1	3	4	0	0	2	0	2	0	4
Coordinator	232	669	901	1	14	170	2	711	3	901
Counselor	51	123	174	0	2	66	3	101	2	174
Curator	0	1	1	0	0	0	0	1	0	1
Custodial Foreman	8	16	24	0	0	16	0	8	0	24
Custodial Supervisor	8	3	11	0	0	4	1	6	0	11
Custodian	198	254	452	0	2	239	2	208	1	452
Customer Support Specialist	6	1	7	0	0	0	0	7	0	7
Data Control Clerk	0	1	1	0	0	1	0	0	0	1
Data Entry Lead Operator	0	1	1	0	0	1	0	0	0	1
Data Warehouse Designer	1	0	1	0	1	0	0	0	0	1

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Database Administrator	8	2	10	0	0	2	0	8	0	10
Dean	66	66	132	1	6	7	0	118	0	132
Dental Clinic Assistant	0	1	1	0	0	1	0	0	0	1
Dental Equipment Service Worker	1	0	1	0	0	0	0	1	0	1
Department Head	19	20	39	0	2	9	0	28	0	39
Designer	13	6	19	0	0	1	0	18	0	19
Developer	2	0	2	0	0	0	0	2	0	2
Development Officer	1	4	5	0	0	1	0	4	0	5
Director	364	464	828	2	13	143	12	658	0	828
Dispatcher	8	11	19	0	0	6	0	13	0	19
Distance Education Assistant	0	1	1	0	0	0	0	1	0	1
Doctoral Assistant	0	1	1	0	1	0	0	0	0	1
Drafter	3	2	5	0	0	1	0	4	0	5
ERC Assistant	0	3	3	0	0	1	0	2	0	3
Editorial Assistant	1	4	5	0	1	0	0	4	0	5
Editor	2	0	2	0	0	0	0	2	0	2
Electrical Shop Supervisor	2	0	2	0	0	0	0	2	0	2
Electrician	15	0	15	2	0	2	0	11	0	15
Electronic Equipment Tech	7	0	7	0	0	1	0	6	0	7
Electronic Records Manager	1	0	1	0	0	1	0	0	0	1
Electronic Shop Supervisor	1	0	1	0	0	0	0	1	0	1
Electronic Technician	25	1	26	0	1	3	0	22	0	26
Energy System Specialist	3	0	3	0	0	1	0	2	0	3
Engineer	18	3	21	0	1	1	0	19	0	21
Enrollment Services Clerk	0	2	2	0	0	0	0	2	0	2
Equipment Operator	5	0	5	0	0	2	0	3	0	5
Evaluator	0	2	2	0	0	0	0	2	0	2
Executive Aide	3	168	171	2	3	8	3	154	1	171
Executive Assistant	3	15	18	1	0	2	0	15	0	18
Executive Director	22	17	39	0	0	13	0	26	0	39
Executive Secretary	1	87	88	0	1	22	2	63	0	88
Executive Vice President	0	1	1	0	0	0	0	1	0	1
Executive Associate Vice President	1	0	1	0	0	0	0	1	0	1
Executive Associate Dean	1	0	1	0	0	0	0	1	0	1
Export Compliance Officer	1	0	1	0	1	0	0	0	0	1
Extension Agent - Administration	16	13	29	0	0	6	2	21	0	29
Facilities Associate	77	8	85	0	0	18	0	67	0	85
Farm Lab Technician	1	0	1	0	0	0	0	1	0	1
Farm Supervisor	2	2	4	0	0	0	0	4	0	4
Farm Worker	3	0	3	0	0	0	0	3	0	3
Financial Support Associate	0	2	2	0	0	0	0	2	0	2
Finance Manager	0	1	1	0	0	0	0	1	0	1
Financial Aid Assistant	6	49	55	0	0	16	1	38	0	55
Financial Aid Clerk	0	3	3	0	0	1	0	2	0	3
Financial Aid Coordinator	0	1	1	0	0	0	0	1	0	1
Financial Aid Officer	1	3	4	0	0	0	0	4	0	4
Financial Aid Specialist	0	9	9	0	0	8	0	1	0	9
Financial Aid Supervisor	1	3	4	0	0	1	0	3	0	4

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Financial Analyst	6	13	19	0	0	6	0	13	0	19
Financial Associate	1	19	20	0	0	1	0	19	0	20
Financial Management Analyst	1	8	9	0	0	0	0	9	0	9
Financial Support Associate	1	1	2	0	0	0	0	2	0	2
Fiscal Analyst	1	3	4	0	0	4	0	0	0	4
Food Service Worker	1	2	3	0	0	1	0	2	0	3
Foreman	1	0	1	0	0	1	0	0	0	1
Forensic Technician	2	0	2	0	0	0	0	2	0	2
Functional Support Technician	3	4	7	0	0	0	0	7	0	7
GPS Technician	1	0	1	0	0	0	0	1	0	1
General Counsel	0	2	2	0	0	1	0	1	0	2
General Maintenance Mechanic Supervisor	4	0	4	0	0	0	0	4	0	4
Graduation Analyst	0	25	25	0	0	12	0	13	0	25
Grant Writer	0	1	1	0	0	0	0	1	0	1
Grants Fiscal Clerk	0	1	1	0	0	0	0	1	0	1
Grants Support Analyst	0	2	2	0	0	0	0	2	0	2
Graphic Arts Designer	1	1	2	0	0	0	0	2	0	2
Graphic Arts Technician	1	1	2	0	0	0	0	2	0	2
Greenhouse/Nursery Worker	4	3	7	0	0	0	0	7	0	7
Grounds Foreman	4	0	4	0	0	0	0	4	0	4
Grounds Supervisor	5	0	5	0	0	0	0	5	0	5
Grounds Worker	37	2	39	0	0	22	0	17	0	39
HVAC Mechanic	1	0	1	0	0	0	0	1	0	1
Head Athletic Trainer	1	0	1	0	0	0	0	1	0	1
Head Cashier	0	5	5	0	0	3	0	2	0	5
Head Coach	49	20	69	0	0	12	1	56	0	69
Health and Safety Technician	0	1	1	0	0	0	0	1	0	1
Heavy Equipment Lead Operator	2	0	2	0	0	1	0	1	0	2
Help Desk Supervisor	1	0	1	0	0	0	0	1	0	1
Help Desk Assistant	0	3	3	0	0	2	0	1	0	3
Horticulture Technician	11	4	15	0	0	1	0	14	0	15
Horticulturist	0	1	1	0	0	0	0	1	0	1
Housekeeper	0	6	6	0	0	3	0	3	0	6
Housekeeping Supervisor	1	0	1	0	0	0	0	1	0	1
Human Resources Assistant	0	15	15	0	0	6	0	9	0	15
Humanities Assistant	1	0	1	0	0	0	0	1	0	1
IT Administrator	2	1	3	0	0	0	0	3	0	3
IT Security Analyst	0	1	1	0	0	0	0	1	0	1
IT Specialist	1	0	1	0	0	0	0	1	0	1
Information Center Supervisor	0	5	5	0	0	0	0	5	0	5
Information Processing Specialist	1	27	28	0	1	1	0	26	0	28
Information Receptionist	0	4	4	0	0	0	0	4	0	4
Information Research Tech	3	63	66	0	0	2	3	60	1	66
Information System Records Clerk	0	1	1	0	0	0	0	1	0	1
Information Systems Auditor	1	0	1	0	0	0	0	1	0	1
Information Technology Associate	12	0	12	0	0	0	0	12	0	12
Instructional Support Spec	3	1	4	0	0	0	0	4	0	4
Instructor	392	536	928	1	24	87	14	800	2	928

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Internal Auditor	2	5	7	0	0	0	0	7	0	7
Interpreter	1	2	3	0	0	0	0	3	0	3
Inventory Clerk	1	0	1	0	0	0	0	1	0	1
Inventory Supervisor	4	0	4	0	0	1	0	3	0	4
Laboratory Animal Caretaker	1	1	2	0	0	1	0	1	0	2
Laboratory Assistant	2	7	9	0	0	1	0	8	0	9
Laboratory Technician	15	16	31	1	1	7	1	21	0	31
Landscaper	1	0	1	0	0	0	0	1	0	1
Lead Cashier	0	4	4	0	0	1	0	3	0	4
Lead Info Processing Specialist	0	1	1	0	0	0	0	1	0	1
Lead Interpreter	0	1	1	0	0	0	0	1	0	1
Lead Mail Carrier	1	0	1	0	0	0	0	1	0	1
Lead Maintenance Engineer	1	0	1	0	0	0	0	1	0	1
Lead Postal Clerk	0	1	1	0	0	0	0	1	0	1
Learning Center Specialist	2	15	17	0	0	2	0	15	0	17
Lecturer	50	9	59	0	5	15	2	34	3	59
Legal Assistant	0	2	2	2	0	0	0	0	0	2
Legal Counsel	0	1	1	0	0	0	0	1	0	1
Legislative Assistant	1	1	2	0	0	1	0	1	0	2
Librarian	7	25	32	0	1	0	0	31	0	32
Library Assistant	33	102	135	0	1	40	0	94	0	135
Library Associate	2	2	4	0	0	0	0	4	0	4
Library Clerk	2	1	3	0	1	1	0	1	0	3
Library Technical Assistant	0	1	1	0	0	0	0	1	0	1
Licensed Practical Nurse	0	3	3	0	0	3	0	0	0	3
Lieutenant	1	0	1	0	0	0	0	1	0	1
Lockshop Supervisor	1	0	1	0	0	0	0	1	0	1
Locksmith	10	0	10	0	0	3	0	7	0	10
Mail Carrier	6	2	8	0	0	5	0	3	0	8
Mail Service Machine Operator	2	2	4	0	0	1	0	3	0	4
Mail and Inventory Clerk	3	1	4	0	0	2	0	2	0	4
Maintenance Mechanics / Grounds Foreman	1	0	1	0	0	0	0	1	0	1
Maintenance Supervisor	1	0	1	0	0	0	0	1	0	1
Maintenance/Custodial Supervisor	2	0	2	0	0	0	0	2	0	2
Maintenance Lead Worker	26	0	26	0	0	4	0	22	0	26
Maintenance Mechanic	36	1	37	0	0	4	1	32	0	37
Maintenance Scheduler	2	0	2	0	0	0	0	2	0	2
Maintenance Supervisor	10	0	10	0	0	0	1	9	0	10
Maintenance Worker	125	4	129	0	0	28	1	100	0	129
Manager	147	158	305	0	7	52	2	244	0	305
Mason	1	0	1	0	0	1	0	0	0	1
Master Instructor	19	39	58	0	0	0	0	58	0	58
Mechanics Helper	1	0	1	0	0	0	0	1	0	1
Media Representative	2	0	2	0	0	0	0	2	0	2
Media Specialist	9	5	14	0	0	2	0	12	0	14
Medical Clinic Assistant	0	1	1	0	0	0	0	1	0	1
Medical Program Facilitator	0	2	2	0	0	1	0	1	0	2
Membership Coordinator	1	0	1	0	0	0	0	1	0	1

Title	Gender				Ethnicity						
	Male	Female	Total		American Indian	Asian	Black	Hispanic	White	Other	Total
Moving and Storage Lead Worker	1	0	1		0	0	0	0	1	0	1
Network Support Specialist	1	0	1		0	0	0	0	1	0	1
Network Technician	3	0	3		0	0	0	0	3	0	3
Nurse Practitioner	1	11	12		0	0	0	0	12	0	12
Nurse	1	13	14		0	0	0	2	12	0	14
Office Assistant	0	1	1		0	0	1	0	0	0	1
Office Coordinator	0	30	30		0	0	1	0	29	0	30
Office Manager	0	22	22		0	0	8	0	14	0	22
Office Supervisor	2	29	31		0	1	4	0	26	0	31
Officer	0	5	5		0	0	2	0	3	0	5
Offset Press Operator	3	8	11		0	0	4	0	7	0	11
Painter Lead Worker	4	0	4		0	0	2	0	2	0	4
Painter	10	0	10		0	0	2	1	7	0	10
Parking Attendant	7	3	10		0	0	3	0	7	0	10
Patient Care Specialist	1	22	23		0	0	1	0	22	0	23
Payroll Clerk	1	2	3		0	0	1	0	2	0	3
Payroll Manager	0	1	1		0	0	0	0	1	0	1
Payroll Supervisor	0	5	5		0	0	2	0	3	0	5
Personnel Assistant	1	12	13		0	1	5	0	7	0	13
Personnel Clerk	0	3	3		0	0	0	0	3	0	3
Personnel Records Supervisor	0	2	2		0	0	0	0	2	0	2
Pest Control Operator	1	1	2		0	0	0	0	2	0	2
Photographer/Cinematographer	1	0	1		0	0	0	0	1	0	1
Photographer	4	1	5		0	0	0	0	5	0	5
Physician's Assistant	0	4	4		0	0	1	0	3	0	4
Physician	2	1	3		0	0	0	0	3	0	3
Piano Technician	1	0	1		0	0	0	0	1	0	1
Placement Officer	0	1	1		0	0	0	0	1	0	1
Plumber	12	0	12		0	0	3	1	8	0	12
Plumbing Shop Supervisor	2	0	2		0	0	2	0	0	0	2
Point of Sale Systems Analyst	1	0	1		0	0	0	0	1	0	1
Police Dispatcher	0	4	4		0	0	1	0	3	0	4
Police Officer	109	12	121		1	2	47	3	68	0	121
Police Supervisor	7	0	7		0	0	2	0	5	0	7
Post-Doctoral Assistant	7	6	13		0	0	0	0	11	2	13
Post-Doctoral Associate	1	0	1		0	0	0	0	0	1	1
Post-Doctoral Fellow	6	3	9		0	2	3	0	4	0	9
Postal Clerk	4	8	12		0	1	7	0	4	0	12
Postal Service Supervisor	0	2	2		0	0	1	0	1	0	2
Preparator	3	0	3		0	0	0	0	3	0	3
President Emeritus	1	0	1		0	0	0	0	1	0	1
President	13	6	19		0	0	3	0	16	0	19
Pressroom Supervisor	1	0	1		0	0	0	0	1	0	1
Preventive Maintenance Tech	1	0	1		0	0	0	0	1	0	1
Print Shop Supervisor	2	0	2		0	0	0	0	2	0	2
Printing Clerk	1	0	1		0	0	1	0	0	0	1
Printing Services Specialist	0	1	1		0	0	0	0	1	0	1
Printing Technician	1	0	1		0	0	0	0	1	0	1

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Producer	2	1	3	0	0	1	0	2	0	3
Professor	858	365	1,223	3	95	107	27	991	0	1,223
Program Assistant	4	16	20	0	0	6	0	14	0	20
Program Director	1	0	1	0	0	1	0	0	0	1
Programmer Analyst	11	6	17	0	1	1	0	15	0	17
Project Manager	0	1	1	0	0	0	0	1	0	1
Protective Services Associate	15	2	17	0	0	0	0	17	0	17
Provost	5	2	7	0	0	1	0	6	0	7
Psychologist	2	2	4	0	0	1	0	3	0	4
Psychology Intern	1	3	4	0	0	2	0	2	0	4
Public Safety Officer	14	4	18	0	0	2	0	16	0	18
Purchasing Agent	1	7	8	0	0	3	1	4	0	8
Purchasing Assistant	0	1	1	0	0	0	0	1	0	1
Radiation Safety Officer	0	1	1	0	0	0	0	1	0	1
Radio Announcer	1	0	1	0	0	0	0	1	0	1
Radio Station Chief Engineer	3	0	3	0	0	1	0	2	0	3
Radio Station Operator	1	0	1	0	0	0	0	1	0	1
Radiographer	0	1	1	0	0	0	0	1	0	1
Recording Laboratory Manager	1	0	1	0	0	0	0	1	0	1
Recreation Equipment Technician	1	0	1	0	0	0	0	1	0	1
Recruiter-Admissions	2	6	8	0	0	0	1	7	0	8
Registrar	1	9	10	0	0	2	0	8	0	10
Research Analyst	2	6	8	0	3	1	0	4	0	8
Research Assistant I	12	11	23	0	0	10	1	12	0	23
Research Associate	8	8	16	0	3	8	0	5	0	16
Research Professor	2	0	2	0	0	2	0	0	0	2
Research Specialist	19	18	37	0	1	3	2	31	0	37
Research Technician	3	3	6	0	1	0	0	5	0	6
Roofer	1	0	1	0	0	0	0	1	0	1
Safety Inspector	9	2	11	0	0	1	0	10	0	11
Scheduler	0	1	1	0	0	0	0	1	0	1
Scientific Equipment Tech	1	2	3	0	0	0	0	3	0	3
Secretary	11	423	434	0	1	137	3	293	0	434
Security Guard	34	9	43	0	0	10	0	33	0	43
Security Officer	14	9	23	0	0	12	0	11	0	23
Senior Accountant	0	1	1	0	1	0	0	0	0	1
Senior Administrative Assistant	0	5	5	0	0	1	0	4	0	5
Senior Admissions Clerk	0	2	2	0	0	1	0	1	0	2
Senior Associate Vice President	0	1	1	0	0	0	0	1	0	1
Senior Computer Technician	2	0	2	0	0	0	0	2	0	2
Senior Data Architect	0	1	1	0	0	0	0	1	0	1
Senior Database Administrator	1	0	1	0	0	0	0	1	0	1
Senior Development Officer	0	1	1	0	0	0	0	1	0	1
Senior Director	1	0	1	0	0	0	0	1	0	1
Senior Editor BEREC	0	1	1	0	0	0	0	1	0	1
Senior IT Security Analyst	2	0	2	0	0	0	0	2	0	2
Senior Instructor	43	37	80	0	0	2	0	78	0	80
Senior Laboratory Animal Tech	0	1	1	0	0	0	0	1	0	1

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Senior Network Analyst	1	0	1	0	0	0	0	1	0	1
Senior Network Technician	1	0	1	0	0	0	0	1	0	1
Senior Office Assistant	0	10	10	0	0	9	0	1	0	10
Senior Specialist	1	0	1	1	0	0	0	0	0	1
Senior Systems Administrator	1	0	1	0	0	0	0	1	0	1
Senior Teacher (TTC)	0	1	1	0	0	1	0	0	0	1
Senior Vice President	1	0	1	0	0	0	0	1	0	1
Senior Writer/Editor	1	0	1	0	0	0	0	1	0	1
Sheet Metal Worker	1	0	1	0	0	0	0	1	0	1
Shipping and Receiving Clerk	11	0	11	0	1	2	0	8	0	11
Shop Technician	4	0	4	0	0	1	0	3	0	4
Skilled Crafts Exmpt Supervisor	1	0	1	0	0	0	0	1	0	1
Skilled Trades Helper	2	0	2	0	0	1	0	1	0	2
Social Worker	0	1	1	0	0	0	0	1	0	1
Software Training Specialist	0	1	1	0	0	0	0	1	0	1
Special Assist to Chancellor	0	1	1	0	0	0	0	1	0	1
Special Assistant to President	0	1	1	0	0	1	0	0	0	1
Specialist	104	141	245	1	4	52	2	186	0	245
Speech Language Pathologist	0	3	3	0	0	0	0	3	0	3
Sports Information Assistant	0	1	1	0	0	1	0	0	0	1
Senior Associate Athletic Director	0	1	1	0	0	0	0	1	0	1
Senior Director-Res/Operations Management	1	0	1	0	0	0	0	1	0	1
Senior Personal Computer Analyst	1	0	1	0	0	0	0	1	0	1
Senior Specialist - Procurement	0	1	1	0	0	1	0	0	0	1
Senior Telecommunications Analyst	1	0	1	0	0	0	0	1	0	1
Senior Specialist, Small Business	1	0	1	0	0	0	0	1	0	1
Staff Attorney	1	1	2	0	0	1	0	1	0	2
Steam and Chiller Operator	17	0	17	1	0	5	0	11	0	17
Steam and Chiller Plant Assist	1	0	1	0	0	1	0	0	0	1
Stock Clerk 2	2	3	5	0	0	2	0	3	0	5
Stock Supervisor	1	1	2	0	0	1	0	1	0	2
Stores Clerk	0	2	2	0	0	0	0	2	0	2
Student Records Coordinator	0	4	4	0	0	1	0	3	0	4
Student Services Specialist	1	2	3	0	0	1	0	2	0	3
Student Support Associate	17	78	95	0	0	6	1	86	2	95
Superintendent	4	0	4	0	0	2	0	2	0	4
Supervising Teacher	2	23	25	0	0	4	0	21	0	25
Supervisor	43	40	83	1	0	26	0	56	0	83
Supply Store Lead Worker	2	0	2	0	0	0	0	2	0	2
Support Technician	2	0	2	0	0	1	0	1	0	2
Swimming Pool Maintenance Tech	1	0	1	0	0	0	0	1	0	1
Switchboard Operator	0	11	11	0	0	8	0	3	0	11
Systems Accountant	1	0	1	0	1	0	0	0	0	1
Systems Administrator	20	0	20	0	0	1	0	19	0	20
Systems Analyst	35	40	75	0	4	7	0	64	0	75
Systems Coordinator	1	0	1	0	0	0	0	1	0	1
Systems Programmer	2	1	3	0	0	1	0	2	0	3
Teacher 2	13	35	48	0	4	13	0	31	0	48

Title	Gender			Ethnicity						
	Male	Female	Total	American Indian	Asian	Black	Hispanic	White	Other	Total
Technical Clerk	12	186	198	0	0	27	5	166	0	198
Technical Exempt Employee	27	14	41	0	1	14	0	26	0	41
Technical Exempt Supervisor	1	0	1	0	0	0	0	1	0	1
Technician	48	35	83	1	3	7	1	70	1	83
Telecommunications Tech	10	0	10	0	0	2	0	8	0	10
Temporary Help	4	0	4	0	0	1	0	3	0	4
Test Administrator	2	5	7	0	0	3	0	4	0	7
Testing Technician 2	0	9	9	1	0	0	0	8	0	9
Therapist	1	0	1	0	0	1	0	0	0	1
Transcript Analyst	3	14	17	0	0	1	0	16	0	17
Truck Driver	5	0	5	0	0	0	0	5	0	5
Turf Manager	1	0	1	0	0	0	0	1	0	1
University Counsel	3	2	5	0	0	0	0	5	0	5
User Services Manager	1	0	1	0	0	0	0	1	0	1
Utility Heavy Equipment Operator	4	0	4	0	0	1	0	3	0	4
Utility Worker – Driver	25	4	29	0	0	12	0	17	0	29
Utility Worker	12	1	13	0	0	3	0	10	0	13
Veterans Affairs Clerk	0	1	1	0	0	1	0	0	0	1
Veterans Affairs Coordinator	1	1	2	0	0	1	0	1	0	2
Vice Chair	1	0	1	0	0	0	0	1	0	1
Vice Chancellor	5	1	6	0	0	1	0	5	0	6
Vice President	34	36	70	1	0	12	0	57	0	70
Vice Provost	5	3	8	0	0	1	0	7	0	8
Videographer	1	0	1	0	0	0	0	1	0	1
Watchkeeper	7	5	12	0	0	8	0	4	0	12
Web Developer	2	0	2	0	0	0	0	2	0	2
Web Master	7	0	7	0	0	1	1	5	0	7
Web Specialist	8	7	15	0	1	1	0	13	0	15
Welder	1	0	1	0	0	0	0	1	0	1
Work Order Clerk	0	4	4	0	0	1	0	3	0	4
Writer	3	2	5	0	0	0	0	5	0	5
<b>Grand Total</b>	<b>6,545</b>	<b>8,512</b>	<b>15,057</b>	<b>38</b>	<b>488</b>	<b>2,780</b>	<b>176</b>	<b>11,552</b>	<b>23</b>	<b>15,057</b>
<b>Percentages</b>	<b>43%</b>	<b>57%</b>	<b>100%</b>	<b>0%</b>	<b>3%</b>	<b>18%</b>	<b>1%</b>	<b>77%</b>	<b>0%</b>	<b>100%</b>

Source: Tennessee Board of Regents.

### Tennessee Board of Regents Members by Gender and Ethnicity August 2013

Title	Gender			Ethnicity			
	Male	Female	Total	Black	Hispanic	White	Total
Board Member	13	5	18	3	0	15	18

## Appendix 5 Performance Measures Information

As stated in the Tennessee Governmental Accountability Act of 2002, “accountability in program performance is vital to effective and efficient delivery of governmental services, and to maintain public confidence and trust in government.” In accordance with this act, all executive-branch agencies are required to submit annually to the Department of Finance and Administration a strategic plan and program performance measures. The department publishes the resulting information in two volumes of *Agency Strategic Plans: Volume 1 - Five-Year Strategic Plans* and *Volume 2 - Program Performance Measures*. Agencies were required to begin submitting performance-based budget requests according to a schedule developed by the department, beginning with three agencies in fiscal year 2005, with all executive-branch agencies included no later than fiscal year 2012. The Tennessee Board of Regents (TBR) began submitting performance-based budget requests effective for fiscal year 2009 (September 2008). In April 2013, the Tennessee Governmental Accountability Act of 2013 changed the state’s process for developing, reporting, and monitoring performance measures; however, higher education entities, including TBR, were exempted from this process.

Detailed below are the TBR’s performance standards and performance measures, as reported in the September 2012 *Volume 2 - Program Performance Measures*. Also reported below is a description of the agency’s processes for (1) identifying/developing the standards and measures; (2) collecting the data used in the measures; and (3) ensuring that the standards and measures reported are appropriate and that the data is accurate.

### Performance Standards and Measures

Note: The most recent available actual data for the performance measures below was from FY 2012.

#### Tennessee Board of Regents

*Performance Standard 1:* Continue reviews of all TBR policies for streamlining and operating efficiently.

*Performance Measure 1:* Percent of TBR policies reviewed.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
100%	100%	100%

This performance measurement is a measure of efficiency. As authorized by law, TBR has adopted a variety of policies to govern operation of system institutions. Periodic review of these policies is appropriate to ensure that they continue to be relevant, add value, are not excessive, and are consistent with changing state and federal laws, rules, and regulations. This information is not contained in any database. Information sources include agendas and minutes of various groups (sub councils, Chancellor’s senior staff, and others) charged with the review

and identification of needed changes in policies as well as discussions among members of senior staff. The only definitive evidence of reviews is when such reviews result in recommendations for policy changes. In these cases, the actual changes recommended and implemented are evidenced through board minutes that reflect action on policy recommendations.

TBR does not use any mathematical model to calculate the performance measure. The actual performance measure result reported is management’s best estimate of the result of policy reviews. As noted above, this estimate is based on consultation with system leadership, as well as reviews of the agendas and minutes from groups involved in policy making.

The estimate and target results for future years are aspirational goals. As such, there are no factors that are considered in determining whether these should change in future periods. The goal is a comprehensive review annually. The performance measure is reviewed as part of its annual submission to the Department of Finance and Administration.

There are not any written procedures related to collecting data, calculating, or reviewing this performance measure. TBR does not recommend any changes to the performance standard or measurement.

*Performance Standard 2:* Increase access to aid and scholarships for diverse students.

*Performance Measure 2:* Implementation of mechanisms for awarding and tracking aid.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
100%*	100%	100%

\* 100% of institutions reported on use of total aid toward implementation of diversity efforts.

The performance measure is a measurement of outputs. The measure is designed to capture the amount of diversity-related aid awarded by institutions to and place it in the context of the institutions’ total awarded aid. This measure is important so that the system can accurately report and track aid, both overall and for diversity programs. The data is collected annually by the Office of Research and Assessment through the financial aid reporting process. The total amount of dollars awarded in diversity criteria funds is summed and can be parsed into four categories: Race/Ethnicity Conscious (race and/or ethnicity considered among several factors); Race/Ethnicity Exclusive (awarded because of being a specific race and/or ethnicity); Gender Exclusive (awarded because of being a specific gender); and Broad (other factors considered, including geography, age, first-generation, gender, low-income, etc.). To determine the percentage of a school’s aid that considers diversity factors, the total amount of diversity-related aid is divided by the total aid dollars awarded.

The calculation is performed overall and separately for federal aid, state aid, and external/foundation aid. The measures are calculated for each institution and can be summed to establish the system total. The performance measure result is an actual number because the data collection process is required of all institutions. For this reason, the estimate and target were set at 100% of institutions reporting.

The Office of Effectiveness and Strategic Initiatives (OESI) reviews the submissions and develops a summary report. The summary report is reviewed by each institution to ensure that the diversity-related funds have been properly identified. This measure is collected and monitored annually. If any concerns are identified, the OESI will develop a process to address it. At this time, no changes are planned for this measure. However, one issue with this measure is that it does not have benchmarks regarding what dollar levels TBR should increase “access to aid and scholarships for diverse students.”

**Agricultural Units**

Tennessee State University – Institute of Agricultural and Environmental Research

*Performance Standard 1:* Maintain the number of scientific publications (full-length refereed) in the areas of animal and alternative livestock; agricultural economics and policy; nursery, medicinal, and alternative food crops; environmental protection and enhancement; and food safety, nutrition, and family well-being by research scientists.

*Performance Measure 1:* Number of scientific publications (full-length refereed) by research scientists.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
30	32	32

This performance measure is a measurement of outcomes. The mission of the Institute of Agriculture and Environmental Research is to conduct agricultural research that addresses issues faced by citizens of Tennessee within agricultural and related sectors of the state. As such, this provides our students with hands-on, real world training that may help their future careers. It also gives them the opportunity to participate in helping to solve problems faced by citizens of our state. It is essential that the research conducted relates to and addresses problems faced by our citizens.

Data are collected annually by the Office of the Associate Dean. The data is obtained from required annual progress reports that are submitted through the Office of the Associate Dean to the funding source, the U.S. Department of Agriculture (USDA)/the USDA’s National Institute of Food and Agriculture (NIFA). A secondary source for this information is from scientists’ annual evaluation instruments. Input from various stakeholder and citizen groups is obtained to determine issues important to the State of Tennessee. Assessment is based on resources, priorities, and expertise within the institute. Actual counts of the various research issues are used and totaled for all scientists. The performance measure is an actual number.

The estimate and target numbers were determined using baseline level of performance and considering such factors as changes in staffing level and research budgets. Each research investigator is expected to publish at least one full-length refereed publication within a two-year period. As staffing increases, it is expected that productivity will increase. The performance measures are reviewed by the Associate Dean for Research and the Dean of the College of

Agriculture, Human and Natural Sciences. Accuracy can be verified through a review of the annual performance evaluation package submitted by each investigator.

There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure, and there are not any planned changes to the performance measure.

*Performance Standard 2:* Maintain the number of presentations/dissemination of scientific discoveries in the areas of animal and alternative livestock; agricultural economics and policy; nursery, medicinal, and alternative food crops; environmental protection and enhancement; and food safety, nutrition, and family well-being made at scientific conferences, forums, workshops, and trainings (domestic and international) by research scientists.

*Performance Measure 2:* Number of presentations/dissemination of scientific discoveries at scientific conferences, forums, workshops, and training sessions (domestic and international) by research scientists.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
139	140	140

This performance measure is a measurement of outputs. The mission of the Institute of Agricultural and Environmental Research is to provide leadership, as well as strengthen and expand scientific publications, presentations, workshops, training sessions, and other forms of outreach. Therefore, the amount of research information communicated is an appropriate measure of productivity within the institute. Data are collected annually by the Office of the Associate Dean. The data is obtained from required annual progress reports that are submitted to the funding source (USDA/NIFA) through the Office of the Associate Dean. A secondary source for this information is from scientists’ annual evaluation instruments. Input from various stakeholder and citizen groups is obtained to determine issues relevant to the state of Tennessee. Assessment is based on resources, priorities, and expertise within the institute. Actual counts of the various modes of information dissemination are used and totaled for all scientists in the institute. The measure reported is an actual number.

The estimate and target numbers are determined using a baseline level of performance and consider such factors as changes in staffing levels and research budgets. The performance measures are reviewed by the Associate Dean for Research and the Dean of the College of Agriculture, Human and Natural Sciences. Accuracy can be verified through a review of the annual performance evaluation package submitted by each investigator. There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure, and there are not any planned changes to the performance measure.

Tennessee State University – McMinnville Center

*Performance Standard 1:* Increase the number of nursery industry-identified problem areas addressed by research scientists.

*Performance Measure 1:* Number of nursery industry-identified problem areas addressed by research scientists.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
11	9	9

This performance measure is a measurement of outcomes. The mission of the Nursery Research Center is to provide leadership in strengthening and expanding the regional nursery industry through research. It is essential that the research being conducted relates to and addresses problems faced by the industry. Data are collected annually through research program review by the Nursery Research Center superintendent. Programs are reviewed for relevance to important industry issues, and input from the Nursery Research Center Nursery Advisory Group is obtained. Actual counts of the various research issues are used and totaled for all scientists at the center.

The estimate and target numbers are determined using a baseline level of performance and consider such factors as changes in staffing levels and research budgets. The performance measures are measured by the center's superintendent and reviewed by the College of Agriculture, Human and Natural Sciences' Associate Dean for Research. There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure. TSU does not have any concerns about the performance measure and does not plan to make any changes or improvements to the measurement process.

*Performance Standard 2:* Increase the number of scientific publications related to nursery production by research scientists.

*Performance Measure 2:* Number of presentations/disseminations of scientific conferences, forums, workshops, and training sessions (domestic and international) by research scientists.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
48	50	50

This performance measure is a measurement of outputs. The mission of the Nursery Research Center is to provide leadership in strengthening and expanding the regional nursery industry through research. Research results are communicated through scientific publications, presentation, workshops, training sessions, etc. Therefore, the amount of research information communicated to the industry is appropriate to measure the productivity of the Nursery Research Center. Data is collected by the center superintendent. It is obtained annually from the information submitted on scientists' annual performance evaluations. Actual counts of the various modes of information dissemination are used and totaled for all scientists at the center.

The estimate and target numbers are determined using a baseline level of performance and considering such factors as changes in staffing levels and research budgets. The performance measures are measured by the center’s superintendent and reviewed by the College of Agriculture Human and Natural Sciences’ Associate Dean for Research. There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure. TSU does not have any concerns about the performance measure and does not plan any changes or improvements for the performance measure.

Tennessee State University Cooperative Education

*Performance Standard 1:* Increase the number of clientele educational contacts.

*Performance Measure 1:* Number of clientele contacts.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
271,676*	300,000*	300,000*

\*These are actual face-to-face educational contacts.

This performance measure is a measure of outputs. The TSU Cooperative Extension Program is a major outreach of the university to carry out its federally mandated mission of “University-Community Engagement” and outreach education. The TSU Cooperative Extension Program has county extension agents, who carry out educational programs on behalf of TSU in their communities in 40 counties. Educational programs are free to the public and contain research-based, useful, and practical information to improve their living conditions. County extension agents are academically supported by TSU extension specialists or professors housed on the main campus of TSU. Therefore, measurement of the outreach education is directly related to the agents’ direct educational contacts with the public of Tennessee. Although the majority of educational contacts with the public are made by county extension agents, TSU extension specialists/professors and other staff such as program assistants also make and document the number of educational contacts made with the public. Measuring the number of clientele contacts is important because it is an indicator of the breadth and extent of the staff’s outreach efforts across the State of Tennessee. After every educational outreach contact, county extension agents and campus-based extension specialists collect direct contact data and enter it into a comprehensive data-gathering computer program called the System for University Program Evaluation and Reporting, on a yearly basis at minimum. Typically, extension staff enter direct contact data into the system on a monthly and quarterly basis.

The actual performance measure result is calculated by the number of educational outreach contacts made by the extension faculty and county extension agents per year. The target educational contact numbers are projected based on baseline performance data and the number of county extension agents employed to carry out the outreach educational programs. As the number of counties where TSU extension agents are located increase, the number of educational contacts is expected to increase as well. The extension specialist for Program Planning, Evaluation and Accountability is assigned to this task. The verification is based on the information/data entered by the extension agents and specialists from January to December of

each year. Educational targets are planned, reviewed and approved by all supervisors to keep all efforts realistic. Therefore, there is no concern regarding this measure.

*Performance Standard 2:* Increase the number of presentations/dissemination of research-based, practical and useful information to the people of Tennessee via educational conferences, workshops, meetings, and outreach activities in the area of agriculture and natural resources, family and consumer sciences, 4-H and youth development, and community resources and economic development.

*Performance Measure 2:* Number of educational presentations for dissemination of research-based, practical, and useful information.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
312	300	350

This performance measure is a measurement of outputs. The TSU Cooperative Extension Program is a major outreach of the university that carries out the federally mandated mission of “University-Community Engagement” and outreach education. The TSU Cooperative Extension Program has county extension agents, who carry out educational programs on behalf of TSU in their communities in 40 counties. Educational programs are free to the public and contain research-based, useful, and practical information for the public designed to improve their living conditions. Extension agents in the counties are academically supported by TSU extension specialists/professors housed on the main campus of TSU. The provision of practical research-based information designed to improve the lives of citizens across the state is a mandatory and defining function of the Cooperative Extension Program. Measuring the number of educational presentations offered across the state helps determine the outreach and impact being made in various educational priority areas identified by stakeholders, such as USDA; advisory boards and councils; and extension leadership groups and committees. County extension agents and campus-based extension specialists enter data on the number of presentations during the calendar year into the System for University Program Evaluation and Reporting. This information is entered at minimum on a yearly basis and more typically on a monthly/quarterly basis.

The actual performance measure is calculated by summing the number of educational outreach presentations made during the calendar year by extension faculty and county agents. The target presentation numbers are projected based on baseline performance data; number of county extension agents employed; and corresponding individual goals determined by extension leadership team members, who include the Associate Dean for Extension, regional directors, program leaders, and county directors. The number of presentations is expected to increase or decrease according to the extension staffing levels across the state. The extension specialist for Program, Planning, Evaluations and Accountability is assigned to this task. The verification is based on the information/data entered by the extension agents and specialists from January to December of each year. Educational targets are planned, reviewed, and approved by all supervisors to keep all efforts realistic. Therefore, there is no concern regarding this measure.

Tennessee State University McIntire-Stennis Forestry Research

*Performance Standard 1:* Increase the number of scientific publications (full-length refereed) in forestry research by research scientists.

*Performance Measure 1:* Number of scientific publications (full-length refereed) in forestry research by research scientists.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
0	2	1

This performance measure is a measurement of outcomes. The purpose of McIntire-Stennis forestry research is to provide leadership in strengthening and expanding timber products and related forest outputs (e.g., ecological restoration, urban ecosystems, forage production, flood protection, recreation, etc.) through research. It is essential that the research being conducted relates to and addresses problems faced by the forest industry. Research results are communicated through scientific publication, presentations, workshops, training sessions, etc. Therefore, the amount of research information communicated is an appropriate measure of productivity within the program. Data are collected annually by the Office of the Associate Dean. The data is obtained from required annual progress reports that are submitted to the funding source (USDA/NIFA) through the Office of the Associate Dean. A secondary source for this information is from scientists' annual evaluation instruments. Input from various stakeholder and citizen groups is obtained to determine and assess issues important to the State of Tennessee. Assessment is based on resources, priorities, and expertise within the institute. Actual counts of the various research issues are used and totaled for all scientists.

The estimate and target numbers are determined using baseline level of performance and consider such factors as changes in staffing level and research budgets. The performance measures are reviewed by the Associate Dean for Research and the Dean of the College of Agriculture, Human and Natural Sciences. Accuracy can be verified through a review of the annual performance evaluation package submitted by investigators. There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure, and there are not any planned changes to the performance measure.

*Performance Standard 2:* Increase the number of presentations/dissemination of scientific discoveries in the area of forestry made at scientific conferences, forums, workshops, and trainings (domestic and international) by research scientists.

*Performance Measure 2:* Number of presentations/dissemination of scientific discoveries in the area of forestry made at scientific conferences, forums, workshops, and trainings (domestic and international) by research scientists.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
1	4	2

This performance measurement is a measure of outputs. The purpose of McIntire-Stennis Forestry research is to provide leadership in strengthening and expanding timber products and related forest outputs (e.g., ecological restoration, urban ecosystems, forage production, flood protection, recreation, etc.) through research. It is essential that the research being conducted relates to and addresses problems faced by the forest industry. Research results are communicated through scientific publication, presentations, workshops, training sessions, etc. Therefore, the amount of research information communicated is an appropriate measure of productivity within the program. Data are collected annually by the Office of the Associate Dean. The data is obtained from required annual progress reports that are submitted to the funding source (USDA/NIFA) through the Office of the Associate Dean. A secondary source for this information is from scientists' annual evaluation instruments. Input from various stakeholder and citizen groups is obtained to determine issues important to the State of Tennessee. Assessment is based on resources, priorities, and expertise within the institute. Actual counts of the various forms of information (e.g., presentations, conferences, workshops, training sessions) disseminated are used and totaled for all research scientists conducting McIntire-Stennis forestry research. The performance measure is an actual number.

The estimate and target numbers are determined using baseline level of performance and consider such factors as changes in staffing level and research budgets. The performance measures are reviewed by the Associate Dean for Research and the Dean of the College of Agriculture, Human and Natural Sciences. Accuracy can be verified through a review of the annual performance evaluation package submitted by investigators. There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure, and there are not any planned changes to the performance measure.

**Medical Units**

East Tennessee State University – College of Medicine

*Performance Standard 1:* Maintain average score on the U.S. Medical Licensing Exam, Step 1, by providing access to databanks of review questions for students to study. Notify students who do not score well on National Board of Medical Examiners subject exams to encourage diligence in their preparation.

*Performance Measure 1:* Average score of test takers.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
214	222	224

This performance measurement is a measure of outcomes. Physician licensure in the U.S. requires taking and passing the U.S. Medical Licensing Exam. This exam consists of three steps, two of which are taken during medical school. Step 1 is taken at the end of the first two years of the curriculum. It measures the success of the curriculum in equipping students with the requisite knowledge to progress towards licensure and provides comparison with a national sample. Annually, the National Board of Medical Examiners reports to the institution the cohort's mean score and pass rates, along with national mean scores. The performance measures

are actual numbers since calculations are not required beyond the data reported from the National Board of Medical Examiners.

Factors used in developing these targets and estimates included past performance and national averages. The performance measure and data are reviewed by the Clinical Medical Education Coordinator and the Executive Associate Dean for Academic Affairs. There are no concerns and thus no changes planned for this measure.

East Tennessee State University – College of Pharmacy

*Performance Standard 1:* Increase applications to the Gatton College of Pharmacy from individuals residing in the Southern Appalachian region.

*Performance Measure 1:* Percent of applicants from the Southern Appalachian region who complete applications for admission.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
84%	90%	90%

This performance measurement is a measure of inputs. A major factor in the development of the Gatton College of Pharmacy was the number of students from the greater northeast Tennessee region who desired to become pharmacists but had foregone that dream due to the lack of a school within the region. As such, the college has always endeavored to recruit and enroll students from the region. The data is collected by the Office of Student Affairs within the college. The data is available from information supplied the Pharmacy Colleges Application Services. The data is collected annually at the end of the admissions cycle. The result is calculated by dividing the number of applications received from students residing in specified counties within a 200-mile radius of the campus by the total number of applications received.

The performance measure is an actual number. The estimate of future targets is made based on a review of national applicant trends as supplied by the American Association of Colleges of Pharmacy. The performance and associated calculations are conducted under the auspices of the Assistant Dean of Student Affairs. No written procedures are needed relative to the performance measure.

The current performance measure was developed during the college’s inaugural year of operation. This measure was determined to be the most logical measure to use at the time given the college’s stage of development. The leadership now feels it will be more appropriate to utilize a performance measurement that examines outcomes. A new performance standard and measure will be put forth for the 2013-14 academic year.

East Tennessee State University – Family Practice

*Performance Standard 1:* Raise average score on the American Board of Family Medicine In-Training Exam (ITE).

*Performance Measure 1: ITE average exam scores.*

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
412	416	416

This performance measurement is a measure of outputs. ETSU is measuring the performance of the Family Residents’ performance on a national standardized test as a surrogate measure of the effectiveness of the residency educational programs, which are a core function of the department. ETSU expects to see improved performance in each cohort as they progress from Year 1 through Year 3 of the program. The data is collected and evaluated annually by each program. Each resident takes the exam annually, and the scores are computed by the American Board of Family Medicine. The measure is an actual number. The performance measure is an average of the scores of each resident year cohort. The exam is produced and scored by the American Board of Family Medicine and is given to Family Medicine residents across the country. There are not any written procedures related to collecting the data or calculating and reviewing/verifying the performance measure.

ETSU considered that they would expect improvement of the performance in these domains over time. ETSU has had further discussions and has concluded that exam scores are dependent on too many variables to reliably use them as a core measure. ETSU is in the process of applying for a change in the core measure that will reflect the service to the community.

**Universities**

- Austin Peay State University (APSU)
- East Tennessee State University (ETSU)
- Middle Tennessee State University (MTSU)
- Tennessee State University (TSU)
- Tennessee Technological University (TTU)
- University of Memphis (UoM)

*Performance Standard 1: Increase the percentage of first-time, full-time freshmen that graduate within six years.*

*Performance Measure 1: Graduation rate (cohort of full-time, first-time, degree-seeking students that entered in the fall term and completed the academic program within six years).*

<b>University</b>	<b>Actual (FY 2011-2012)</b>	<b>Estimate (FY 2012-2013)</b>	<b>Target (FY 2013-2014)</b>
APSU	41.1%	38.2%	39.7%
ETSU	49.2%	49.8%	49.8%
MTSU	50.6%	53.3%	53.3%
TSU	36.6%	40.0%	40.0%
TTU	54.5%	52.5%	53.5%
UoM	43.0%	42.9%	43.0%

The performance measure is a measurement of outcomes. The standard state graduation rate follows a cohort of students who begin in the fall as bachelor's or associate's degree-seeking students and complete a degree within six years at any public university or community college. This indicator shows a percentage of those who achieved a credential divided by the total number who began six years earlier, with six years representing time and a half completion of a four-year degree. The indicator is a measure of degree completion and provides a success ratio that can be compared across institutions, as well as within the institution across years. Additionally, the measure follows only students who were full-time in the fall semester in order to allow for the comparison of more similar populations across institutions.

The data are collected by the institution in the enrollment extract file and the report of graduates extract file. The enrollment file is collected each term (summer, fall, spring) and the report of graduates is collected yearly. The extract files have information by student and are sent by the institution to TBR, who sends the files to the Tennessee Higher Education Commission (THEC). THEC completes the state graduation rate using the graduate data collected from all public universities and community colleges.

The measure first identifies a cohort (group) of first-time, full-time, degree-seeking students entering an institution in a fall semester. The measure then follows these students for six years to evaluate how many of the students who began at an institution finished a degree at a public university or community college within six years. This performance measure is reported as an actual number based on the latest data available on June 30 each year and is not a revised number.

The goal of the measure is improvement. If an institution's actual performance is above their previous target in a given year, there is a slight increase over the previous target for the next year. If the institution's actual performance is not above their previous target, then the initial target is maintained at its current level. The graduation rate is a standard rate published by THEC in its factbook and is used in outcomes and performance funding for Tennessee public institutions. The graduation rate is calculated by THEC and reviewed by the system and the institutions. Generally, the Institutional Research Office at each institution reviews the accuracy.

TBR will follow the outcomes funding formula definition set by THEC for this performance measure. The THEC outcomes funding formula definition changed this year to follow an additional summer (trailing summer). For students starting in fall 2007 and being tracked into 2013 (6 years), this means that summer 2013 is now counted, where previously the

THEC definition would have stopped with spring 2013. By tracking into the “trailing summer” of the sixth year, the state definition for graduation rates is now equivalent to the federal definition found in the National Center for Education Statistics’ is now Integrated Postsecondary Education Data System. In the future, the outcomes funding formula may include Tennessee private university graduates and out-of-state graduates, as available and agreed upon for funding purposes.

*Performance Standard 2:* Increase the total number of college graduates in a given academic year.

*Performance Measure 2:* Total number of college graduates in a given academic year.

<b>University</b>	<b>Actual (FY 2011-2012)</b>	<b>Estimate (FY 2012-2013)</b>	<b>Target (FY 2013-2014)</b>
APSU	1,766	1,628	1,794
ETSU	2,953	2,902	2,983
MTSU	4,841	4,902	5,035
TSU	1,583	1,616	1,646
TTU	2,291	2,289	2,314
UoM	4,158	3,899	4,200

This performance measure is a measurement of outcomes. The total number of college graduates measures the number of students completing approved programs of study and receiving a credential (award) signifying the completion of all requirements. The measure is important to understand institution teaching and certification of learning functions, as well as to indicate the number of students able to apply their credential to the workforce or to their next level of academic study. For example, a person receiving an associate’s (two-year) degree might choose to apply for a bachelor’s (four-year) degree the next semester.

The data are collected by the institution in the report of graduates extract file, which is a result of a standard TBR computer program. The report of graduates, which has information by student, is collected yearly. The institution sends the extract files to TBR, who sends the files to the Tennessee Higher Education Commission (THEC). The actual performance measure result is a count of credentials (awards) received by students for approved academic programs of study. The levels may be professional, graduate, bachelor’s (four-year), associate’s (two-year), or certificate. Actual performance is based on latest available as of June 30. The measure is reported as actual and not revised. For the 2012 summer reporting, the academic year of 2010-11 is the latest available. No revision is sent because the 2011-12 report of graduates is not available prior to the publishing of the State Performance Measures.

Targets are set for a 4% growth over the actual results. However, in the case where the actual result is greater than the previous target, the current target is set for 1% growth over the actual result. In cases where the previous target is greater than a 4% growth over actual result, then the previous target becomes the current target as well. For this measure, TBR uses funding formula criteria sent by THEC. TBR does not expect any changes in the definition for the upcoming budget or agency strategic plans.

**Community Colleges (Aggregate of 13 Institutions)**

*Performance Standard 1:* Increase the total number of college graduates in a given academic year.

*Performance Measure 1:* Total number of college graduates in a given academic year.

	Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
<i>All community colleges</i>	11,140	10,152	11,441
Southwest Tennessee	1,283	1,135	1,296
Nashville State	716	690	723
Pellissippi State	1,440	900	1,454
Northeast State	866	963	963
Chattanooga State	1,170	967	1,182
Cleveland State	580	508	586
Columbia State	593	612	617
Dyersburg State	298	236	301
Jackson State	603	575	609
Motlow State	584	611	611
Roane State	912	811	921
Volunteer State	1,033	1,074	1,074
Walters State	1,062	1,070	1,104

\*Actuals are one year behind because the data is not available on June 30. For example, the 2011-2012 column will have 2010-2011 data.

The performance standard for TBR community colleges is identical to Performance Standard 2 for the TBR universities. See information and comments with TBR Universities under Performance Standard 2 for an explanation of the process for gathering the data and how the data is utilized by TBR and THEC.

**Tennessee Colleges of Applied Technology (Aggregate of 27 Colleges)**

*Performance Standard 1:* Increase the percentage of completers at the technology centers.

*Performance Measure 1:* Percent of completers based on Council of Occupational Education standards.

Actual (FY 2011-2012)	Estimate (FY 2012-2013)	Target (FY 2013-2014)
77.4%	76.7%	76.7%

This performance measure is a measurement of outcomes. The Tennessee Colleges of Applied Technology (formerly, Tennessee Technology Centers) measure the number of students who complete their programs against the number of students who enter the program. This completion number is important because a 60% completion is required for accreditation. Each

college collects and reviews the completion data. The data is sent to the TBR's central office for confirmation/comparison three times a year. Sources used for the data collection include campus student information system and TBR data collection. The data collected is actual as of June 30 of that year and is not revised. If the actual rate is above the previous target, the measure is increased over the previous target by 1%. The goal is to increase completion rate by 1% each year. The campus administration, TBR's central office employees and the Council of Occupational Education staff review the data. This a national standard used for the Council on Occupational Education and thus is not likely to change.

#### Analysis of Performance Measures for Fiscal Years 2011 and 2012

We reviewed the program performance measures for TBR published in *Agency Strategic Plans* for fiscal years 2011 and 2012. (See Table 32.) Specifically, we compared goals with actual performance for specific measures for each fiscal year. Institutions that did not meet performance measure goals for both fiscal years 2011 and 2012 included several universities and community colleges (for graduation rates and numbers of graduates), the TSU Institute of Agriculture and Environmental Research (for number of scientific publications), the ETSU College of Pharmacy (for percent of applicants from the Appalachian region), and the ETSU Family practice program (for average scores on the American Board of Family Medicine In-Training Exam).

We also asked TBR staff to answer questionnaires for each of the performance measures to gain an understanding of the logic behind the measure, how the data are collected and verified, and how the institutions use the data for decision making.

**Table 32**  
**Performance Measure Results**  
**Fiscal Years 2011 and 2012**

Budget Code	Title	Standard	Measure	Fiscal Year 2011		Fiscal Year 2012	
				Goal*	Actual*	Goal*	Actual*
332.60	TBR Policies	Review all TBR policies for streamlining and efficiency	Percent of TBR policies reviewed	100%	100%	100%	100%
332.59	Access and Diversity Initiative	Increase access to aid and scholarships for diverse students	Implementation of mechanics for awarding and tracking aid	100% of institutions will evaluate the use of aid implementation of diversity efforts	TBR was still designing system-wide report	100%	100%
332.63	TSU Institute of Agriculture and Environmental Research	Increase the number of scientific publications	Number of scientific publications (full-length refereed) by research scientists	<b>57</b>	<b>28</b>	<b>32</b>	<b>30</b>
332.63	TSU Institute of Agriculture and Environmental Research	Increase the number of presentations of scientific discoveries	Number of presentations of scientific discoveries by research scientists	<b>132</b>	<b>105</b>	130	139
332.62	TSU McMinnville Center	Increase the number of nursery industry-identified problem areas addressed by research scientists	Number of nursery industry-identified problem areas addressed by research scientists	24	24	<b>26</b>	<b>11</b>
332.62	TSU McMinnville Center	Increase the number of scientific publications	Number of presentations of scientific discoveries by research scientists	31	53	32	48
332.64	TSU Cooperative Education	Increase the number of clientele contacts	Number of clientele contacts	43,760	1,829,518	1,388,433	271,676 (actual face-to-face educational contacts)

Budget Code	Title	Standard	Measure	Fiscal Year 2011		Fiscal 2012	
				Goal*	Actual*	Goal*	Actual*
332.64	TSU Cooperative Education	Increase the number of presentations of educational presentations (added 2011)	Number of presentations of scientific discoveries	No goal	280	No goal (estimated 300 in 2011)	312
332.68	TSU McIntire-Stennis Forestry Research	Increase the number of scientific publications (added 2011)	Number of scientific publications (full-length referred ) by research scientists	No goal	0	<b>1</b>	<b>0</b>
332.68	TSU McIntire-Stennis Forestry Research	Increase the number of presentations of scientific discoveries (added 2011)	Number of presentations of scientific discoveries by research scientists	No goal	1	<b>2</b>	<b>1</b>
332.65	ETSU College of Medicine	Maintain average score on U.S. Medical Licensing Exam	Average score of test takers	221	223	<b>221</b>	<b>214</b>
332.66	ETSU College of Pharmacy	Increase applications to the Gatton College of Pharmacy from Appalachian region	Percent of applicants from the Southern Appalachian who complete applications for admission	<b>90%</b>	<b>86.5%</b>	<b>90%</b>	<b>84%</b>
332.67	ETSU Family Practice	Raise average score of the American Board of Family Medicine In-Training Exam	Family Medicine ITE average exam score	<b>410</b>	<b>408</b>	<b>460</b>	<b>412</b>
332.70 332.72 332.74 332.75 332.77 332.78	APSU ETSU UoM MTSU TSU TTU	Increase the percent of first-time freshmen who graduate within six years	Graduation rate (cohort of full-time, first-time, degree-seeking students who entered in the fall term and completed the academic program within six years)	38.7% <b>49.7%</b> <b>43.8%</b> 52.0% <b>40.3%</b> 51.5%	38.7% <b>46.2%</b> <b>40.2%</b> 52.9% <b>37.2%</b> 55.4%	37.6% <b>49.8%</b> 42.9% <b>51.7%</b> <b>45.4%</b> 54.3%	41.1% <b>49.2%</b> 43.0% <b>50.6%</b> <b>36.6%</b> 54.5%

Budget Code	Title	Standard	Measure	Fiscal Year 2011		Fiscal Year 2012	
				Goal*	Actual*	Goal*	Actual*
332.70	APSU	Increase the total number of college graduates in a given academic year (added 2011)	Total number of college graduates in a given academic year	No goals	1,565	1,608	1,776
332.72	ETSU				2,790	2,862	2,953
332.74	UoM				3,749	3,775	4,158
332.75	MTSU				4,507	4,522	4,841
332.77	TSU				1,600	1,491	1,583
332.78	TTU				2,187	2,289	2,291
332.53	STCC	Increase the percent of first-time freshmen who graduate within six years	Graduation rate (cohort of full-time, first-time, degree-seeking students who entered in the fall term and completed the academic program within six years)	<b>19.2%</b>	<b>13.7%</b>	<b>16.2%</b>	<b>14.8%</b>
332.54	NSCC			24.6%	25.3%	27.4%	21.1%
332.55	PSCC			<b>34.8%</b>	<b>32.0%</b>	<b>44.9%</b>	<b>32.0%</b>
332.56	NeSCC			<b>36.3%</b>	<b>35.7%</b>	<b>35.8%</b>	<b>30.4%</b>
332.80	ChSCC			<b>24.7%</b>	<b>24.0%</b>	<b>25.7%</b>	<b>21.4%</b>
332.81	CISCC			<b>34.2%</b>	<b>33.8%</b>	<b>35.0%</b>	<b>27.6%</b>
332.82	CoSCC			40.5%	40.6%	45.0%	32.2%
332.84	DSCC			<b>29.2%</b>	<b>22.7%</b>	<b>27.4%</b>	<b>23.9%</b>
332.86	JSCC			<b>33.8%</b>	<b>28.5%</b>	<b>30.6%</b>	<b>23.9%</b>
332.88	MSCC			<b>40.6%</b>	<b>37.3%</b>	<b>43.9%</b>	<b>29.7%</b>
332.90	RSCC			<b>44.0%</b>	<b>39.0%</b>	<b>40.6%</b>	<b>32.2%</b>
332.94	VSCC			29.1%	32.4%	<b>33.1%</b>	<b>25.4%</b>
332.96	WSCC	36.5%	38.8%	<b>38.4%</b>	<b>31.0%</b>		
332.53	STCC	Increase the total number of college graduates in a given academic year (added 2011)	Total number of college graduates in a given academic year	No goals	1,124	1,085	1,283
332.54	NSCC				636	690	716
332.55	PSCC				793	800	1,440
332.56	NeSCC				917	<b>963</b>	<b>866</b>
332.80	ChSCC				930	938	1,170
332.81	CISCC				503	480	580
332.82	CoSCC				606	<b>598</b>	<b>593</b>
332.84	DSCC				227	235	298
332.86	JSCC				569	525	603
332.88	MSCC				556	<b>611</b>	<b>584</b>
332.90	RSCC				778	726	912
332.94	VSCC				1,033	<b>1,066</b>	<b>1,033</b>
332.96	WSCC		1,029	1,040	1,062		
332.98	Tennessee Technology Centers	Increase the percentage of graduates at the technology centers	Percent of graduates based on Council of Occupational Education standards	72.0%	75.8%	76.7%	77.4%

\* Figures in bold and shaded indicate goals for that performance measure were not met for that fiscal year.

Source: Department of Finance and Administration.